

# Title

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## **Abstract**

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## **Acknowledgements**

# **Introduction**

## **0.1 Thesis Context**

## **0.2 Motivations**

### **0.2.1 Observation**

### **0.2.2 Abstraction**

### **0.2.3 Cognition**

## **0.3 Issues**

## **0.4 Contributions**

## **0.5 Plan**

# 1 Fondation and Tools

Mathematics and logic are at the heart of all formal sciences, including computer science. Some of the most important problems in mathematics are the consistency and formalization issues. Research on these issues starts at the end of the 19<sup>th</sup> century, with Cantor inventing set theory (Cantor 1874). Then after a crisis in the beginning of the 20<sup>th</sup> century with Russel's paradox and Gödel's incompleteness theorem, revised versions of the set theory become one of the foundations of mathematics. The most accepted version is the Zermelo-Fraenkel axiomatic set theory with the axiom of Choice (ZFC) (Fraenkel *et al.* 1973, vol. 67; Ciesielski 1997). This effort leads to a formalization of mathematics itself, at least to a certain degree.

Any knowledge must be expressed using a medium like language. Natural languages are quite expressive and allows for complex abstract ideas to be communicated between individual. However, in science we encounter the first issues with such a language. It is culturally biased and improperly convey formal notions and proof constructs. This is the conclusion of Korzybski (1958) when trying to pinpoint some of the main sources of error in discourse. There is a discrepancy between the natural language and the underlying structure of the reality. This issue is exacerbated in mathematics as the ambiguity in the definition of a term can be the cause for a contradiction and make the entire theory inconsistent.

*"Mathematics may be defined as the subject in which we never know what we are talking about, nor whether what we are saying is true."* – Russell (1917)

In this first chapter we analyse the issue and propose our solution. Then we use our foundation to build some important mathematical notions used later to formalize data structures and algorithms.

## 1.1 Properties

From this point we can apply some of these ideas to mathematics to analyse what properties a foundation of mathematics must hold.

### 1.1.1 Abstraction

**abstraction** (n.d.): *The process of formulating generalized ideas or concepts by extracting common qualities from specific examples* – Collins English Dictionary (2014)

The idea behind abstraction is to simplify the representation of (potentially infinitely) complex instances. This mechanism is at the base of any knowledge representation system. Indeed, it is unnecessarily expensive to try to represent all properties of an object. An efficient way to reduce that knowledge representation is to prune away all irrelevant properties while also only keeping the one that will be used in the context. *This means that abstraction is a loopy process.* Information is lost when abstracting from an object.

Since this is done using a language as a medium, this language is a *host language*. Abstraction will refer to an instance using a *term* (also called symbol) of the host language. Since abstraction is a generalization process, if the host language is expressive enough, abstraction can be applied to already abstracted knowledge. The number of underlying abstraction needed for a term is called its *abstraction level*. Very general notions have a higher abstraction level and we usually represent reality using the null abstraction level. In practice abstraction uses terms of the host language to bind to a referenced instance in a lower abstraction level. This forms a structure that is strongly hierarchical with higher abstraction level terms on top.

*Example:* We can describe an individual organism with a name that is associated to this specific individual. If we name a dog "Rex" we abstract a lot of information about a complex dynamical living being. We can also abstract from a set of qualities of the specimen to build higher abstraction. For example its species would be *Canis lupus familiaris* from the *Canidae* family. Sometimes several terms can be used at similar abstraction level like the commonly used denomination "dog" in this case.

Terms are only a part of that structure. It is possible to combine several terms into a *formula* (also called proposition or statement).

### 1.1.2 Formalization

**formal (adj.):** *Relating to or involving outward form or structure, often in contrast to content or meaning.* – American Heritage Dictionary (2011a)

Formalization is the act to make formal. The word "formal" comes from Latin *fōrmālis*, from *fōrma*, meaning form, shape or structure. This is the same base as for the word "formula". In mathematics and *formal sciences* the act of formalization is to reduce knowledge down to formula. Like stated previously, a formula combines several terms. But a formula must follow rules at different levels:

- *Lexical* by using terms belonging in the host language.
- *Syntactic* as it must follow the grammar of the host language.
- *Semantic* as it must be internally consistent and meaningful.

The information conveyed from a formula can be reduced to one element: its semantic structure. Like its etymology suggests a formula is simply a structured statement about terms. This structure holds its meaning. Along with using abstraction, it becomes possible to abstract a formula and to therefore make a formula about other formulae should the host language allow it.

*Example:* The formula using English “dog is man’s best friend” combines terms to hold a structure between words. It is lexically correct since it uses English words and grammatically correct since it can be grammatically decomposed as (n. v. n. p. adj. n.). In that the (n.) stands for noun, (v.) for verb, (adj.) for adjective and (p.) for possessive. Since the verb “is” is the third person singular present indicative of “be”, and the adjective is the superlative of “good”, this form is correct in the English language. From there the semantic aspect is correct too but that is too subjective and extensive to formalize here. We can also build a formula about a formula like “this is a common phrase” using the referential pronoun “this” to refer to the previous formula.

However, there is a strong limitation of a formalization. Indeed, a complete formalization cannot occur about the host language. It is possible to express formulae about the host language but *it is impossible to completely describe the host language using itself*. This comes from two principal reasons. As abstraction is a loopy process one cannot completely describe a language that can evolve and be infinitely complex. And even when taking a simple language, there is a problem with describing the different levels of rules to process the language using itself. This supposes of a knowledge of the language *a priori*. This is contradictory and therefore impossible to achieve.

When abstracting a term, it may be useful to add informations about the term to define it properly. That is why most formal system require a *definition* of each term using a formula. This definition is the main piece of semantic information on a term and is used when needing to evaluate a term in a different abstraction level. However, this is causing yet another problem.

### 1.1.3 Circularity

**circularity** (n.d.): *Defining one word in terms of another that is itself defined in terms of the first word.* – American Heritage Dictionary (2011b)

Defining a term requires using a formula in the host language to express the abstracted properties of the generalization. The problem is that most terms will have *circular* definitions. Like stated this means that every knowledge system will have some circularity in their definitions. This means that it is impossible to have a complete definition of a formal system without needing another formal system to describe its base.

*Example:* Using definitions from the American Heritage Dictionary (2011b), we can find that the term “word” is defined using the word “meaning” that is in turn defined using the term “word”. Such circularity can happen using an arbitrarily long chain of definition that will form a cycle in the dependancies.

This problem is very important as it is overlooked in most foundations of mathematics. This also makes Russell’s paradox unavoidable in such systems since there are always an infinite descent in the definition relation. Also, since a formalization cannot fully be self defined, another host language is generally used, sometimes without being acknowledged. This causes cycles in the dependancies of languages and theories in mathematics.

The only practical way to make some of this circularity disappear is to base a foundation of mathematics using natural language as host language for defining the most basic

terms. This allows to acknowledge the problem in an instinctive way while being aware of it while building the theory.

## 1.2 Issues with current foundations

Like stated, these three aspect of knowledge representation makes defining a foundation of mathematics way more difficult than it may appear. In this section, we analyse some of the existing foundation of mathematics and their dependencies.

### 1.2.1 Set theory

From the book releasing the complete formulation of the ZFC theory, we can find that:

*"the discipline underlying ZF will be the **first-order predicate calculus**. The primitive symbols of this set theory, taken from logic, are the connectives, quantifiers and variables mentioned above and, possibly, also the symbol of equality (discussed below), as well as such auxiliary symbols as commas, parentheses and brackets."* – Fraenkel et al. (1973, 67,22)

This means that ZFC is using FOL as a host language. In turn FOL is using formal grammar as its host language. And at last, formal grammar are defined using set theory. This means that there is a dependency cycle in the definition of ZFC.

This is significative as this theory is the ground work for most of the classical mathematics still used to this day. Moreover, several assumptions are made in the theory that are not explicitly stated. For example, when naming an element or a set we suppose the principle of identity as we can distinguish them from one another. Also, the notion of set isn't properly defined as well as the classical FOL quantifiers that are used in even the very first formula of the theory.

### 1.2.2 Type theory

Russell and Whitehead (1978)

**TODO?** Read the book since typed Lambda calculus is posterior to type theory

Type theory -> Typed Lambda calculus (no definition of type) -> Lambda calculus -> set theory or formal grammar

### 1.2.3 Category theory

Awodey (2010)

**TODO?** Is that what I found ?

Category theory -> Typed Lambda calculus

Table 1.1: List of classical symbols for functions.

Symbol	Description
$\succ$	Null function.
$=, \neq$	Equal and not equal.
$\rightarrow$ Mapp	ing function.
$\boxtimes, \Delta, \nabla$	Combination, superposition and complement functions.
$\circ, \bullet$	Composition and inverse functions.
$ f $	Arity (or order) of a functions.

### 1.2.4 Proof theory

#### TODO?

Proof Theory -> Hilbert calculus -> Mathematic logic -> (FOL | Set | etc)

### 1.2.5 Reverse mathematics

Another radical way to approach the foundations of mathematics is called reverse mathematics. In this field, the goal is to find the minimal set of axioms needed to prove any theorem. This is not directly meant to be a fondation of mathematics but helps approaching it by finding groups of axioms that prove all theorems of a given field of mathematics.

This is the approach that should be used to find the most adequate set of axioms while keeping in mind the constraints any fondation of mathematics has.

## 1.3 Fonctional theory of mathematics

Using that last approach, we aim to find the smalest possible set of axioms allowing to describe a fondation of mathematics. The following theory is a proposition for a possible fondation that takes into account the previously described constraints.

In this part, as an introduction to the fundamentals of maths and logic, we propose another view of that fondation based on functions. The unique advantage of it lays in its explicit structure that have emergent reflexive properties. It also holds a coherent algebra that have a strong expressive power. This approach is loosly based on category theory. However it differs in its priorities and formulation.

Our theory is axiomatic, meaning it is based on fundamental logical proposition called axioms. Those are accepted without any need for proof. The following axiom is the mandatory undefinable notion created from natural language. It is the explicit base of the formalism.

**Axiom (Function).** Lets be functions that associates a unique function to each function.

That axioms states that the formalism is based on *functions*. Any function can be used in anyway as long as it has a single argument and value which are also functions.

Next we need to lay off the base definitions of the formalism.

### 1.3.1 Formalism definition

This functional algebra at the base of our fondation is inspired by *operator algebra*. The problem with the operator algebra is that it supposes vectors and real numbers to work properly.

Since any formalism has circular definition we will have two way of definining each notions: using natural language as host language or by using notions that will be defines later. The main definitions we will express are using natural language but we'll add the formula using future notion as side notes.

Here we define the basic notions of our functional algebra that dictates the rules of the formalism we are defining.

**Definition 1** (Application). When using a function  $f$  on an argument  $x$ , the application of  $f(x)$  gives the function  $y$  which is the value that  $f$  associates with  $x$ .

Formally  $y = f(x)$

The next few definition is required to have a valid syntax for formal function definitions.

**Definition 2** (Currying). If we take a function  $h$  such that when applied to  $x$  gives the function  $g$  that takes an argument  $y$ , we can create a function  $f$  by *uncurrying*  $h$  and  $g$  so that  $f(x,y)$  behaves the same way as  $g(y)$  and  $h(x)(y)$ . We call *currying* the translation from  $f$  to  $h$ .

Formally  
 $f(x,y) = h(x)(y)$   
 and  
 $g = y \rightarrow (x \rightarrow y)$

Currying is named after the mathematician Haskell Brooks Curry and allows multiple arguments functions in a simpler monoidal formalism. A monome is a function that takes only one argument and has only one value (like in our main axiom). From now on we will note  $f(x,y,z,...)$  any function that takes multiple arguments but will suppose that they are implicitly curried. If a function only associate has two arguments, we can also use the infix notation e.g.  $xfy$ .

**Definition 3** (Mapping). Lets be the mapping function  $\rightarrow$  such that, for any two function  $x$  and  $f(x)$ ,  $x \rightarrow f(x)$  has  $f$  as value.

**Definition 4** (Null). The *null function* is the function between nothing and nothing. We note it  $\succ$ . It is also recursively defined as  $\succ \rightarrow \succ$ .

**Definition 5** (Identity). The *identity function* is the function that associates any function to itself noted  $=$ .

Formally  
 $f = x \rightarrow f(x)$   
 Formally  
 $\succ = \succ \rightarrow \succ$   
 Formally  
 $= = x \rightarrow x$



### 1.3.2 Literals and Variables

In our formalism, we use the null function to define notions of variables and literals.

**Definition 6** (Literal). A literal is a function that associates nothing with itself. This consists of any function  $l$  written as  $\succ \rightarrow l$ . This means that the function have only itself as an immutable value. Formally  $l = \succ \rightarrow l$

A good example of that would be the yet to be defined natural numbers. We can define the literal 3 as  $3 = \succ \rightarrow 3$ . We call *constants* function that have no arguments and have as value either another constant or a literal.

**Definition 7** (Variable). A variable is a function that associates itself to nothing. This consists of any function  $x$  written as  $x \rightarrow \succ$ . This means that the function have only itself as an immutable value. Formally  $x = x \rightarrow \succ$

This definition means that a variable requires an input that can then be hold as a possible value when evaluating.

An interesting property of this notation is that  $\succ$  is both a variable and a constant. Also when currying the definition of  $\succ$  we obtains an interesting function.

**Definition 8** (Valuation). The valuation function turns any formula of function into its simplest value. We note the valuation of a function  $[[x]]$  and define it as  $x \rightarrow (\succ \rightarrow x)$ . Formally  $[[[]]] = x \rightarrow (\succ \rightarrow x)$

If we compute its *inverse* (see **LATER**) it becomes the *lifting function* (notted  $]][]$ ) that turns any function into a variable. The currying of the definition of  $\succ$  can be noted as  $]][\succ]][]$ .

### 1.3.3 Functional algebra

Inspired by relational algebra and by category theory, we present an highly expressive and compact functional algebra. In the figure 1.1 we illustrate the different operators of this algebra and their properties.

The first operator of this algebra allows to combine several functions into one.

**Definition 9** (Combination). The *combination function* is the function that associates any two function  $f_1$  and  $f_2$  to a new function that associates any functions associated by **either** functions. [^Formally  $f_1 \bowtie f_2 = x \rightarrow y$  with  $f_1(x) = y$  **or**  $f_2(x) = y$ .]

**TODO** Example

**Definition 10** (Superposition). The *superposition function* is the function that associates any two functions  $f_1$  and  $f_2$  to a new function that associates any function associated by **both** functions.

Formally  
 $f_1 \triangle f_2 = x \rightarrow y$   
 with  
 $f_1(x) = f_2(x) = y$ .



Figure 1.1: Illustration of basic fonctionnal operators and their properties.

**Definition 11** (Complement). The *complement function* is the function that associates any functions to a new function that associates any symbols **not** associated by the function.

We can also use this function using the infix notation in the following way :  $f_1 \nabla f_2 = f_1 \Delta \nabla(f_2)$  in which case we call it *subposition function*.

From now on we will also note  $\neq = \nabla(=)$ . We can also note a few properties of these functions:

- $f \Delta f = f$
- $f \Delta \triangleright = \triangleright$
- $f_1 \Delta f_2 = f_2 \Delta f_1$
- $f \nabla f = \triangleright$
- $f \nabla \triangleright = f$

Now we can also define the other couple of functions on functions.

**Definition 12** (Composition). The *composition function* is the function that associates any two functions  $f_1$  and  $f_2$  to a new function such that:  $f_1 \circ f_2 = x \rightarrow f_1(f_2(x))$ .

**Definition 13** (Inverse). The *inverse function* is the function that associates any function to its inverse such that if  $y = f(x)$  then  $x = \bullet(f)(y)$ .

We can also use an infix version of it with the composition of functions:  $f_1 \bullet f_2 = f_1 \circ \bullet(f_2)$ .

These properties are akin to multiplication and division in arithmetics.

- $f \circ \triangleright = \triangleright$  ( $\triangleright$  is the absorbing element)

Table 1.2: List of classical symbols for logic.

Symbol	Description
$e : ?(e)$	The colon is a separator to be read as "such that". Also used for typing.
$\top, \perp$	Top and bottom symbols used as true and false respectively.
$?(e)$	Predicate over $e$ .
$\neg, \wedge, \vee, \bowtie$	Negation (not), conjunction (and), disjunction (logical or) and either.
$\vdash$	Entails, used for logical implication and consequence.
$\forall, \exists, \exists!, \nexists, \S$	Universal, existential, uniqueness, exclusive and solution quantifiers.
$[?(e)]$	Iverson's brackets: $[\perp] = 0$ and $[\top] = 1$ .

- $f \circ == f$  ( $=$  is the neutral element)
- $\bullet(\succ) = \succ$  and  $\bullet(=) ==$
- $f_1 \circ f_2 \neq f_2 \circ f_1$

From now on we will use numbers and classical arithmetics on them. From a foundation point of view, these are defined later using Peano's axiom.

We can define also the transitivity of the  $n$ th degree such that:

- $f^0 ==$
- $f^1 = f$
- $f^n = f^{n-1} \circ f$

We also call *arity* the number of arguments (or the currying order) of a function noted  $|f|$ .

From there we need to define the bases of modern logical systems.

## 1.4 First Order Logic

In this section, we present First Order Logic (FOL). All notations are presented in table 1.2. FOL is based on boolean logic with the two constants  $\top$  *true* and  $\perp$  *false*.

A function that have as only values either  $\top$  or  $\perp$  is called a **predicate**.

We define the classical logic *entailment* as  $\vdash$

Then we define the classical boolean operators  $\neg$  *not*,  $\wedge$  *and* and  $\vee$  *or* as:

- $\neg = \perp \rightarrow \top \bowtie \top \rightarrow \perp$
- $\wedge(?_1, ?_2, \dots, ?_n) = (?_1 = ?_2 = \dots = ?_n = \top)$ , the conjunction is true when all its arguments are simultaneously true.
- $\vee(?_1, ?_2, \dots, ?_n) = \neg(?_1 = ?_2 = \dots = ?_n = \perp)$ , the disjunction is true if all its arguments are not false.

functions that takes an expression as parameter are called *modifiers*. FOL introduce a useful kind of modifier used to generalize expressions: *quantifiers*. Quantifiers takes an expression and a variable as arguments. Classical quantifiers are also predicates: they restrict the values that the variable can take.

Table 1.3: List of classical symbols and syntax for sets.

Symbol	Description
$\emptyset$	Empty set, also noted $\{\}$ .
$e \in \mathcal{S}$	Element $e$ is a member of set $\mathcal{S}$ .
$\subset, \cup, \cap, \setminus, \times$	Set inclusion, union, intersection, difference and cartesian product.
$ \mathcal{S} $	Cardinal (number of elements) of set $\mathcal{S}$ .
$\{e : ?(e)\}$	Set builder notation, set of all $e$ such that $?(e)$ is true.
$\wp(\mathcal{S})$	Powerset: set of all subsets of $\mathcal{S}$ .

The classical quantifiers are:

- The *universal quantifier*  $\forall$  meaning “for all”.
- The *existential quantifier*  $\exists$  meaning “it exists”.

They are sometimes extended with :

- The *uniqueness quantifier*  $\exists!$  meaning “it exists a unique”.
- The *exclusive quantifier*  $\nexists$  meaning “it doesn't exist”.

An another exotic quantifier that isn't a predicate can be proven useful (Hehner 2012):

- The *solution quantifier*  $\S$  meaning “those”.

The last three quantifiers are optional in FOL but will be conducive later on. It is interesting to note that most quantified expression can be expressed using the set builder notation discussed in the following section.

## 1.5 Set Theory

Since we need to represent knowledge, we will handle more complex data than simple booleans. At the beginning of his funding work on set theory, Cantor wrote:

“A set is a gathering together into a whole of definite, distinct objects of our perception or of our thought—which are called elements of the set.” George Cantor (1895)

For Cantor, a set is a collection of concepts and percepts. We define a set using the notations in table 1.3.

**Definition 14 (Set).** A collection of *distinct* objects considered as an object in its own right. We define a set one of two ways (always using braces):

- In extension by listing all the elements in the set:  $\{0, 1, 2, 3, 4\}$
- In intension by specifying the rule that all elements follow:  $\{n : n \in \mathbb{N} \wedge (n \leq 4)\}$

The member function is noted  $e \in \mathcal{S}$  to indicate that  $e$  is an element of  $\mathcal{S}$ . We note  $\mathcal{S} \subset \mathcal{T} \vdash ((e \in \mathcal{S} \vdash e \in \mathcal{T}) \wedge \mathcal{S} \neq \mathcal{T})$ , that a set  $\mathcal{S}$  is a proper subset of a more general set  $\mathcal{T}$ .

We also define the union, intersection and difference as following:

- $\mathcal{S} \cup \mathcal{T} = \{e : e \in \mathcal{S} \vee e \in \mathcal{T}\}$
- $\mathcal{S} \cap \mathcal{T} = \{e : e \in \mathcal{S} \wedge e \in \mathcal{T}\}$
- $\mathcal{S} \setminus \mathcal{T} = \{e : e \in \mathcal{S} \wedge e \notin \mathcal{T}\}$

An interesting way to visualize relationships with sets is by using Venn diagrams. In figure 1.2 we present the classical set operations.

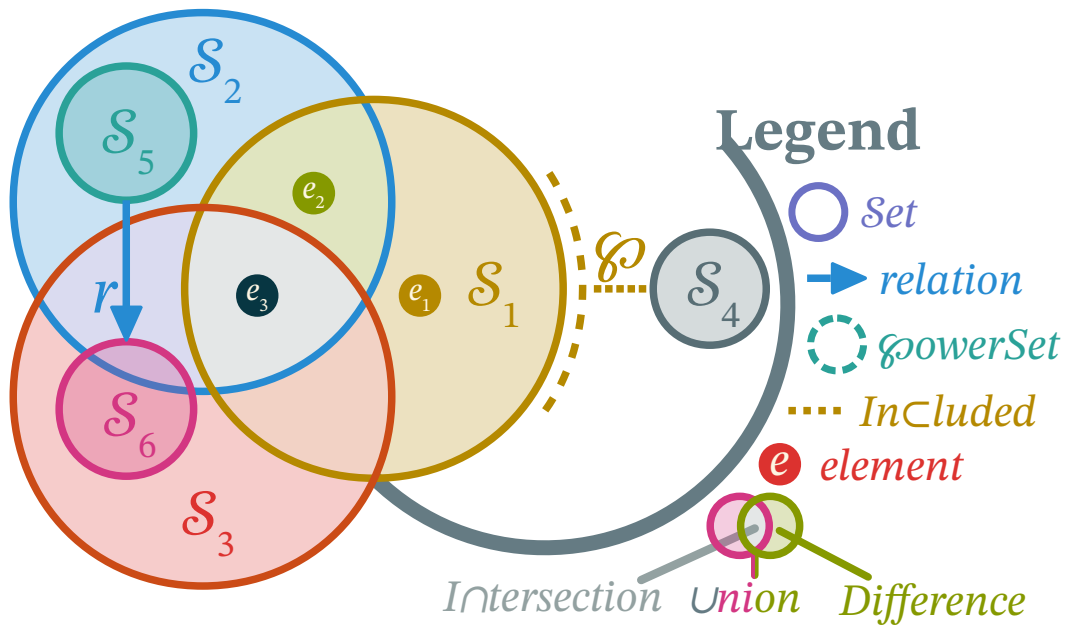


Figure 1.2: Example of Venn diagram to illustrate operations on sets.

These diagrams have a lack of expressivity regarding complex operations on sets. Indeed, from their planar form it is complicated to express numerous sets having intersection and disjunctions. One example is the cartesian product that is defined as  $\mathcal{S} \times \mathcal{T} = \{\langle e_{\mathcal{S}}, e_{\mathcal{T}} \rangle : e_{\mathcal{S}} \in \mathcal{S} \wedge e_{\mathcal{T}} \in \mathcal{T}\}$ .

We can also define the set power recursively by  $\mathcal{S}^1 = \mathcal{S}$  and  $\mathcal{S}^n = \mathcal{S} \times \mathcal{S}^{n-1}$ .

The most common axiomatic set theory is ZFC. In that definition of sets there are a few notions that comes from its axioms. By being able to distinguish elements in the set from one another we assert that elements have an identity and we can derive equality from there:

**Axiom (Extensionality).**  $\forall \mathcal{S} \forall \mathcal{T} : \forall e ((e \in \mathcal{S}) = (e \in \mathcal{T})) \vdash \mathcal{S} = \mathcal{T}$

Another axiom of ZFC that is crucial in avoiding Russel's paradox ( $\mathcal{S} \in \mathcal{S}$ ) is the following:

Table 1.4: List of classical symbols and syntax for relational algebra.

Symbol	Description
$f \circ g$	Function composition also noted $g(f(x))$
$\sigma, \pi$	Selection and projection of a relation.
$\langle e_1, e_2, e_n \rangle$	$n$ -uple also called a relation.
$\mathcal{S} \rightarrow \mathcal{S}$	Association relation. Used for graph edges and domain definition.
$e \rightarrow f(e)$ Subs	titution relation.

**Axiom (Foundation).**  $\forall \mathcal{S} : (\mathcal{S} \neq \emptyset \vdash \exists \mathcal{T} \in \mathcal{S}, (\mathcal{T} \cap \mathcal{S} = \emptyset))$

This axiom uses the empty set  $\emptyset$  (also noted  $\{\}$ ) as the set with no elements. Since two sets are equals if and only if they have precisely the same elements, the empty set is unique.

The definition by intention uses *set builder notation* to define a set. It is composed of an expression and a predicate  $?$  that will make any element  $e$  in a set  $\mathcal{T}$  satisfying it part of the resulting set  $\mathcal{S}$ , or as formulated in ZFC:

**Axiom (Specification).**  $\forall ? \forall \mathcal{T} \exists \mathcal{S} : (\forall e \in \mathcal{S} : (e \in \mathcal{T} \wedge ?(e)))$

The last axiom of ZFC we use is to define the power set  $\wp(\mathcal{S})$  as the set containing all subsets of a set  $\mathcal{S}$ :

**Axiom (Power set).**  $\wp(\mathcal{S}) = \{\mathcal{T} : \mathcal{T} \subseteq \mathcal{S}\}$

With the symbol  $\mathcal{S} \subseteq \mathcal{T} \vdash (\mathcal{S} \subset \mathcal{T} \vee \mathcal{S} = \mathcal{T})$ . These symbols have an interesting property as they are often used as a partial order over sets.

## 1.6 Relational algebra

From set theory, it is possible to add relations between sets.

**Definition 15 (Relation).** A relation is effectively a subset of the cartesian product between several sets:  $r = \sigma \wp \left( \times_{i=1}^n \mathcal{S}_i \right)$  with  $\sigma$  being the selection relation and  $n$  being the *arity* of the relation  $r$ .

It can also be noted as a set of tuples each noted  $\langle e_1, e_2, e_n \rangle$ .

We need to define some special relations often used for set manipulation:

- The **substitution** that replace a variable in an expression  $e$  such that:  $(e \rightarrow f(e))(e(e)) = e(f(e))$ . The substitution is often used for function definition.
- The **selection** that selects elements given a predicate  $?$  such that:  $\sigma_?( \mathcal{S} ) = \{e : ?(e) \wedge e \in \mathcal{S}\}$ . The choice selection  $\sigma_i(\mathcal{S})$  is a non deterministic choice of one element in  $\mathcal{S}$ .

Table 1.5: List of classical symbols and syntax for graphs.

Symbol	Description
$g = (V, E)$	Graph $g$ with set of vertices $V$ and edges $E$ .
$\phi^{\pm n *}(e v)$	Incidence (edge) and adjacence (vertex) function for graphs:
$\phi$	• A tuple or set representing the edge or all adjacent edges of a vertex.
$\phi^-$	• Source vertex (subject) or set of all incoming edges of a vertex.
$\phi^+$	• Target vertex (object) or set of all outgoing edges of a vertex.
$\phi^0$	• Label of edges and vertex : property of a statement or cause of a causal link.
$\chi(g)^+$	Transitive closure of graph $g$ .
$\div$	Graph quotient.

- The **projection** that merges elements of a set given a filter  $f$  such that:  $\pi_f(\mathcal{S}) = \{f(e) : e \in \mathcal{S}\}$ . The default projection uses the identity relation  $=$  instead of  $f$ .

Functions are a special case of relations that takes as value the selected element of the last set. We note them  $f : \left(\bigtimes_{i=1}^{n-1} \mathcal{S}_i\right) \rightarrow \mathcal{S}_n$ . The set  $\bigtimes_{i=1}^{n-1} \mathcal{S}_i$  is called the *domain* of the function  $\mathcal{D}(f)$  and the set  $\mathcal{S}_n$  is called the *codomain*  $\mathcal{D}^{-1}(f)$ . The number  $n - 1$  is called the degree of the function.

We can combine functions using the *function composition operator*  $g \circ f = x \rightarrow g(f(x))$ . The functional power of  $f$  noted  $f^n$  is defined recursively as :

- $f^0 = x \rightarrow x$ ,  $f^1 = x \rightarrow f(x)$  and  $f^{-1} = f(x) \rightarrow x$
- $f^n = f \circ f^{n+[n<0]-[n>0]}$  with  $[?(n)]$  being an Iverson bracket ( $[T] = 1$  and  $[F] = 0$ ).

## 1.7 Graphs

Next in line, we need to define a few notions of graph theory.

**Definition 16** (Graph). A graph is a mathematical structure  $g = (V, E)$  consisting of vertices  $V$  (also called nodes) and edges  $E$  (arcs) that links two vertices together. Each edge is basically a pair of vertices ordered or not depending on if the graph is directed or not. We can write  $E = \sigma\wp(V^2)$

A graph is often represented with lines or arrows linking points together like illustrated in figure 1.3. In that figure, the vertices  $v_1$  and  $v_2$  are connected through an undirected edge. Similarly  $v_3$  connects to  $v_4$  but not the opposite since they are bonded with a directed edge. The vertex  $v_8$  is also connected to itself.

From that definition, some other relations are needed to express most properties of graphs. In the following, the signed symbol only applies to directed graphs.

We provide graphs with an adjacence function  $\phi$  over any vertex  $v \in V$  such that:

- $\phi(v) = \{e : e \in E \wedge v \in e\}$
- $\phi^+(v) = \{\langle v \rightarrow v' \rangle \in E : v' \in V\}$  and  $\phi^-(v) = \{\langle v' \rightarrow v \rangle \in E : v' \in V\}$

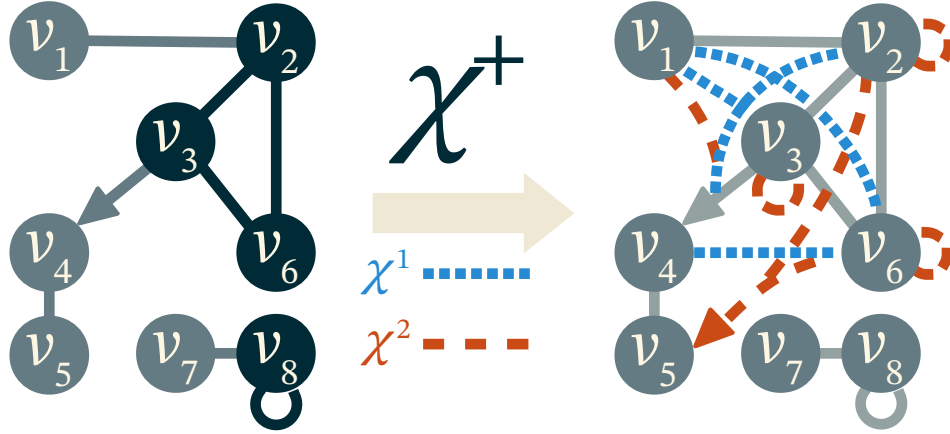


Figure 1.3: Example of the recursive application of the transitive cover to a graph.

This relation gives the set of incoming or outgoing edges from any vertex. In non directed graphs, the relation gives edges adjacent to the vertex. For example: in figure 1.3,  $\phi(v_1) = \{\langle v_1, v_2 \rangle\}$ . In that example, using directed graph notation we can note  $\phi^+(v_3) = \{\langle v_3 \rightarrow v_4 \rangle\}$ .

Using types, it is possible to reuse the same symbol to define an incidence function over any edges  $e = \langle v, v' \rangle$  such that:

- $\phi(e) = \langle v, v' \rangle$
- $\phi^-(e) = v$  and  $\phi^+(e) = v'$

Most of the intrinsic information of a graph is contained within its structure. Exploring its properties require to study the “shape” of a graph and to find relationships between vertices. That is why graph properties are easier to explain using the *transitive cover*  $\chi^+$  of any graph  $g = (V, e)$  defined as follows:

- $\chi(g) = (V, e') : e' = e \cup \{\langle v_1, v_3 \rangle : \{\langle v_1, v_2 \rangle, \langle v_2, v_3 \rangle\} \subset e\}$
- $\chi^+ = \chi^\infty$

This transitive cover will create another graph in which two vertices are connected through an edge if and only if it exists a path between them in the original graph  $g$ . We illustrate this process in figure 1.3. Note how there is no edge in  $\chi(g)$  between  $v_5$  and  $v_6$  and the one in  $\chi^2(g)$  is directed towards  $v_5$  because there is no path back to  $v_6$  since the edge between  $v_3$  and  $v_4$  is directed.

**Definition 17 (Path).** We say that vertices  $v_1$  and  $v_2$  are *connected* if it exists a path from one to the other. Said otherwise, there is a path from  $v_1$  to  $v_2$  if and only if  $\langle v_1, v_2 \rangle \in E_{\chi^+(g)}$ .

The notion of connection can be extended to entire graphs. An undirected graph  $g$  is said to be *connected* if and only if  $\forall e \in V^2 (e \in E_{\chi^+(g)})$ .



Similarly we define *cycles* as the existence of a path from a given vertex to itself. For example, in figure 1.3, the cycles of the original graph are colored in blue. Some graphs can be strictly acyclical, enforcing the absence of cycles.

A **tree** is a special case of a graph. A tree is an acyclical connected graph. If a special vertex called a *root* is chosen we call the tree a *rooted tree*. It can then be a directed graph with all edge pointing away from the root. When progressing away from the root, we call the current vertex *parent* of all exterior *children* vertices. Vertex with no children are called *leaves* of the tree and the rest are called *branches*.

An interesting application of trees to FOL is called *and/or trees* where each vertex has two sets of children: one for conjunction and the other for disjunction. Each vertex is a logic formula and the leaves are atomic logic propositions. This is often used for logic problem reduction. In figure 1.4 we illustrate how and/or trees are often depicted.

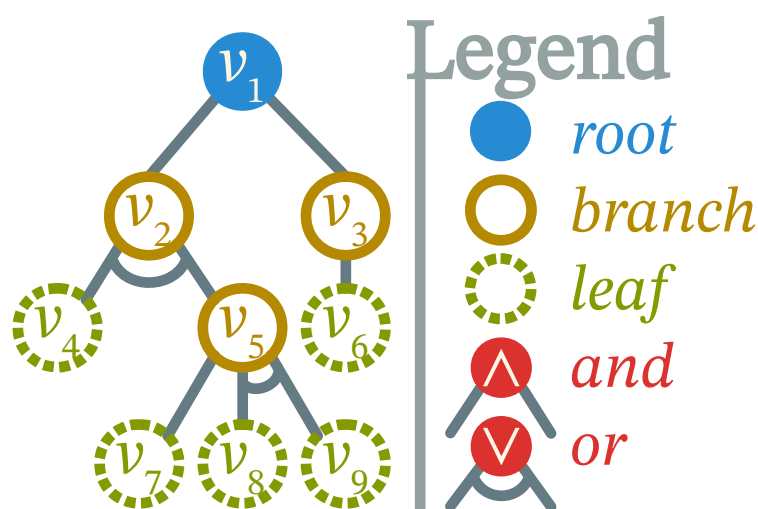


Figure 1.4: Example of and/or tree.

Another notion often used for reducing big graphs is the quotienting as illustrated in figure 1.5.

**Definition 18** (Graph Quotient). A quotient over a graph is the act of reducing a subgraph into a node while preserving the external connections. All internal structure becomes ignored and the subgraph now acts like a regular node. We note it  $\div_f(g) = (\pi_f(V), \{\pi_f(e) : e \in E\})$  with  $f$  being a function that maps any vertex either toward itself or toward its quotiented vertex.

We can also combine several graphs into one using fusion:  $g_1 + g_2 = (V_1 \cup V_2, E_1 \cup E_2)$ .

### 1.7.1 Hypergraphs

A generalization of graphs are **hypergraphs** where the edges are allowed to connect to more than two vertices. They are often represented using Venn-like representations but can also be represented with edges “gluing” several vertex like in figure 1.6.

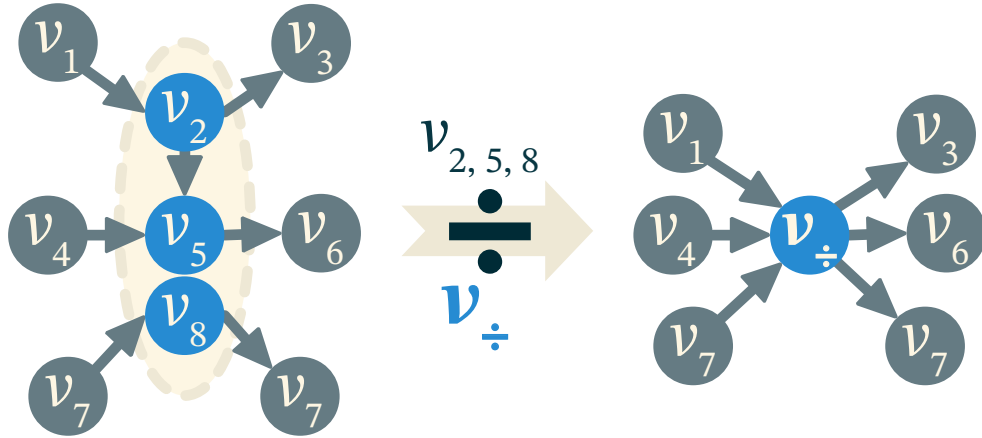


Figure 1.5: Example of graph quotient.

An hypergraph is said to be *n-uniform* if the edges are restricted to connect to only  $n$  vertices together. In that regard, classical graphs are 2-uniform hypergraphs.

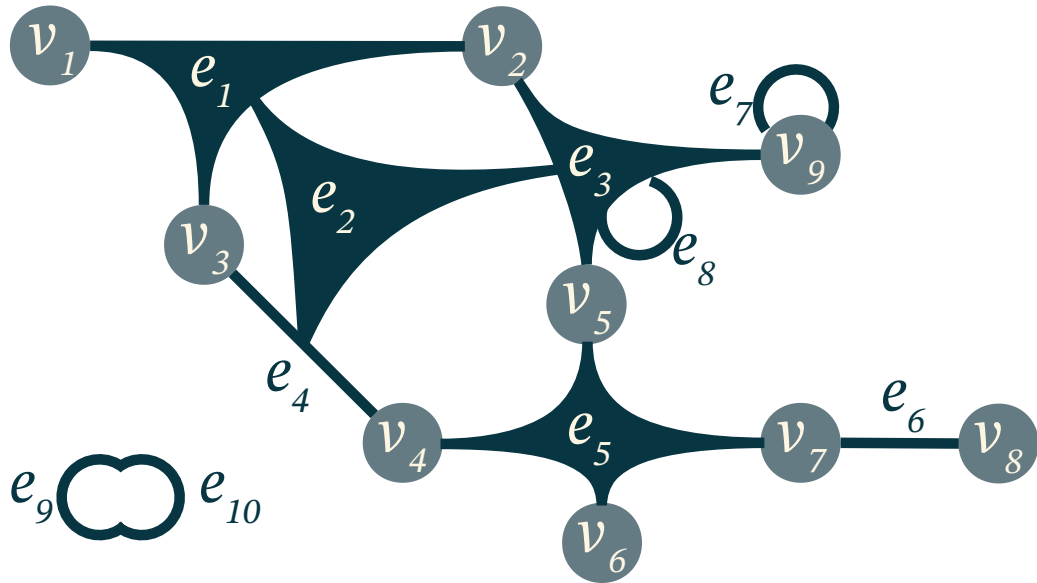


Figure 1.6: Example of hypergraph with total freedom on the edges specification.

Hypergraphs have a special case where  $E \subset V$ . This means that edges are allowed to connect to other edges. In figure 1.6, this is illustrated by the edge  $e_3$  connecting to three other edges. Information about these kinds of structures for knowledge representation is hard to come by and rely mostly on a form of “folk wisdom” within the mathematics community where knowledge is rarely published and mostly transmitted orally during lessons. One of the closest information available is this forum post (Kovitz 2018) that associated this type of graph to port graphs (Silberschatz 1981).

Table 1.6: List of symbols and syntax for sheaves.

Symbol	Description
$\bullet, \star, \neg$	Germ, seed and connector.
$\mathcal{F}$	Sheaf (from French <i>faisceau</i> ).

Additional information was found in the form of a contribution of Vepstas (2008) on an encyclopedia article about hypergraphs. In that contribution, he says that a generalization of hypergraph allowing for edge-to-edge connections violate the axiom of Foundation of ZFC by allowing edge-loops. Indeed, like in figure 1.6, an edge  $e_9 = \{e_{10}\}$  can connect to another edge  $e_{10} = \{e_9\}$  causing an infinite descent inside the  $\in$  relation in direct contradiction with ZFC.

This shows the limits of standard mathematics especially on the field of knowledge representation. Some structures needs higher dimensions than allowed by the one-dimensional structure of ZFC and FOL. However, it is important not to be mistaken: such non-standard set theories are more general than ZFC and therefore contains ZFC as a special case. All is a matter of restrictions.

## 1.8 Sheaf

In order to understand sheaves, we need to present a few auxiliary notions. Most of these definitions are adapted from (Vepštas 2008). The first of which is a seed.

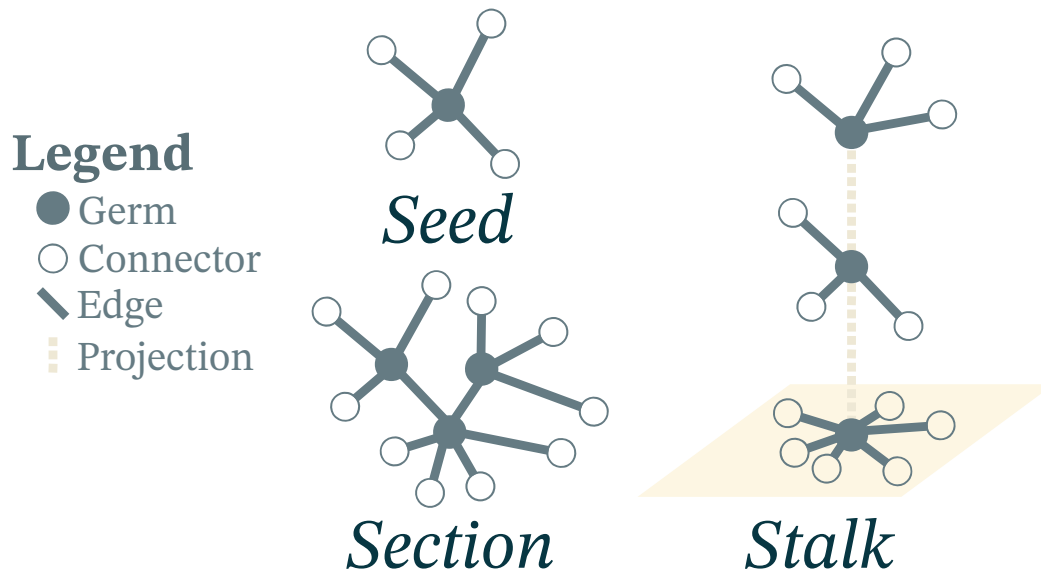


Figure 1.7: Example of a seed, a section and a stalk.

**Definition 19** (Seed). A seed corresponds to a vertex along with the set of adjacent edges. Formally we note a seed  $\star = (\bullet, \phi_g(\bullet))$  that means that a seed build from the

vertex  $\bullet$  in the graph  $g$  contains a set of adjacent edges  $\phi_g(\bullet)$ . We call the vertex  $\bullet$  the *germ* of the seed. The edges in a seed does not connect to the other vertices but keep the information and are able to match the correct vertices through typing (often a type of a single individual). We call the edges in a seed *connectors*.

Seeds are extracts of graphs that contains all information about a vertex. Illustrated in the figure 1.7, seeds have a central germ (represented with discs) and connectors leading to a typed vertex (outlined circles). Those external vertices are not directly contained in the seed but the information about what vertex can fit in them is kept. It is useful to represent connectors like jigsaw puzzle pieces: they can match only a restricted number of other pieces that match their shape.

From there, it is useful to build a kind of partial graph from seeds called sections.

**Definition 20** (Section). A section is a set of seeds that have their common edges connected. This means that if two seeds have an edge in common connecting both germs, then the seeds are connected in the section and the edges are merged. We note  $g_\star = (\bullet, \circ)$  the graph formed by the section.

In figure 1.7, a section is represented. It is a connected section composed of seeds along with the additional seeds of any vertices they have in common. They are very similar to subgraph but with an additional border of typed connectors. This tool was originally mostly meant for big data and categorization over large graphs. As graph quotient is often used in that domain, it was ported to sections instead of graphs allows us to define stalks.

**Definition 21** (Stalk). Given a projection function  $f : \bullet \rightarrow \bullet'$  over the germs of a section  $\star$ , the stalk above the vertex  $\bullet' \in \bullet'$  is the quotient of all seeds that have their germ follow  $f(\bullet) = \bullet'$ .

The quotienting is used in stalks for their projection. Indeed, as shown in figure 1.7, the stalks are simply a collection of seeds with their germs quotiented into their common projection. The projection can be any process of transformation getting a set of seeds in one side and gives object in any base space called the image. Sheaves are a generalization of this concept to sections.

**Definition 22** (Sheaf). A sheaf is a collection of sections, together with a projection. We note it  $\mathcal{F} = \langle G_\star, \pi_g \rangle$  with the function  $g$  being the gluing axioms that the projection should respect depending on the application. The projected sheaf graph is noted  $g_\mathcal{F} = \sum_{g_\star \in G_\star} \div_g(g_\star)$  as the fusion of all quotiented sections.

By merging common vertices into a section, we can build stack fields. These fields are simply a subcategory of sheaves. Illustrated in figure 1.8, a sheaf is a set of section with a projection relation.

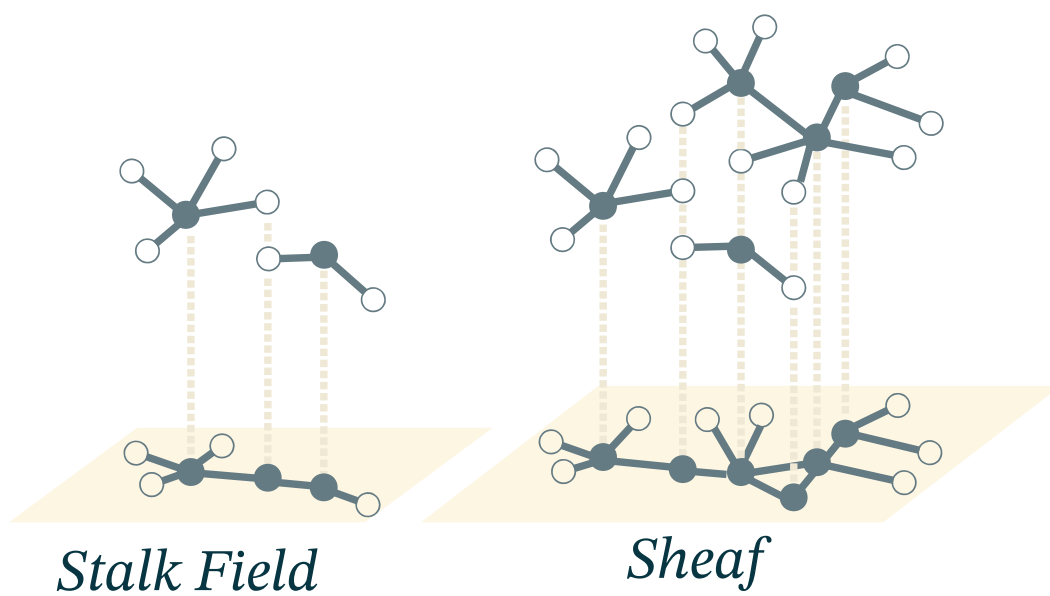


Figure 1.8: Example of sheaves.

## 2 Knowledge Representation

Knowledge representation is at the intersection of maths, logic, language and computer sciences. Knowledge description systems rely on syntax to interoperate systems and users to one another. The base of such languages comes from the formalization of automated grammars by Chomsky (1956). It mostly consists of a set of hierarchical rules aiming to deconstruct an input string into a sequence of terminal symbols. This deconstruction is called parsing and is a common operation in computer science. More tools for the characterization of computer language emerged soon after thanks to Backus (1959) while working on a programming language at IBM. This is how the Backus-Naur Form (BNF) metalanguage was created on top of Chomsky's formalization.

A similar process happened in the 1970's, when logic based knowledge representation gained popularity among computer scientists (Baader 2003). Systems at the time explored notions such as rules and networks to try and organize knowledge into a rigorous structure. At the same time other systems were built based on First Order Logic (FOL). Then, around the 1990's, the research began to merge in search of common semantics in what led to the development of Description Logics (DL). This domain is expressing knowledge as a hierarchy of classes containing individuals.

From there and with the advent of the world wide web, engineers were on the lookout for standardization and interoperability of computer systems. One such standardization took the name of "semantic web" and aimed to create a widespread network of connected services sharing knowledge between one another in a common language. At the beginning of the 21<sup>st</sup> century, several languages were created, all based on the World Wide Web Consortium (W3C) specifications called Resource Description Framework (RDF) (Klyne and Carroll 2004). This language is based on the notion of statements as triples. Each can express a unit of knowledge. All the underlying theoretical work of DL continued with it and created more expressive derivatives. One such derivative is the family of languages called Web Ontology Language (OWL) (Horrocks *et al.* 2003). Ontologies and knowledge graphs are more recent names for the representation and definition of categories (DL classes), properties and relation between concepts, data and entities.

Nowadays, when designing a knowledge representation, one usually starts with existing framework or generic knowledge database systems. The most popular in practice is certainly the classical relational database, followed closely by more novel methods for either big data or more expressive solutions like ontologies.

In our case we need a tool that is more expressive than ontologies while remaining efficient. Of course, this will lead to compromises, but can also have some interesting properties.

## 2.1 Grammar and Parsing

Grammar is an old tool that used to be dedicated to linguists. With the funding works by Chomsky and his Context-Free Grammars (CFG), these tools became available to mathematicians and shortly after to computer scientists.

A CFG is a formal grammar that aims to generate a formal language given a set of hierarchical rules. Each rule is given a symbol as a name. From any finite input of text in a given alphabet, the grammar should be able to determine if the input is part of the language it generates.

### 2.1.1 BNF

In computer science, popular metalanguage called BNF was created shortly after Chomsky's work on CFG. The syntax is of the following form :

```
<rule> ::= <other_rule> | <terminal_symbol> | "literals"
```

A terminal symbol is a rule that does not depend on any other rule. It is possible to use recursion, meaning that a rule will use itself in its definition. This actually allows for infinite languages. Despite its expressive power, BNF is often used in one of its extended forms.

In this context, we present a widely used form of BNF syntax that is meant to be human readable despite not being very formal. We add the repetition operators `*` and `+` that respectively repeat 0 and 1 times or more the preceding expression. We also add the negation operator `~` that matches only if the following expression does not match. We also add parentheses for grouping expression and brackets to group literals.

### 2.1.2 Dynamic Grammar

A regular grammar is static, it is set once and for all and will always produce the same language. In order to be more flexible we need to talk about dynamic grammars and their associated tools.

One of the main tools for both static and dynamic grammar is a parser. It is the program that will interpret the input into whatever usage it is meant for. Most of the time, a parser will transform the input into another similarly structured language. It can be a storage inside objects or memory, or compiled into another format, or even just for syntax coloration. Since a lot of usage requires the same kind of function, a new kind of tool emerged to make the creation of a parser simpler. We call those tools parser or compiler generators (Paulson 1982). They take a grammar description as input and gives the program of a parser of the generated language as an output.

For dynamic grammar, these tools can get more complicated. There are a few ways a grammar can become dynamic. The most straightforward way to make a parser dynamic is to introduce code in the rule handling that will tweak variables affecting the

parser itself (Souto *et al.* 1998). This allows for handling context in CFG without needing to rewrite the grammar.

Another kind of dynamic grammar is grammar that can modify themselves. In order to do this a grammar is valuated with reified objects representing parts of itself (Hutton and Meijer 1996). These parts can be modified dynamically by rules as the input gets parsed (Renggli *et al.* 2010; Alessandro and Piumarta 2007). This approach uses Parsing Expression Grammars (PEG)(Ford 2004) with Packrat parsing that Packrat parsing backtracks by ensuring that each production rule in the grammar is not tested more than once against each position in the input stream (Ford 2002). While PEG is easier to implement and more efficient in practice than their classical counterparts (Loff *et al.* 2018; Henglein and Rasmussen 2017), it offset the computation load in memory making it actually less efficient in general (Becket and Somogyi 2008).

Some tools actually just infer entire grammars from inputs and software (Hörschele and Zeller 2017; Grünwald 1996). However, these kinds of approaches require a lot of input data to perform well. They also simply provide the grammar after expensive computations.

## 2.2 Description Logics

One of the most standard and flexible way of representing knowledge for databases is by using ontologies. They are based mostly on the formalism of Description Logics (DL). It is based on the notion of classes (or types) as a way to make the knowledge hierarchically structured. A class is a set of individuals that are called instances of the classes. Classes got the same basic properties as sets but can also be constrained with logic formula. Constraints can be on anything about the class or its individuals. Knowledge is also encoded in relations that are predicates over attributes of individuals.

It is common when using DLs to store statements into three boxes (Baader 2003):

- The TBox for terminology (statements about types)
- The RBox for rules (statements about properties) (Bürckert 1994)
- The ABox for assertions (statements about individual entities)

These are used mostly to separate knowledge about general facts (intentional knowledge) from specific knowledge of individual instances (extensional knowledge). The extra RBox is for "knowhow" or knowledge about entity behavior. It restricts usages of roles (properties) in the ABox. The terminology is often hierarchically ordered using a subsumption relation noted  $\sqsubseteq$ . If we represent classes or type as a set of individuals then this relation is akin to the subset relation of set theory.

There are several versions and extensions of DL. They all vary in expressivity. Improving the expressivity of DL system often comes at the cost of less efficient inference engines that can even become undecidable for some extensions of DL.



## 2.3 Ontologies and their Languages

Most AI problem needs a way to represent data. The classical way to represent knowledge has been more and more specialized for each AI community. Each their Domain Specific Language (DSL) that neatly fit the specific use it is intended to do. There was a time when the branch of AI wanted to unify knowledge description under the banner of the “semantic web”. From numerous works, a repeated limitation of the “semantic web” seems to come from the languages used. In order to guarantee performance of generalist inference engines, these languages have been restricted so much that they became quite complicated to use and quickly cause huge amounts of recurrent data to be stored because of some forbidden representation that will push any generalist inference engine into undecidability.

The most basic of these languages is perhaps RDF Turtle (Beckett and Berners-Lee 2011). It is based on triples with an XML syntax and has a graph as its knowledge structure (Klyne and Carroll 2004). A RDF graph is a set of RDF triples  $\langle sub, pro, obj \rangle$  which fields are respectively called subject, property and object. It can also be seen as a partially labeled directed graph  $(V, E)$  with  $V$  being the set of RDF nodes and  $E$  being the set of edges. This graph also comes with an incomplete label  $\phi^0 : (V \cup E) \rightarrow L_{String}^{URI}$  relation. Nodes without an URI are called blank nodes. It is important that, while not named, blank nodes have a distinct internal identifier from one another that allows to differentiate them.

Built on top of RDF, the W3C recommended another standard called OWL. It adds the ability to have hierarchical classes and properties along with more advanced description of their arity and constraints. OWL is, in a way, more expressive than RDF (Van Harmelen *et al.* 2008, 1,p825). It adds most formalism used in knowledge representation and is widely used and interconnected. OWL comes in three versions: OWL Lite, OWL DL and OWL Full. The lite version is less advanced but its inference is decidable, OWL DL contains all notions of DL and the full version contains all features of OWL but is strongly undecidable.

The expressivity can also come from a lack of restriction. If we allow some freedom of expression in RDF statements, its inference can quickly become undecidable (Motik 2007). This kind of extremely permissive language is better suited for specific usage for other branches of AI. Even with this expressivity, several works still deem existing ontology system as not expressive enough, mostly due to the lack of classical constructs like lists, parameters and quantifiers that don’t fit the triple representation of RDF.

One of the ways which have been explored to overcome these limitations is by adding a 4<sup>th</sup> field in RDF. This field is meant for context and annotations. This field is used for information about any statement represented as a triple, such as access rights, beliefs and probabilities, or most of the time the source of the data (Tolksdorf *et al.* 2004). One of the other uses of the fourth field of RDF is to reify statements (Hernández *et al.* 2015). Indeed by identifying each statement, it becomes possible to efficiently for statements about statements.

A completely different approach is done by Hart and Goertzel (2008) in his framework for Artificial General Intelligence (AGI) called OpenCog. The structure of the knowl-

Table 2.1: List of classical symbols and syntax for self.

Symbol	Description
$\mathcal{D}, P, \mathbb{Q}, S, T, \mathbb{U}$	Sets for domains, properties, quantifiers, statements, types and universe.
$\mu^\pm$	Meta-relation for abstraction (+) and reification (−).
$\nu$	Name relation.
$\rho$	Parameter relation.

edge is based on a rhizome, a collection of trees, linked to one another. This structure is called Atomspace. Each vertex in the tree is an atom, leaf-vertexes are nodes, the others are links. Atoms are immutable, indexed objects. They can be given values that can be dynamic and, since they are not part of the rhizome, are an order of magnitude faster to access. Atoms and values alike are typed.

The goal of such a structure is to be able to merge concepts from widely different domains of AI. The major drawback being that the whole system is very slow compared to pretty much any domain specific software.

## 2.4 Self

As we have seen, most existing knowledge description systems have a common drawback: they are static. This means that they are either too inefficient or too specific. To fix this issue, a new knowledge representation system must be presented. The goal is to make a minimal language framework that can adapt to its use to become as specific as needed. If it becomes specific it must start from a generic base. Since that base language must be able to evolve to fit the most cases possible, it must be neutral and simple.

To summarize, that framework must maximize the following criteria:

1. **Neutral:** Must be independent from preferences and be localization.
2. **Permissive:** Must allow as many data representation as possible.
3. **Minimalist:** Must have the minimum number of base axioms and as little native notions as possible.
4. **Adaptive:** Must be able to react to user input and be as flexible as possible.

In order to respect these requirements, we developed a framework for knowledge description. This Structurally Expressive Language Framework (SELF) is our answer to these criteria. SELF is inspired by RDF Turtle and Description Logic.

### 2.4.1 Knowledge Structure

SELF extends the RDF graphs by adding another label to the edges of the graph to uniquely identify each statement. This basically turns the system into a quadruple storage even if this forth field is transparent to the user.

**Axiom (Structure).** A SELF graph is a set of statements that transparently include their own identity. The closest representation of the underlying structure of SELF is as follows:

$$g_{\mathbb{U}} = (\mathbb{U}, S) : S = \{s = \langle sub, pro, obj \rangle : s \in \mathcal{D} \vdash s \wedge \mathcal{D}\}$$

with:

- $sub, obj \in \mathbb{U}$  being entities representing the *subject* and *object* of the statement  $s$ ,
- $pro \in P$  being the *property* of the statement  $s$ ,
- $\mathcal{D} \subset S$  is the *domain* of the world  $g_{\mathbb{U}}$ ,
- $S, P \subset \mathbb{U}$  with  $S$  the set of statements and  $P$  the set of properties,

This means that the world  $g_{\mathbb{U}}$  is a graph with the set of entities  $\mathbb{U}$  as vertices and the set of statements  $S$  as edges. This model also suppose that every statement  $s$  must be true if they belong to the domain  $\mathcal{D}$ . This graph is a directed 3-uniform hypergraph.

Since sheaves are a representation of hypergraphs, we can encode the structure of SELF into a sheaf-like form. Each seed is a statement, the germ being the statement vertex. It is always accompanied of an incoming connector (its subject), an outgoing connector (its object) and a non-directed connector (its property). The sections are domains and must be coherent. Each statement, along with its property, makes a stalk as illustrated in figure 2.1.

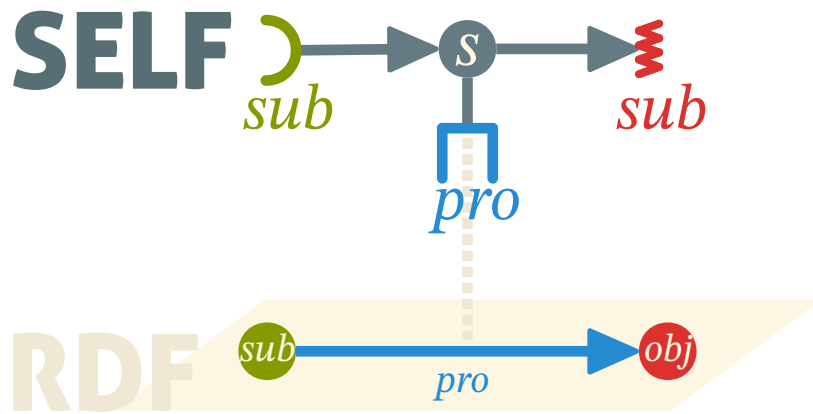


Figure 2.1: Projection of a statement from the SELF to RDF space.

The difference with a sheaf is that the projection function is able to map the pair statement-property into a labeled edge in its projection space. We map this pair into a classical labeled edge that connects the subject to the object of the statement in a directed fashion. This results in the projected structure being a correct RDF graph.

#### 2.4.1.1 Consequences

The base knowledge structure is more than simply convenience. The fact that statements have their own identity, changes the degrees of freedom of the representa-

tion. RDF has a way to represent reified statements that are basically blank nodes with properties that are related to information about the subject, property and object of a designated statement. The problem is that such statements are very differently represented and need 3 regular statements just to define. Using the fourth field, it becomes possible to make statements about *any* statements. It also becomes possible to express modal logic about statements or to express, various traits like the probability or the access rights of a statement.

The knowledge structure holds several restrictions on the way to express knowledge. As a direct consequence, we can add several theorems to the logic system underlying SELF. The axiom of **Structure** is the only axiom of the system.

**Theorem 1 (Identity).** *Any entity is uniquely distinct from any other entity.*

This theorem comes from the axiom of **Extensionality** of ZFC. Indeed it is stated that a set is a unordered collection of distinct objects. Distinction is possible if and only if intrinsic identity is assumed. This notion of identity entails that a given entity cannot change in a way that would alter its identifier.

**Theorem 2 (Consistency).** *Any statement in a given domain is consistent with any other statements of this domain.*

Consistency comes from the need for a coherent knowledge database and is often a requirement of such constructs. This theorem also is a consequence of the axiom of **Structure**:  $s \in \mathcal{D} \vdash s \wedge \mathcal{D}$ .

**Theorem 3 (Uniformity).** *Any object in SELF is an entity. Any relations in SELF are restricted to  $\mathbb{U}$ .*

This also means that all native relations are closed under  $\mathbb{U}$ . This allows for a uniform knowledge database.

#### 2.4.1.2 Native properties

theorem 1 lead to the need for two native properties in the system : *equality* and *name*.

The **equality relation**  $= : \mathbb{U} \rightarrow \mathbb{U}$ , behaves like the classical operator. Since the knowledge database will be expressed through text, we also need to add an explicit way to identify entities. This identification is done through the **name relation**  $\nu : \mathbb{U} \rightarrow L_{String}$  that affects a string literal to some entities. This lead us to introduce literals into SELF that is also entities that have a native value.

The axiom of **Structure** puts a type restriction on property. Since it compartments  $\mathbb{U}$  using various named subsets, we must adequately introduce an explicit type system into SELF. That type system requires a **type relation** (named using the colon)  $: : \mathbb{U} \rightarrow T$ . That relation is complete as all entities have a type. theorem 3 causes the set of entities to be universal. Type theory, along with Description Logic (DL), introduces a **subsumption relation**  $\subseteq : T \rightarrow T$  as a partial ordering relation to the types. Since types can be seen as sets of instances we simply use the the subset relation from set



## 2.4.2 Syntax

Since we need to respect the requirements of the problem, the RDF syntax cannot be used to express the knowledge. Indeed, RDF states native properties as English nodes with a specific URI that isn't neutral. It also isn't minimalist since it uses an XML syntax so verbose that it is not used for most examples in the documents that defines RDF because it is too confusing and complex (W3C 2004a; W3C 2004b). The XML syntax is also quite restrictive and cannot evolve dynamically to adapt to the usage.

So we need to define a new language that is minimalist and neutral. At the same time the language must be permissive and dynamic. These two goals are incompatible and will end up needing different solutions. So the solution to the problem is to actually define two languages that fit the criteria : one minimalist and one adaptive. The issue is that we need not make a user learn two languages and the second kind of language must be very specific and that violates the principle of neutrality we try to respect.

The only solution is to make a mechanism to adapt the language as it is used. We start off with a simple framework that uses a grammar.

The description of  $\mathcal{G}_0$  is pretty straightforward: it mostly is just a triple representation separated by whitespaces. The goal is to add a minimal syntax consistent with the axiom of [Structure](#). In listing 2.1, we give a simplified version of  $\mathcal{G}_0$ . It is written in a pseudo-BNF fashion, which is extended with the classical repetition operators  $*$  and  $+$  along with the negation operator  $\sim$ . All tokens have names in uppercase. We also add the following rule modifiers:

- $\langle \sim \text{name} \rangle$  are ignored for the parsing. However, the tokens are consumed and therefore acts like separators for the other rules.
- $\langle ? \text{name} \rangle$  are inferred rules and tokens. They play a key role for the process of derivation explained in section 2.4.3.

---

**Listing 2.1** Simplified pseudo-BNF description for basic SELF.

---

```
<~COMMENT: <INLINE: "//" (~["\n", "\r"])*>
| <BLOCK: "/*" (~["*/"])*> > //Ignored
<~WHITE_SPACE: " " | "\t" | "\n" | "\r" | "\f">
<LITERAL: <INT> | <FLOAT> | <CHAR> | <STRING>> //Java definition$\label{line}{line:li
<ID: <TYPE: <UPPERCASE>(<LETTERS>|<DIGITS>)* > $\label{line}{line:uppercase}$
| <ENTITY: <LOWERCASE>(<LETTERS>|<DIGITS>)*>
| <SYMBOL: (~[<LITERALS>, <LETTERS>, <DIGITS>])*>>

<worselfld> ::= <first> <statement>* <EOF>
<first> ::= <subject> <?EQUAL> <?SOLVE> <?EOS> $\label{line}{line:first}$
<statement> ::= <subject> <property> <object> <EOS> $\label{line}{line:statement}$
<subject> ::= <entity>
<property> ::= <ID> | <?meta_property>
<object> ::= <entity>
<entity> ::= <ID> | <LITERAL> | <?meta_entity>
```

---

In order to respect the principle of neutrality, the language must not suppose of any regional predisposition of the user. There are few exceptions for the sake of convenience and performance. The first exception is that the language is meant to be read from left to right and have an occidental biased `subject verb object` triple description. Another exception is for liberals that use the same grammar as in classical Java. This means that the decimal separator is the dot ( `.` ). This could be fixed in later version using dynamic definitions (see section [5.1.1](#)).

Even if sticking to the ASCII subset of characters is a good idea for efficiency, SELF can work with UTF-8 and exploits the Unicode Character Database (UCD) for its token definitions (Unicode Consortium [2018b](#)). This means that SELF comes keywords free and that the definition of each symbol is left to the user. Each notion and symbol is inferred (with the exception of the first statement which is closer to an imposed configuration file).

In  $\mathfrak{g}_0$ , the first two token definitions are ignored. This means that comments and white-spaces will act as separation and won't be interpreted. Comments are there only for convenience since they do not serve any real purpose in the language. It was arbitrarily decided to use Java-style comments. White-spaces are defined against UCD's definition of the separator category `Z&` (see Unicode Consortium [2018a](#), chap. 4).

`??` uses the basic Java definition for liberals. In order to keep the independence from any natural language, boolean literals are not natively defined (since they are English words).

Another aspect of that language independence is found starting at `??` where the definitions of `<UPPERCASE>`, `<LOWERCASE>`, `<LETTERS>` and `<DIGITS>` are defined from the UCD (respectively categories `Lu`, `Ll`, `L&`, `Nd`). This means that any language's upper case can be used in that context. For performance and simplicity reasons we will only use ASCII in our examples and application.

The rule at `??` is used for the definition of three tokens that are important for the rest of the input. `<EQUAL>` is the symbol for equality and `<SOLVE>` is the symbol for the *solution quantifier* (and also the language pendant of  $\mu^-$ ). The most useful token `<EOS>` is used as a statement delimiter. This rule also permits the inclusion of other files if a string literal is used as a subject. The underlying logic of this first statement will be presented in section [2.4.5.1](#).

At `??`, we can see one of the most defining features of  $\mathfrak{g}_0$ : statements. The input is nothing but a set of statements. Each component of the statements are entities. We defined two specific rules for the subject and object to allow for eventual runtime modifications. The property rule is more restricted in order to guarantee the non-ambiguity of the grammar.

### 2.4.3 Dynamic Grammar

The syntax we described is only valid for  $\mathfrak{g}_0$ . As long as the input is conforming to these rules, the framework keeps the minimal behavior. In order to access more features, one needs to break a rule. We add a second outcome to handling with violations :

**derivation.** There are several kinds of possible violations that will interrupt the normal parsing of the input :

- Violations of the `<first>` statement rule : This will cause a fatal error.
- Violations of the `<statement>` rule : This will cause a derivation if an unexpected additional token is found instead of `<EOS>`. If not enough tokens are present, a fatal error is triggered.
- Violations of the secondary rules (`<subject>`, `<entity>`, ...): This will cause a fatal error except if there is also an excess of token in the current statement which will cause derivation to happen.

Derivation will cause the current input to be analyzed by a set of meta-rules. The main restriction of these rules is given in  $\mathcal{G}_0$ : each statement must be expressible using a triple notation. This means that the goal of the meta-rules is to find an interpretation of the input that is reducible to a triple and to augment  $\mathcal{G}_0$  by adding an expression to any `<meta_*>` rules. If the input has fewer than 3 entities for a statement then the parsing fails. When there is extra input in a statement, there is a few ways the infringing input can be reduced back to a triple.

### 2.4.3.1 Containers

The first meta-rule is to infer a container. A container is delimited by at least a left and right delimiter (they can be the same symbol) and an optional middle delimiter. We infer the delimiters using the algorithm 1.

---

#### Algorithm 1 Container meta-rule

---

```

1: function container(Token current)
2:   lookahead(current, EOS) ▷ Populate all tokens of the statement
3:   for all token in horizon do
4:     if token is a new symbol then delimiters.append(token)
5:   if length(delimiters) < 2 then
6:     if coherentDelimiters(horizon, delimiters[0]) then
7:       inferMiddle(delimiters[0]) ▷ New middle delimiter in existing containers
8:       return Success
9:     return Failure
10:  while length(delimiters) > 0 do
11:    for all (left, middle, right) in sortedDelimiters(delimiters) do
12:      if coherentDelimiters(horizon, left, middle, right) then
13:        inferDelimiter(left, right)
14:        inferMiddle(middle) ▷ Ignored if null
15:        delimiters.remove(left, middle, right)
16:        break
17:    if length(delimiters) stayed the same then return Success
18:  return Success

```

---

The function `sortedDelimiters` at line 1 is used to generate every ordered possibility and sort them using a few criteria. The default order is possibilities grouped from left



to right. All coupled delimiters that are mirrors of each other following the UCD are preferred to other possibilities.

Checking the result of the choice is very important. At line 1 a function checks if the delimiters allow for triple reduction and enforce restrictions. For example, a property cannot be wrapped in a container (except if part of parameters). This is done in order to avoid a type mismatch later in the interpretation.

Once the inference is done, the resulting calls to `inferDelimiter` will add the rules listed in listing 2.2 to  $\mathbb{G}_0$ . This function will create a `<container>` rule and add it to the definition of `<meta_entity>`. Then it will create a rule for the container named after the UCD name of the left delimiter (searching in the `NamesList.txt` file for an entry starting with "left" and the rest of the name or defaulting to the first entry). Those rules are added as a conjunction list to the rule `<container>`. It is worthy to note that the call to `inferMiddle` will add rules to the token `<MIDDLE>` independently from any container and therefore, all containers share the same pool of middle delimiters.

---

**Listing 2.2** Rules added to the current grammar for handling the new container for parenthesis

---

```
<meta_entity> ::= <container>
<container> ::= <parenthesis> | ...
<parenthesis> ::= "(" [<naked_entity>] (<?MIDDLE> <naked_entity>)* ")"
<naked_entity> ::= <statement> | <entity>$\label{line:meta_statement}$
```

---

The rule at ?? is added once and enables the use of meta-statements inside containers. It is the language pendant of the  $\mu^+$  relation, allowing to wrap abstraction in a safe way.

### 2.4.3.2 Parameters

If the previous rule didn't fix the parsing of the statement, we continue with the following meta-rule. Parameters are extra containers that are used after an entity. Every container can be used as parameters. We detail the analysis in algorithm 2.

The goal is to match extra containers with the preceding named entity. The container is then combined with the preceding entity into a parameterized entity.

The call to `inferParameter` will add the rule in listing 2.3, replacing `<?container>` with the name of the container used (for example `<parenthesis>`).

### 2.4.3.3 Operators

A shorthand for parameters is the operator notation. It allows to affect a single parameter to an entity without using a container. It is most used for special entities like quantifiers or modifiers. This is why, once used, the parent entity takes a polymorphic type, meaning that type inference will not issue errors for any usage of them. Details of the way the operators are reduced is exposed in algorithm 3.

---

**Algorithm 2** Parameter meta-rule

---

```
1: function parameter(Entity[] statement)
2:   reduced = statement
3:   while length(reduced) > 3 do
4:     for i from 0 to length(reduced) - 1 do
5:       if name(reduced[i]) not null and
6:       type(reduced[i+1]) = Container and
7:       coherentParameters(reduced, i) then
8:         param = inferParameter(reduced[i], reduced[i+1])
9:         reduced.remove(reduced[i], reduced[i+1])
10:        reduced.insert(param, i) ▷ Replace parameterized entity
11:        break
12:     if length(statement) stayed the same then return Success
13:   return Failure
```

---

---

**Listing 2.3** Rules added to the current grammar for handling parameters

---

```
<meta_entity> ::= <ID> <?container>
<meta_property> ::= <ID> <?container>
```

---

From the call of `inferOperator`, comes new rules explicated in listing 2.4. The call also adds the operator entity to an inferred token `<OP>`.

If all meta-rules fail, then the parsing fails and returns an error to the user.

## 2.4.4 Contextual Interpretation

While parsing another important part of the processing is done after the success of a grammar rule. The grammar in SELF is valuated, meaning that each rule has to return an entity. A set of functions are used to then populate the database with the right entities or retrieve an existing one that correspond to what is being parsed.

When parsing, the rules `<entity>` and `<property>` will ask for the creation or retrieval of an entity. This mechanism will use the name of the entity and its type to retrieve an entity with the same name in a given scope.

### 2.4.4.1 Naming and Scope

When parsing an entity by name, the system will first request for an existing entity with the same name. If such an entity is retrieved, it is returned instead of creating a new one. The validity of a name is limited by the notion of scope.

A scope is the reach of an entity's direct influence. It affects the naming relation by removing variable's names. Scopes are delimited by containers and statements. This local context is useful when wanting to restrict the scope of the declaration of an entity. The main goal of such restriction is to allow for a similar mechanism as the RDF namespaces. This also makes the use of variable (RDF blank nodes) possible.

---

**Algorithm 3** Operator meta-rule

---

```
1: function operator(Entity[] statement)
2:   reduced = statement
3:   while length(reduced) > 3 do
4:     for i from 0 to length(reduced) - 1 do
5:       if  $\nu$ (reduced[i]) not null and
6:        $\nu$ (reduced[i+1]) not null and
7:       ( $\nu$ (reduced[i]) is a new symbol or
8:       reduced[i] has been parameterized before) and
9:       coherentOperator(reduced, i) then
10:        op = inferOperator(reduced[i], reduced[i+1])
11:        reduced.remove(reduced[i], reduced[i+1])
12:        reduced.insert(op, i) ▷ Replace parameterized entity
13:        break
14:     if length(statement) stayed the same then return Success
15:   return Failure
```

---

---

**Listing 2.4** Rules added to the current grammar for handling operators

---

```
<meta_entity> ::= <?OP> <ID>
<meta_property> ::= <?OP> <ID>
```

---

The scope of an entity has three special values :

- Variable: This scope restricts the scope of the entity to only the other entities in its scope.
- Local: This scope means that the parsing is still populating the scope of the entity. Its scope is limited to the currently parsing statement.
- Global: This scope means the name has no scope limitation.

The scope of an entity also contains all its parent entities, meaning all containers or statement the entity is part of. This is used when choosing between the special values of the scope. The process is detailed in algorithm 4.

The process happens for each entity created or requested by the parser. If a given entity is part of any other entity, the enclosing entity is added to its scope. When an entity is enclosed in any entity while already being a parameter of another entity, it becomes a variable.

#### 2.4.4.2 Instanciation identification

When a parameterized entity is parsed, another process starts to identify if a compatible instance already exists. From theorem 1, it is impossible for two entities to share the same identifier. This makes mandatory to avoid creating an entity that is equal to an existing one. Given the order of which parsing is done, it is not always possible to determine the parameter of an entity before its creation. In that case a later examination will merge the new entity onto the older one and discard the new identifier.

---

**Algorithm 4** Determination of the scope of an entity

---

```
1: function inferScope(Entity  $e$ )
2:   Entity[] reach = []
3:   if : ( $e$ ) =  $S$  then
4:     for all  $i \in \phi(e)$  do reach.append(inferVariable( $i$ ))      ▷ Adding scopes nested in statement  $e$ 
5:     for all  $i \in \mu^-(e)$  do reach.append(inferVariable( $i$ ))    ▷ Adding scopes nested in container  $e$ 
6:     if  $\exists \rho(e)$  then
7:       Entity[] param = inferScope( $\rho(e)$ )
8:       for all  $i \in \text{param}$  do param.remove(inferScope( $i$ ))    ▷ Remove duplicate scopes from parameters
9:       for all  $i \in \text{param}$  do reach.append(inferVariable( $i$ ))  ▷ Adding scopes from paramters of  $e$ 
10:    scope( $e$ )  $\leftarrow$  reach
11:    if GLOBAL  $\notin$  scope( $e$ ) then scope( $e$ )  $\leftarrow$  scope( $e$ )  $\cup$  {LOCAL}
12:  return reach
13: function inferVariable(Entity  $e$ )
14:   Entity[] reach = []
15:   if LOCAL  $\in$  scope( $e$ ) then
16:     for all  $i \in \text{scope}(e)$  do
17:       if  $\exists e^+ \in \mathbb{U} : \rho(p) = i$  then                      ▷  $e$  is already a parameter of another entity  $e^+$ 
18:         scope( $e$ )  $\leftarrow$  scope( $e$ )  $\setminus$  {LOCAL}
19:         scope( $e^+$ )  $\leftarrow$  scope( $e^+$ )  $\cup$  scope( $e$ )
20:         scope( $e$ )  $\leftarrow$  scope( $e$ )  $\cup$  {VARIABLE,  $p$ }
21:       reach.append( $e$ )
22:       reach.append(scope( $e$ ))
23:   return reach
```

---

## 2.4.5 Structure as a Definition

The derivation feature on its own does not allow to define most of the native properties. For that, one needs a light inference mechanism. This mechanism is part of the default inference engine. This engine only works on the principle of structure as a definition. Since all names must be neutral from any language, that engine cannot rely on regular mechanisms like configuration files with keys and values or predefined keywords.

To use SELF correctly, one must be familiar with the native properties and their structure or implement their own inference engine to override the default one.

### 2.4.5.1 Quantifiers

What are quantifiers? In SELF they differ from their mathematical counterparts. The quantifiers are special entities that are meant to be of a generic type that matches any entities including quantifiers. There are infinitely many quantifiers in SELF but they are all derived from a special one called the *solution quantifier*. We mentioned it briefly during the definition of the grammar  $\mathbb{G}_0$ . It is the language pendant of  $\mu^-$  and is used to extract and evaluate reified knowledge.

For example, the statement `bob is <SOLVE>(x)` will give either a default container filled with every value that the variable `x` can take or if the value is unique, it will take that value. If there is no value it will default to `<NULL>`, the exclusion quantifier.

How are these other quantifiers defined? We use a definition akin to Lindstöm quantifiers (1966) which is a generalization of counting quantifiers (Gradel *et al.* 1997). Meaning that a quantifier is defined as a constrained range over the quantified variable. We suppose five quantifiers as existing in SELF as native entities.

- The **solution quantifier** <SOLVE> noted § in classical mathematics, makes a query that turns the expression into the possible range of its variable.
- The **universal quantifier** <ALL> behaves like  $\forall$  and forces the expression to affect every possible value of its variable.
- The **existential quantifier** <SOME> behaves like  $\exists$  and forces the expression to match *at least one* value for its variable.
- The **uniqueness quantifier** <ONE> behaves like  $!\exists$  and forces the expression to match *exactly one* value for its variable.
- The **exclusion quantifier** <NULL> behaves like  $\neg\exists$  and forces the expression to match none of the value of its variable.

The last four quantifiers are inspired from Aristotle's square of opposition (D'Alfonso 2011).

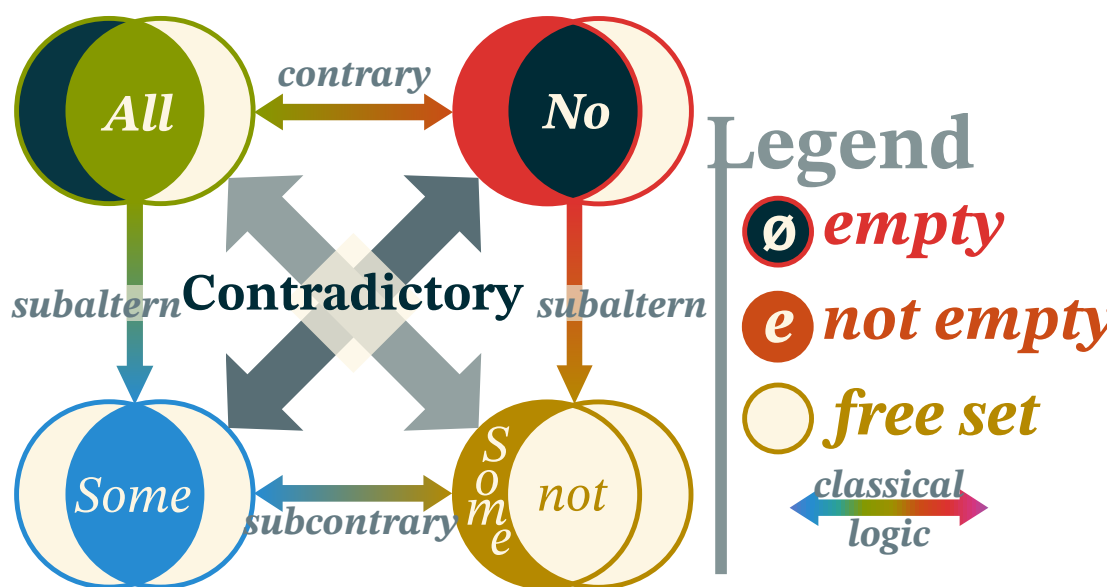


Figure 2.3: Aristotle's square of opposition

In SELF, quantifiers are not always followed by a quantified variable and can be used as a value. In that case the variable is simply anonymous. We use the exclusion quantifier as a value to indicate that there is no value, sort of like `null` or `nil` in programming languages.

In listing 2.5, we present an example file that is meant to define most of the useful native properties along with default quantifiers.

At ??, we give the first statement that defines the solution quantifier's symbol. The reason this first statement is shaped like this is that global statements are always evaluated to be a true statement. This means that anything equaling the solution quantifier

---

**Listing 2.5** The default lang.w file.

---

```
* =? ;$\label{line:first}$
?(x) = x; //Optional definition
?~ = { };
?_ ~(=) ~;
?!_ = {_};$\label{line:endquantifier}$

(*e, !T) : (e :: T); *T : (T :: Type);$\label{line:typing}$
*T : (Entity / T);$\label{line:subsumption}$

:: :: Property(Entity, Type);
(____) :: Statement;
(~, !, _, *) :: Quantifier;
( )::Group;
{ }::Set;
[ ]::List;
< >::Tuple;
Collection/(Set,List,Tuple);
0 :: Integer; 0.0::Float;
'\0'::Character; ""::String;
Literal/(Boolean, Integer, Float, Character, String);

(*e, !(s::String)) : (e named s);$\label{line:naming}$
(*e(p), !p) : (e param p);$\label{line:param}$
*(s p o):((s p o) subject s),((s p o) property p),((s p o) object o));$\label{line:incidence}$
```

---

at this level will be evaluated as a domain. If it is a string literal, then it must be either a file path or URL or a valid SELF expression. If it is a single entity then it becomes synonymous to the entire SELF domain and therefore contains everything. We can infer that it becomes the universal quantifier.

All statements up to ?? are quantifiers definitions. On the left side we got the quantifier symbol used as a parameter to the solution quantifier using the operator notation. On the right we got the domain of the quantifier. The exclusive quantifier has as a range the empty set. For the existential quantifier we have only a restriction of it not having an empty range. At last, the uniqueness quantifier got a set with only one element matching its variable (noting that anonymous variables doesn't match necessarily other anonymous variables in the same statement).

In that file the type hierarchy can be illustrated by the figure 2.4. It consist of entities that are either parameterized or not and that have a value or not.

#### 2.4.5.2 Inferring Native Properties

All native properties can be inferred by structure using quantified statements. Here is the structural definition for each of them:

- = (at ??) is the equality relation given in the first statement.
- $\subseteq$  (at ??) is the first property to relate a particular type relative to all types. That type becomes the entity type.



Figure 2.4: Hierarchy of types in SELF

- $\mu^-$  (at ??) is the solution quantifier discussed above given in the first statement.
- $\mu^+$  is represented using containers.
- $\nu$  (at ??) is the first property affecting a string literal uniquely to each entity.
- $\rho$  (at ??) is the first property to effect to all entities a possible parameter list.
- $:$  (at ??) is the first property that matches every entity to a type.
- $\phi$  (at ??) is the first property to match for all statements:
  - $\phi^-$  its subject,
  - $\phi^0$  its property,
  - $\phi^+$  its object.

We limit the inference to one symbol to make it much simpler to implement and to retrieve but, except for false positives, there are no reason it should not be possible to define several notations for each relation.

## 2.4.6 Extended Inference Mechanisms

In this section we present the default inference engine. It has only a few functionalities. It isn't meant to be universal and the goal of SELF is to provide a framework that can be used by specialists to define and code exactly what tools they need.

Inference engines need to create new knowledge but this knowledge shouldn't be simply merged with the explicit domain. Since this knowledge is inferred, it is not exactly part of the domain but must remain consistent with it. This knowledge is stored in a special scope dedicated to each inference engine. This way, inference engines can use defeasible logic or have dynamic inference from any knowledge insertion in the system.

#### 2.4.6.1 Type Inference

Type inference works on matching types in statements. The main mechanism consists in inferring the type of properties in a restrictive way. Properties have a parameterized type with the type of their subject and object. The goal is to make that type match the input subject and object.

For that we start by trying to match the types. If the types differ, the process tries to reduce the more general type against the lesser one (subsumption-wise). If they are incompatible, the inference uses some light defeasible logic to undo previous inferences. In that case the types are changed to the last common type in the subsumption tree.

However, this may not always be possible. Indeed, types can be explicitly specified as a safeguard against mistakes. If that's the case, an error is raised and the parsing or knowledge insertion is interrupted.

#### 2.4.6.2 Instantiation

Another inference tool is instantiation. Since entities can be parameterized, they can also be defined against their parameters. When those parameters are variables, it allows entities to be instantiated later.

This is a complicated process because entities are immutable. Indeed, parsing happens from left to right and therefore an entity is often created before all the instantiation information are available. Even harder are completion of definition in several separate statements. In all cases, a new entity is created and then the inference realize that it is either matching a previous definition and will need to be merged with the older entity or it is a new instance and needs all properties duplicated and instantiated.

This gives us two mechanisms to take into account: merging and instantiating.

Merging is pretty straightforward: the new entity is replaced with the old one in all of the knowledge graph. containers, parameterized entities, quantifiers and statements must be duplicated with the correct value and the original destroyed. This is a heavy and complicated process but seemingly the only way to implement such a case with immutable entities.

Instantiating is similar to merging but even more complicated. It starts with computing a relation that maps each variable that needs replacing with their grounded value. Then it duplicates all knowledge about the parent entity while applying the replacement map.



## 3 General Planning Framework

When making artificial intelligence systems, an important feature is the ability to make decisions and act accordingly. To act, one should plan ahead. This is why the field of automated planning is being actively researched in order to find efficient algorithms to find the best course of action in any given situation. The previous chapter allowed to lay the bases of knowledge representation. How knowledge about the planning domains are represented is a main factor to take into account in order to conceive any planning algorithm.

Automated planning really started being formally investigated after the creation of the Stanford Research Institute Problem Solver (STRIPS) by Fikes and Nilsson (1971). This is one of the most influential planner, not because of its algorithm but because of its input language. Any planning system needs a way to express the information related to the input problem. Any language done for this purpose is called an *action language*. STRIPS will be mostly remembered for its eponymous action language that is at the base of any modern derivatives.

All action language is based on mainly two notions: *actions* and *states*. A state is a set of *fluents* that describe aspects of the world modeled by the domain. Each action has a logic formula over states that allows its correct execution. This requirement is called *precondition*. The mirror image of this notion are possible *effects* which are logic formula that are enforced on the current state after the action is executed. The domain is completed with a problem, most of the time specified in a separate file. The problem basically contains two states: the *initial* and *goal* states.

### 3.1 Illustration

To illustrate how automated planners works, we introduce a typical planning problem called **block world**. In this example, a robotic grabbing arm tries to stack blocks on a table in a specific order. The arm is only capable of handling one block at a time. We suppose that the table is large enough so that all the blocks can be put on it without any stacks. Figure 3.1 illustrates the setup of this domain.

The possible actions are `pickup`, `putdown`, `stack` and `unstack`. There are at least three fluents needed:

- one to state if a given block is `down` on the table,
- one to specify which block is `held` at any moment and
- one to describe which block is `stacked` on which block.



Figure 3.1: The block world domain setup.

We also need a special block to state when `noblock` is held or on top of another block. This block is a constant.

The knowledge we just described is called *planning domain*.

In that example, the initial state is described as stacks and a set of blocks directly on the table. The goal state is usually the specification of one or many stacks that must be present on the table. This part of the description is called *planning problem*.

In order to solve it we must find a valid sequence of actions called a *plan*. If this plan can be executed in the initial state and result in the goal state it is called a *solution* of the planning problem. To be executed, each action must be done in a state satisfying its precondition and will alter that state according to its effects. A plan can be executed if all its action can be executed in the sequence of the plan. For example, in the block world domain we can have an initial state with the *blockB* ontop of *blockA* and the *blockC* being on the table. In figure 3.2, we give a plan solution to the problem consisting of having the stack  $\langle \text{blockA}, \text{blockB}, \text{blockC} \rangle$  from that initial state.

Every automated planner aims to find at least one such solution in any way shape or form in the least amount of time with the best plan quality. The quality of a plan is often measured by how hard it is to execute, whether by its execution time or by the ressources needed to accomplish it. This metric is often called *cost* of a plan and is often simply the sum of the cost of its actions.

Automated planning is very diverse. A lot of paradigms shifts the definition of domain, actions and even plan to widely varying extents. This is the reason why making a general planning formalism was deemed so hard or even impossible:

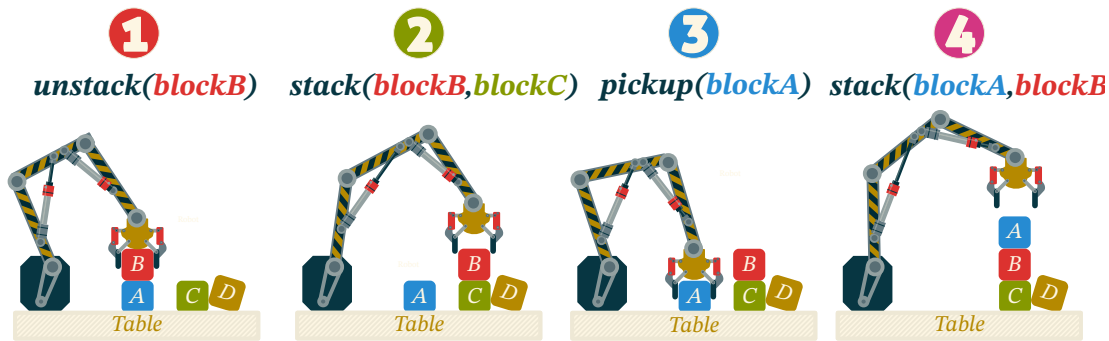


Figure 3.2: An example of a solution to a planning problem with a goal requiring three block stacked in alphabetical order.

*"It would be unreasonable to assume there is one single compact and correct syntax for specifying all useful planning problems."* (???)

Indeed, the block world example domain we give is mostly theoretical since there are infinitely more subtlety into this problem such as mechatronic engineering, balancing issues and partial ability to observe the environment and predict its evolution as well as failure in the execution. In our example, we didn't mention the misplaced *blockD* that could very well interfere with any execution in unpredictable ways. This is why so many planning paradigms exist and why they are all so diverse: they try to address an infinitely complex problem, one sub-problem at a time. In doing so we lose the general view of the problem and by simply stating that this is the only way to resolve it we close ourselves to other approaches that can become successful. Like once said:

*"The easiest way to solve a problem is to deny it exists."* Asimov (1973)

However, In the next section we aim to create such a general planning formalism. The main goal is to provide the automated planning community with a general unifying framework it so badly needs.

## 3.2 Formalism

In this section, a general formalism of automated planning is proposed. The goal is to explain what is planning and how it works. First we must express the knowledge domain formalism, then we describe how problems are represented and lastly how a general planning algorithm can be envisioned.

### 3.2.1 Planning domain

In order to conceive a general formalism for planning domains, we base its definition on the formalism of SELF. This means that all part of the domain must be a member of the universe of discourse  $\mathbb{U}$ .

Table 3.1: List of classical symbols and syntax for planning.

Symbol	Description
$F, \square, A$	Sets of fluents, states and actions.
$\otimes, \odot^\pm$	Sets of flaws and signed resolvers. Flaws have variants:
$\otimes^\dagger$	• unsupported subgoal.
$\otimes^\ddagger$	• causal threat to an existing causal link.
$\otimes^\circ$	• cycle in the plan.
$\otimes^*$	• decomposition of a compound action.
$\otimes^\sim$	• alternative to an existing action.
$\otimes^\emptyset$	• orphan action in the plan.
$\Pi, \mathbb{S}$	Sets of plans and search space.
$l \downarrow a$	Partial support of action $a$ by the causal link $l$ .
$\pi \downarrow a$	Full support of action $a$ by plan $\pi$
$<, >$	Precedence and succession relation used for order.
$\Rightarrow^*$	General shortest path algorithm.
$h$	Search heuristic.
$\mathbb{P}$	Planning problem.
$\gamma$	Constraints on the action.
$\mathfrak{c}$	Cost of an action.
$d$	Duration of an action.
$\omega$	Root operator.

### 3.2.1.1 Fluents

First, we need to define the smallest unit of knowledge in planning, the fluents.

**Definition 23** (Fluent). A planning fluent is a predicate  $f(arg_1, arg_2, \dots, arg_n) \in F$ .

Fluents are signed. Negative fluents are noted  $\neg f$  and behave as a logical complement. We do not use the closed world hypothesis: fluents are only satisfied when another compatible fluent is provided.

The name “fluent” comes from their fluctuating value. Indeed the truth value of a fluent is meant to vary with time and specifically by acting on it. In this formalism we represent fluents using either parameterized entities or using statements for binary fluents.

*Example:* In our example we have four predicates. They can form countless fluents like  $held(no - block)$ ,  $on(blockA, blockB)$  or  $\neg down(blockA)$ . Their when expressing a fluent we suppose its truth value is T and denote falsehood using the negation  $\neg$ .

When expressing states, we need a formalism to express sets of fluents as formulae.

**Definition 24** (State). A state is a set of fluent. It is provided with a truth value like a fluent and can behave like one. The truth value is the *conjunction* of all fluents within the state  $\square \vdash \bigwedge_{f \in \square} f$  denoted by a small square  $\square$ . States can contain other states in which case their truth value is the *disjunction* of the member’s truth value:  $\square \vdash \bigvee_{\square' \in \square} \square'$ . This creates an and/or tree with the branches being all *or vertices* except for the ones connecting to fluents that becomes *and vertices*. All leaves of the tree are fluents.

*Example:* In the domain block world, we can express a couple of states as set of fluents:

- $\square_1 = \{held(noblock), on(blockA, blockB), down(blockC)\}$
- $\square_2 = \{held(blockC), down(blockA), down(blockB)\}$

In such a case, both state  $\square_1$  and  $\square_2$  have their truth value being the conjunction of all their fluents. In order to express a disjunction, one has to combine states in the following way:  $\square_3 = \{\square_1, \square_2\}$ . In that case  $\square_3$  is the root of the and/or tree and all its direct children are or vertices. The states  $\square_1$  and  $\square_2$  have their children as *and* vertices since they are fluents.

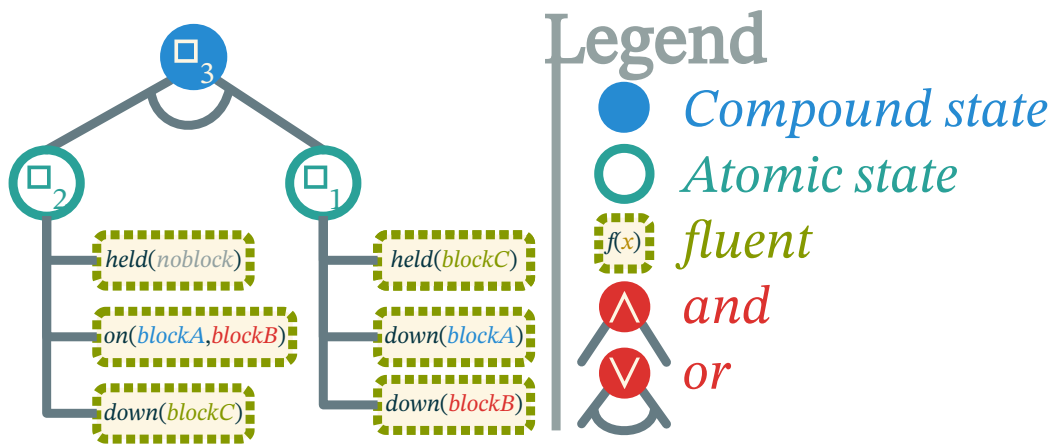


Figure 3.3: Example of a state encoded as an and/or tree.

When planning, we need to make operations on states and fluents. Namely, we need to be able to *verify* them, *unify* them and *apply* them. These three operations are defined the following way :

- **Verify:**  $\square \vdash f = \square \cup \{f\}$
- **Unify:**  $\square \sqcup f = \rho_i(f) \mapsto \rho_i(f') : f' \in \square \wedge f' \vdash f$
- **Apply:**  $f(\square) = \square \cup \{(\square \sqcup f)(f)\}$

Another important part of the behavior of fluents is their ability to match and to being unified.

Matching is the relation  $f_1 :_{\square} f_2$  that affects any pair of fluents  $\langle f_1, f_2 \rangle$  along with a context state  $\square$  to another state containing the context augmented with unification constraints or  $\emptyset$  if the two fluents are contradicting one another given the context. If the two fluents are equal or have a different function, they do not influence the context. Opposite fluents will always contradict. The quantified or variable arguments may cause contradiction or add a constraint into the context.

The actual unification relation  $f_1 \vdash_{\square} f_2$  bind any matching fluents to another grounded fluent giving the constraints of the given context.

Both relations are generalized to states by merging the result of the following way:

$$\vdash (\square_r, \square_f) = \bigcup_{f_r \in \square_f, f_f \in \square_f} \vdash (f_r, f_f, \square_a)$$

with,  $\square_r$  being the reference state and  $\square_f$  being the formula state. The state  $\square_a$  is an accumulator that is result of the partial union of the previous matching iterations. This formula is the same for  $:$  and  $\vdash$ . It is interesting to note that the relations doesn't need an additional context and share the same definition domain  $\square^2 \rightarrow \square$  when taking states as arguments.

*Example:* Using previously defined example states  $\square_{1,2,3}$ , and adding the following:

- $\square_4(x) = \{held(noblock), down(x)\}$  and
- $\square_5(y) = \{held(y), \neg down(y)\}$ ,

We can express a few example of fluent matching:

- $held(noblock) : held(x) = \{x = noblock\}$
- $\neg held(x) : held(x) = \emptyset$
- $held(blockA) :_{\square_1} held(x) = \emptyset$
- $down(blockD) :_{\square_1} down(x) = \square_1 \cup \{x = blockD\}$
- $down(blockC) :_{\square_1} down(blockC) = \square_1$

Unification of fluents goes quite simply:

- $held(noblock) \vdash held(x) = held(noblock)$
- $\neg held(x) \vdash held(x) = \emptyset$
- $held(blockC) \vdash_{\square_5(y)} held(y) = \{held(blockC), \neg down(blockC)\}$

We also can present matching on states:

- $\square_1 : \square_2 = \emptyset$
- $\square_1 : \square_4(x) = \square_1 \cup \{x = blockC\}$

And unification too:

- $\square_1 \vdash \square_4(x) = \square_1$

**FIXME: Type check and see if application is different.**

All these relations are used to check and apply actions.

### 3.2.1.2 Actions

Actions are the main mechanism behind automated planning, they describe what can be done and how it can be done.

**Definition 25 (Action).** An action is a parametrized tuple  $a(args) = \langle :, \vdash, \gamma, \$, d, \mathbb{P}, \mathbb{I} \rangle$  where:

- $:$  and  $\vdash$  are states that are respectively the **preconditions** and the **effects** of the action.

- $\gamma$  is the state representing the **constraints**.
- $\phi$  is the intrinsic **cost** of the action.
- $\delta$  is the intrinsic **duration** of the action.
- $\mathbb{P}$  is the prior **probability** of the action succeeding.
- $\mathbb{M}$  is a set of **methods** that decompose the action into smaller simpler ones.

Operators take many names in difference planning paradigm : actions, steps, tasks, etc. In our case we call operators, all fully lifted actions and actions are all the instances possibles (including operators).

In order to be more generalistic, we allow in the constraints description, any time constraints, equalities or inequalities, as well as probabilistic distributions. These constraints can also express derived predicates. It is even possible to place arbitrary constraints on order and selection of actions.

Actions are often represented as state operators that can be applied in given state to alter it. The application of actions is done by using the actions as relations  $a : \square \rightarrow \square$  defined as follow:  $a(\square) = \square \vdash_{\square:a} a$

$$a(\square) = \begin{cases} \emptyset, & \text{if } \square : a = \emptyset \\ \square \vdash a, & \text{otherwise} \end{cases}$$

*Example:* A useful action we can define from previously defined states is the following:

$$pickup(x) = \langle \square_4(x), \square_5(x), (x : Block), 1.0\phi, 3.5s, 75\%, \emptyset \rangle$$

That action can pickup a block  $x$  in 3.5 seconds using a cost of 1.0 with a prior success probability of 75%.

### 3.2.1.3 Domain

The domain specifies the allowed operators that can be used to plan and all the fluents they use as preconditions and effects.

**Definition 26 (Domain).** A domain  $\mathcal{D}$  is a set of **operators** which are fully lifted *actions*, along with all the relations and entities needed to describe their preconditions and effects.

*Example:* In the previous examples the domain was named block world. It consists in four actions: *pickup*, *putdown*, *stack* and *unstack*. Usually the domain is self contained, meaning that all fluents, types, constants and operators are contained in it.

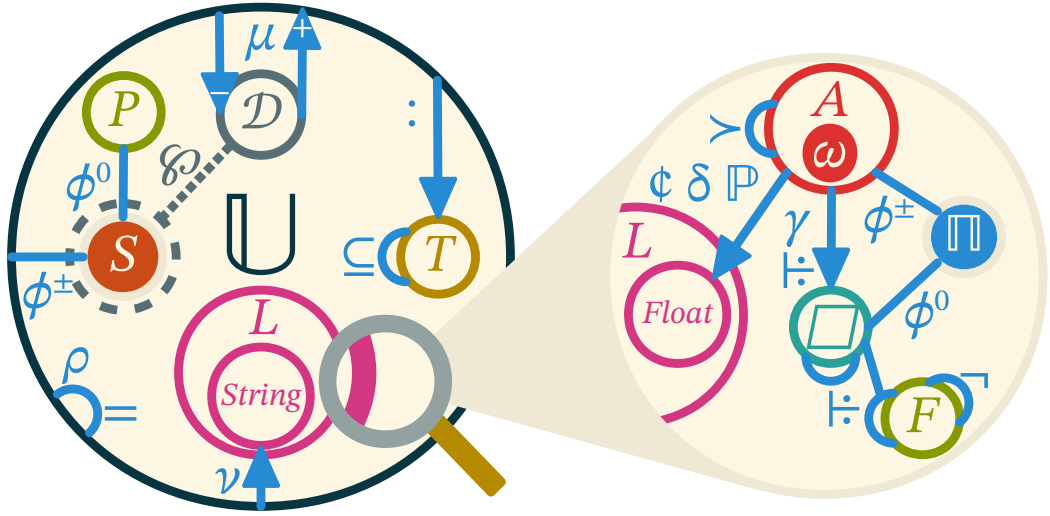


Figure 3.4: Venn diagram extended from the one from SELF to add all planning knowledge representation.

### 3.2.2 Planning problem

The aim of an automated planner is to find a plan satisfying the goal. This plan can be of multiple forms, and there can even be multiple plans that meet the demand of the problem.

#### 3.2.2.1 Solution

**Definition 27** (Partial Plan / Method). A partially ordered plan is an *acyclic* directed graph  $\pi = (A_\pi, E)$ , with:

- $A_\pi$  the set of **steps** of the plan as vertices. A step is an action belonging in the plan.  $A_\pi$  must contain an initial step  $a_\pi^0$  and goal step  $a_\pi^*$  as convenience for certain planning paradigms.
- $E$  the set of **causal links** of the plan as edges. We note  $l = a_s \xrightarrow{\square} a_t$  the link between its source  $a_s$  and its target  $a_t$  caused by the set of fluents  $\square$ . If  $\square = \emptyset$  then the link is used as an ordering constraint.

This definition can express any kind of plans, either temporal, fully or partially ordered or even loose hierarchical plans (using the methods of the actions). It can even express diverse planning results.

In our framework, *ordering constraints* are defined as the transitive cover of causal links over the set of steps. We note ordering constraints:  $a_a > a_s$ , with  $a_a$  being *anterior* to its *successor*  $a_s$ . Ordering constraints cannot form cycles, meaning that the steps must be different and that the successor cannot also be anterior to its anterior steps:  $a_a \neq a_s \wedge a_s \not> a_a$ . If we need to enforce order, we simply add a link without specifying



a cause. The use of graphs and implicit order constraints help to simplify the model while maintaining its properties. Totally ordered plans are done by specifying links between all successive actions of the sequence.

*Example:* In the section 3.1, we described a classical fully ordered plan, illustrated in figure 3.2. A partially ordered plan has a tree-like structure except that it also meet in a “sink” vertex (goal step). We explicit this structure in figure 3.5.

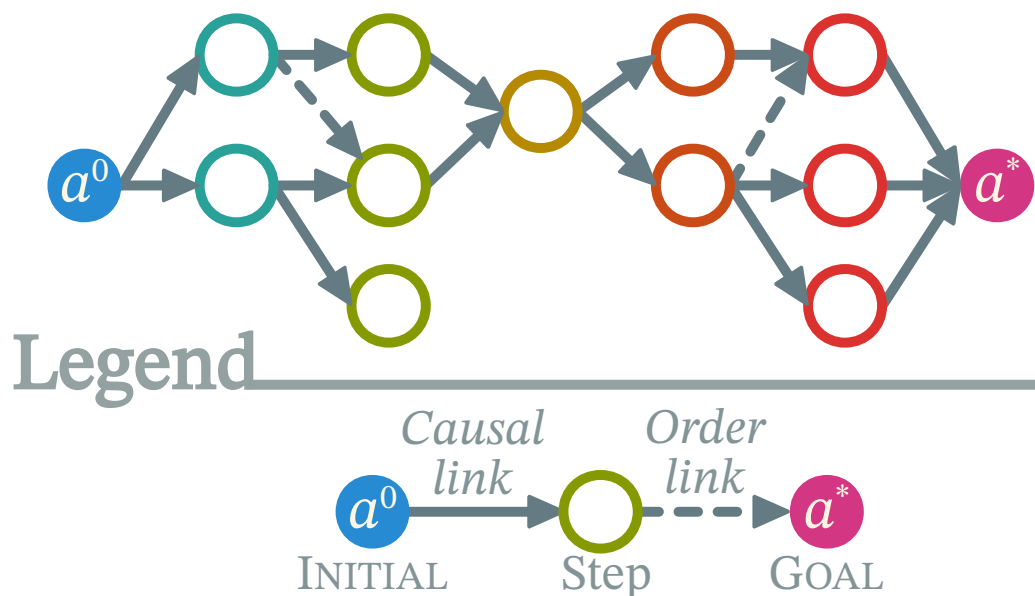


Figure 3.5: Example of the structure of a partially ordered plan.

### 3.2.2.2 Problem

With this formalism, the problem is very simplified but still general.

**Definition 28** (Problem). The planning problem is defined as the **root operator**  $\omega$  which methods are potential solutions of the problem. Its preconditions and effects are respectively used as initial state and goal description.

As actions are very general, it is interesting to make the problem and domain space homogenous by using an action to describe any problem.

Most of the specific notions of this framework are optionnal. Any planner using it will probably define what features it supports when compiling input domains and problems.

All notions explained so far are represented in the figure 3.4 adding to the SELF Venn diagram.

### 3.2.3 Planning algorithm

The general planning algorithm can be described as a guided exploration of a search space. The detailed structure of the search space as well as search iterators are dependant on the planning paradigm used.

#### 3.2.3.1 Search space

**Definition 29** (Planner). A planning algorithm, often called planner, is an exploration of a search space  $\mathbb{S}$  partially ordered by an iterator  $\phi_{\mathbb{S}}^+$  guided by a heuristic  $h$ . From any problem  $\mathbb{p}$  every planner can derive two informations immediately:

- the starting point  $s_0 \in \mathbb{S}$  and
- the solution predicate  $?_{s^*}$  that gives the validity of any potential solution in the search space.

Formally the problem can be exprimed as a pathfinding problem in the dirrected graph  $g_{\mathbb{S}}$  formed by the vertex set  $\mathbb{S}$  and the adjacence function  $\phi_{\mathbb{S}}^+$ . The set of solutions is therefore expressed as:

$$\mathbb{S}^* = \{s^* : \langle s_0, s^* \rangle \in E_{\chi^+(g_{\mathbb{S}})} \wedge ?_{s^*}\}$$

In automated planning there are also other considerations about the search.

#### 3.2.3.2 Diversity

Sometimes, it is necessary to find alternatives. Since re-planning from scratch is computationally demanding, it is better to find several solutions at once. This approach is called *diverse planning*. It aims to find  $k$  solutions that deviates from one another significantly. This simply make the process return when either it found  $k$  solutions or when it determined that  $k > |\mathbb{S}^*|$ .

#### 3.2.3.3 Temporality

Another aspect of planning lies in its timming. Indeed sometimes acting needs to be done before a dealine and planning is useful only durring a finite timeframe. We add a predicate that specifies time constraints over algorithms  $t : \mathbb{A} \rightarrow \mathbb{A}$ . This constraint has three main type of application:

- $t_{\odot}$ : Optimal search without time limitation, finding the best solution everytime.
- $t_{CHRONO}$ : Anytime search, finding a solution and improving its quality until stopped.
- $t_{TIMEOUT}$ : Real-time search, being able to give a solution in a given time even if it is an approximation.

### 3.2.3.4 General planner

A general planner  $\mathbb{C}^*[\mathbb{S}, \phi_{\mathbb{S}}^+, h, \rightarrow](\mathcal{D}, \mathbb{p})$  is an algorithm that can plan any formalism of automated planning. It takes two set of parameters:

- **Formalism dependant parameters**
  - $\mathbb{S}$  the search space
  - $\phi_{\mathbb{S}}^+$  the search iterator
  - $h$  the heuristic
  - $\rightarrow$  the problem transformation function
- **Domain depedant parameters**
  - $\mathcal{D}$  the *planning domain*
  - $\mathbb{p}$  the *planning problem*

The heuristic  $h(\mathbb{s})$  gives off the shortest predicted distance to any point of the solution space. The exploration is guided by it by minimizing its value.

Other informations must be added to any problem  $\mathbb{p}$  in the form of constraints:

$$(t(\mathbb{C}) \bowtie |\mathbb{M}(\omega)| = k) \in c(\omega)$$

The value for  $k$  is extracted from the problem and the temporality is expressed using either  $\wedge$ ,  $\vee$  or  $\wedge\perp\vee$  instead of  $\bowtie$ .

The transformation function  $\mathbb{p} \rightarrow \langle \mathbb{s}_0, ?_{\mathbb{s}^*} \rangle$  gives the starting point  $\mathbb{s}_0$  and the solution predicate  $?_{\mathbb{s}^*}$ . This predicate is derived from the problem description and its constraints.

For the algorithm itself, we simply use a parameterized instance of the  $K^*$  algorithm (Aljazzar and Leue 2011, alg. 1). This algorithm uses the classical algorithm  $A^*$  to explore the graph while using Dijkstra on some sections to find the  $k$  shortest paths. The parameters are as follow:  $K^*(g_{\mathbb{S}}, \mathbb{s}_0, ?_{\mathbb{s}^*}, h)$ . The solution predicate contains the expression of the restriction of  $k$  solutions, therefore, it superseeds the need for the  $k$  parameter. We also add the heuristic  $h$  to guide the  $A^*$  part of the algorithm.

Of course this algorithm is merely an example of a general planner algorithm. Its efficiency hasn't been tested.

## 3.3 Classical Formalisms

One of the most comprehensive work on sumarizing the automated planning domain was done by Ghallab *et al.* (2004). This book explains the different planning paradigm of its time and gives formal description of some of them. This work has been updated later (Ghallab *et al.* 2016) to reflect the changes occuring in the planning community.

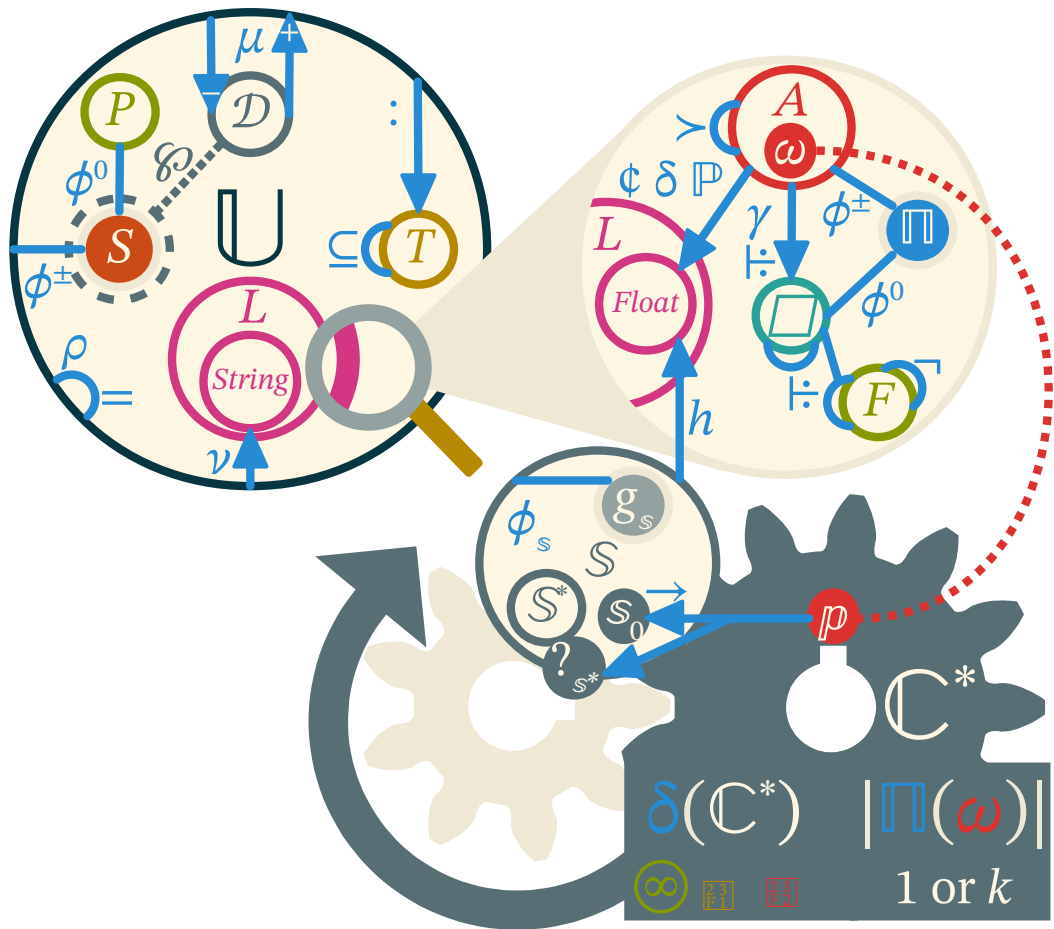


Figure 3.6: Venn diagram extended with general planning formalism.

### 3.3.1 State-transition planning

The most classical representation of automated planning is using the state transition approach: actions are operators on the set of states and a plan is a finite-state automaton. We can also see that problem description as either a graph exploration problem or even a constraint satisfaction problem. In any way that problem is isomorph to its original formulation and most efficient algorithms use a derivative of A\* exploration techniques on the state space.

This makes this kind of planning quite simple to instantiate from the general planner:

$$\mathbb{C}_{state} = \mathbb{C}^* \left[ \square, \bigcup_{a \in A} a(\mathbb{s}), h, : (\omega), \vdash (\omega) \right]$$

For this formalism, we often set  $k = 1$  and  $t(\mathbb{C}_{state}) = t_{\otimes}$  as is customary in classical planning. It can also be specified as a backward search by inverting the application of  $a$  with  $a^{-1}$  and having the starting state as  $: (\omega)$  and solution predicate as  $\vdash (\omega)$ .

State based planning usually suppose total knowledge of the state space and action behavior. No concurrency or time constraints are expressed and the state and action space must be finite as well as the resulting state graph. This process is also deterministic and doesn't allow uncertainty. The result of such a planning is a totally ordered sequence of actions called a plan. The total order needs to be enforced even if it is unnecessary.

All those features are important in practice and lead to other planning paradigms that are more complex than classical state based planning.

### 3.3.2 Plan space planning

Plan Space Planning (PSP) is a form of planning that use plan space as its search space. It starts with an empty plan and try to iteratively refine that plan into a solution.

$$\mathbb{C}_{psp} = \mathbb{C}^* \left[ \mathbb{P}, \bigcup_{f \in \otimes(\mathbb{s})} r(\mathbb{s}), h, (\{a_{\mathbb{w}}^0, a_{\mathbb{w}}^*\}, \{a_{\mathbb{w}}^0 \rightarrow a_{\mathbb{w}}^*\}), \otimes(\mathbb{s}) = \emptyset \right]$$

with  $a_{\mathbb{w}}^0$  and  $a_{\mathbb{w}}^*$  being the intial and goal steps of the plan  $\mathbb{s}_0$  such that  $\vdash (a_{\mathbb{w}}^0) = : (\omega)$  and  $: (a_{\mathbb{w}}^*) = \vdash (\omega)$ . The iterator is all the possible resolutions of all flaws on any plan  $\mathbb{s}$  and the solution predicate is true when the plan has no more flaws.

Details about flaws, resolver and the overall Partial Order Causal Links (POCL) algorithm will be presented **LATER**.

This approach usually can give a partial plan if we set  $t(\mathbb{C}_{psp}) < t(\exists \mathbb{w} \in \mathbb{P} \wedge ?_{\mathbb{s}}(\mathbb{w}))$ . This plan is not a solution but can eventually be engineered into having approximative properties relative to a solution.

Table 3.2: List of classical symbols and syntax for probabilities.

Symbol	Description
$\mathbb{P}(e)$	Probability of event $e$ .
$\mathcal{O}$	Set of observations.
$ $	Reward function.

### 3.3.3 Case based planning

Another plan oriented planning is called Case-Based Planning (CBP). This kind of planning relies on a library of already complete plans and try to find the most appropriate one to repair.

$$\mathbb{C}_{cbp} = \mathbb{C}^* [\mathcal{L}^{\mathbb{T}}, \odot(\mathbb{s}), h, \sigma^*(\mathcal{L}^{\mathbb{T}}, \omega), \mathbb{s}(: (\omega)) \Downarrow \vdash (\omega)]$$

with  $\mathcal{L}^{\mathbb{T}}$  being the plan library. The planner selects efficiently a plan that fit the best with the initial and goal state of the problem. This plan is then repaired and validated iteratively. The problem with this approach is that it may be unable to find a valid plan or might need to populate and maintain a good plan library. For such case an auxiliary planner is used (preferably diverse with  $k > 1$ ).

### 3.3.4 Probabilistic planning

**FIXME** Reward using rupee symbol  $|$

Probabilistic planning tries to deal with uncertainty by generating a policy instead of a plan. The initial problem holds probability laws that govern the execution of any actions. It is sometimes accompanied with a reward function instead of a deterministic goal.

$$\mathbb{C}_{prob} = \mathbb{C}^* \left[ \square \times A, \mathbb{s}_{+1} = \bigcup_{a \in A}^{a(\square) \neq \emptyset} \langle \pi_{\langle \square', a' \rangle \rightarrow a'(\square')} \sigma(\mathbb{s}_{+1}), a \rangle, h|, \bigcup_{a \in A}^{a(:(\omega)) \neq \emptyset} \langle :(\omega), a \rangle, \square \vdash \omega \right]$$

The state  $\square$  is a state chosen from the frontiere. The frontiere is updated at each iteration with the application of a non-deterministically chosen pair of the last policy insertion. The search stops when all elements in the frontiere are goal states.

### 3.3.5 Hierarchical planning

Hierarchical Task Networks (HTN) are a totally different kind of planning paradigm. Instead of a goal description, HTN uses a root task that needs to be decomposed. The task decomposition is an operation that replaces a task (action) by one of its methods  $\Pi$ .

$$\mathbb{C}_{htn} = \mathbb{C}^* = [\mathbb{M}, (\sigma\{a \in A_s : \mathbb{M}_a \neq \emptyset\} \rightarrow \sigma(\mathbb{M}_a))(\mathbb{s}), h, \omega, \forall a \in A_s : \mathbb{M}(a) = \emptyset]$$

## 3.4 Existing Languages and Frameworks

### 3.4.1 Classical

After STRIPS, one of the first language to be introduced to express planning domains like ADL (Pednault 1989). That formalism adds negation and conjunction into literals to STRIPS. It also drops the closed world hypothesis for an open world one: anything not stated in conditions (initial or action effects) is unknown.

The current standard was strongly inspired by Penberthy *et al.* (1992) and his UCPOP planner. Like STRIPS, UCPOP had a planning domain language that was probably the most expressive of its time. It differs from ADL by merging the add and delete lists in effects and to change both preconditions and effects of actions into logic formula instead of simple states.

The PDDL language was created for the first major automated planning competition hosted by AIPS in 1998 (???). It came along with a syntax and solution checker written in Lisp. It was introduced as a way to standardize notation of planning domains and problems so that libraries of standard problems can be used for benchmarks. The main goal of the language was to be able to express most of the planning problems of the time.

With time, the planning competitions became known under the name of International Planning Competitions (IPC) regularly hosted by the ICAPS conference. With each installment, the language evolved to address issues encountered the previous years. The current version of PDDL is 3.1 (Kovacs 2011). Its syntax, goes similarly as described in listing 3.1.

---

#### Listing 3.1 Simplified explanation of the syntax of PDDL.

---

```
(define (domain <domain-name>)
  (:requirements :<requirement-name>)
  (:types <type-name>)
  (:constants <constant-name> - <constant-type>)
  (:predicates (<predicate-name> ?<var> - <var-type>))
  (:functions (<function-name> ?<var> - <var-type>) - <function-type>)

  (:action <action-name>
    :parameters (?<var> - <var-type>)
    :precondition (and (= (<function-name> ?<var>) <value>) (<predicate-name> ?<var>))
    :effect
    (and (not (<predicate-name> ?<var>))
      (assign (<function-name> ?<var>) ?<var>))))
```

---

PDDL uses the functional notation style of LISP. It defines usually two files: one for the domain and one for the problem instance. The domain describes constants, fluents and all possible actions. The problem lays the initial and goal states description.

For example, consider the classic block world domain expressed in listing 3.2. It uses a predicate to express whether a block is on the table because several blocks can be on the table at once. However it uses a 0-ary function to describe the one block allowed to be held at a time. The description of the stack of blocks is done with an unary function to give the block that is on top of another one. To be able to express the absence of blocks it uses a constant named `no-block`. All the actions described are pretty straightforward: `stack` and `unstack` make sure it is possible to add or remove a block before doing it and `pick-up` and `put-down` manages the handling operations.

However, PDDL is far from an universal standard. Some efforts have been made to try and standardize the domain of automated planning in the form of optional requirements. The latest of the PDDL standard is the version 3.1 (Kovacs 2011). It has 18 atomic requirements as represented in figure 3.7. Most requirements are parts of PDDL that either increase the complexity of planning significantly or that require extra implementation effort to meet.

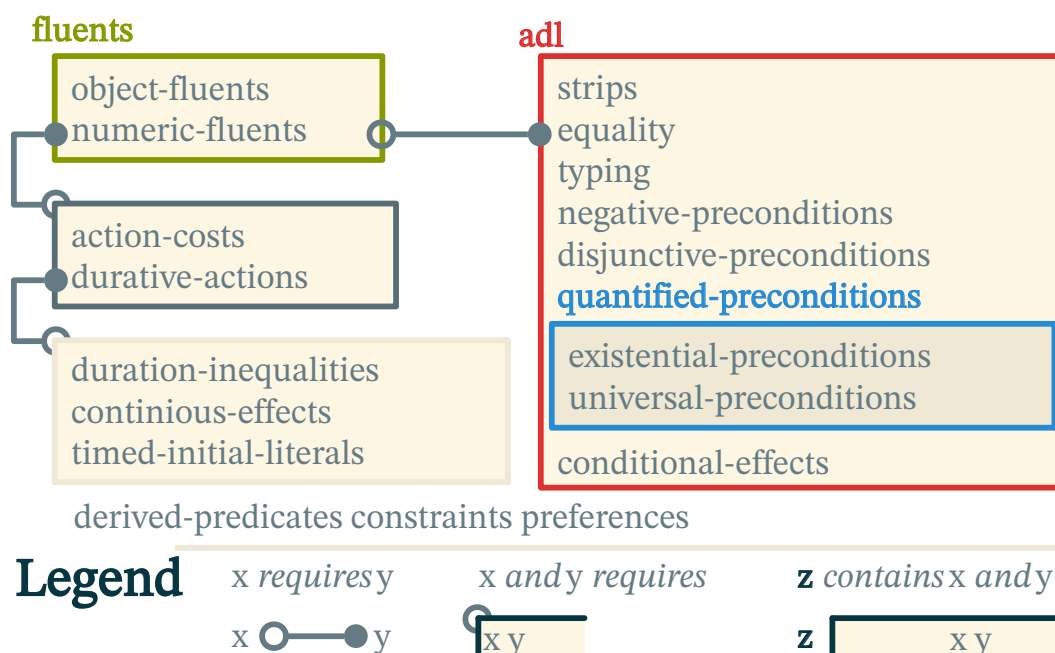


Figure 3.7: Dependancies and grouping of PDDL requirements.

Even with that flexibility, PDDL is unable to cover all of automated planning paradigms. This caused most subdomains of automated planning to be left in a state similar to before PDDL: a zoo of languages and derivatives that aren't interoperable. The reason for this is the fact that PDDL isn't expressive enough to encode more than a limited variation in action and fluent description.

Another problem is that PDDL isn't made to be used by planners to help with their planning process. Most planners will totally separate the compilation of PDDL before



Table 3.3: Planners participating in the Classic track of the 2018 International Planning Competition (IPC). The table states whether the planner used a translation and a preprocessing system to handle PDDL. Most of the planners are based on FastDownward directly.

Name	Trans	Pre	Lang	Base	Rank
Delfi	Yes	Yes	C++	FD	1
Complementary	Yes	Yes	C++	FD	2
Planning-PDBs	Yes	Yes	C++	FD	3
Scorpion	Yes	Yes	C++	FD	4
FDMS	Yes	Yes	C++	FD	5
DecStar	Yes	Yes	C++	LAMA	6
Metis	Yes	Yes	C++	FD	7
MSP	Yes	Yes	Lisp	FD	8
Symple	Yes	Yes	C++	FD	9
Ma-plan	No	Yes	C	None	10

doing any planning, so much so that most planners of the latest IPC used a framework that translates PDDL into a useful form before planning, adding computation time to the planning process. The list of participating planners and their use of language is presented in table 3.3.

The domain is so diverse that attempts to unify it haven't succeeded so far. The main reason behind this is that some paradigms are vastly different from the classical planning description. Sometimes just adding a seemingly small feature like probabilities or plan reuse can make for a totally different problem. In the next section we describe planning paradigms and how they differ from classical planning along with their associated languages.

### 3.4.2 Temporality oriented

When planning, time can become a sensitive constraint. Some critical tasks may required to be completed within a certain time. Actions with durations are already a feature of PDDL 3.1. However, PDDL might not provide support for external events (i.e. events occurring independent from the agent). To do this one must use another language.

#### 3.4.2.1 PDDL+

PDDL+ is an extension of PDDL 2.1 that handles process and events (Fox and Long 2002). It can be viewed as similar to PDDL 3.1 continuous effects but it differs on the expressivity. A process can have an effect on fluents at any time. They can happen either from the agent's own doing or being purely environmental. It might be possible in certain cases to modelize this using the durative actions, continuous effects and timed initial literals of PDDL 3.1.

In listing 3.3, we reproduce an example from Fox and Long (2002). It shows the syntax of durative actions in PDDL+. The timed precondition are also available in PDDL 3.1, but the `increase` and `decrease` rate of fluents is an exclusive feature of PDDL+.

The main issue with durative actions is that time becomes a continuous resource that may change the values of fluents. The search for a plan in that context has a higher complexity than regular planning.

### 3.4.3 Probabilistic

Sometimes, acting can become unpredictable. An action can fail for many reasons, from logical errors down to physical constraints. This calls for a way to plan using probabilities with the ability to recover from any predicted failures. PDDL doesn't support using probabilities. That is why all IPC's tracks dealing with it always used another language than PDDL.

#### 3.4.3.1 PPDDL

PPDDL is such a language. It was used during the 4<sup>th</sup> and 5<sup>th</sup> IPC for its probabilistic track (Younes and Littman 2004). It allows for probabilistic effects as demonstrated in listing 3.4. The planner must take into account the probability when choosing an action. The plan must be the most likely to succeed. But even with the best plan, failure can occur. This is why probabilistic planning often gives policies instead of a plan. A policy dictates the best choice in any given state, failure or not. While this allows for much more resilient execution, computation of policies are exponentially harder than classical planning. Indeed the planner needs to take into account every outcome of every action in the plan and react accordingly.

#### 3.4.3.2 RDDL

Another language used by the 7<sup>th</sup> IPC's uncertainty track is RDDL (???). This language has been chosen because of its ability to express problems that are hard to encode in PDDL or PPDDL. Indeed, RDDL is capable of expressing Partially Observable Markovian Decision Process (POMDP) and Dynamic Bayesian Networks (DBN) in planning domains. This along with complex probability laws allows for easy implementation of most probabilistic planning problems. Its syntax differs greatly from PDDL, and seems closer to `scala` or `C++`. An example is provided in listing 3.5 from (???). In it, we can see that actions in RDDL don't need preconditions or effects. In that case the reward is the closest information to the classical goal and the action is simply a parameter that will influence the probability distribution of the events that conditioned the reward.

### 3.4.4 Multi-agent

Planning can also be a collective effort. In some cases, a system must account for other agents trying to either cooperate or compete in achieving similar goals. The problem that arise is coordination. How to make a plan meant to be executed with several agents concurrently ? Several multi-agent action languages have been proposed to answer that question.

#### 3.4.4.1 MAPL

Another extension of PDDL 2.1, MAPL was introduced to handle synchronization of actions (Brenner 2003). This is done using modal operators over fluents. In that regard, MAPL is closer to the PDDL+ extension proposed earlier. It introduce durative actions that will later be integrated into the PDDL 3.0 standard. MAPL also introduce a synchronization mechanism using speech as a communication vector. This seems very specific as explicit communication isn't a requirement of collaborative work. listing 3.6 is an example of the syntax of MAPL domains. PDDL 3.0 seems to share a similar syntax.

#### 3.4.4.2 MA-PDDL

Another aspect of multi-agent planning is the ability to affect tasks and to manage interactions between agents efficiently. For this MA-PDDL seems more adapted than MAPL. It is an extension of PDDL 3.1, that makes easier to plan for a team of heterogeneous agents (Kovács 2012). In the example in listing 3.7, we can see how action can be affected to agents. While it makes the representation easier, it is possible to obtain similar effect by passing an agent object as parameter of an action in PDDL 3.1. More complex expressions are possible in MA-PDDL, like referencing the action of other agents in the preconditions of actions or the ability to affect different goals to different agents. Later on, MA-PDDL was extended with probabilistic capabilities inspired by PPDDL (Kovács and Dobrowiecki 2013).

### 3.4.5 Hierarchical

Another approach to planning is using Hierarchical Tasks Networks (HTN) to resolve some planning problem. Instead of searching to satisfy a goal, HTNs try to find a decomposition to a root task that fit the initial state requirements and that generate an executable plan.

#### 3.4.5.1 UMCP

One of the first planner to support HTN domains was UCMP by Erol *et al.* (1994). It uses Lisp like most of the early planning systems. Apparently PDDL was in part inspired by UCMP's syntax. Like for PDDL, the domain file describes action (called operators here) and their preconditions and effects (called postconditions). The syntax is

demonstrated in listing 3.8. The interesting part of that language is the way decomposition is handled. Each task is expressed as a set of methods. Each method has an expansion expression that specifies how the plan should be constructed. It also has a pseudo precondition with modal operators on the temporality of the validity of the literals.

#### 3.4.5.2 SHOP2

The next HTN planner is SHOP2 by Nau *et al.* (2003). It remains to this day, one of the reference implementation of an HTN planner. The SHOP2 formalism is quite similar to UCMP's: each method has a signature, a precondition formula and eventually a decomposition description. This decomposition is a set of methods like in UCMP. The methods can be also partially ordered allowing more expressive plans. An example of the syntax of a method is given in listing 3.9.

#### 3.4.5.3 HDDL

A more recent example of HTN formalism comes from the PANDA framework by Bercher *et al.* (2014). This framework is considered the current standard of HTN planning and allows for great flexibility in domain description. PANDA takes previous formalism and generalize them into a new language exposed in listing 3.10. That language was called HDDL after its most used file extension.

#### 3.4.5.4 HPDDL

A very recent language proposition was done by RAMOUL (2018). He proposes HPDDL with a simple syntax similar to the one of UCMP. In listing 3.11 we give an example of HPDDL method. Its expressive power seems similar to that of UCMP and SHOP. Except for a possible commercial integration with PDDL4J (Pellier and Fiorino 2017), there doesn't seem to have any advantages compared to earlier works.

### 3.4.6 Ontological

Another old idea was to merge automated planning and other artificial intelligence fields with knowledge representation and more specifically ontologies. Indeed, since the "semantic web" is already widespread for service description, why not make planning compatible with it to ease service composition ?

#### 3.4.6.1 WebPDDL

This question finds its first answer in 2002 with WebPDDL. This language, explicit in listing 3.12, is meant to be compatible with RDF by using URI identifiers for domains (McDermott and Dou 2002). The syntax is inspired by PDDL, but axioms are added as constraints on the knowledge domain. Actions also have a return value and can have variables that aren't dependant on their parameters. This allows for greater expressivity than regular PDDL, but can be partially emulated using PDDL 3.1 constraints and object fluents.

#### 3.4.6.2 OPT

This previous work was updated by McDermott (2005). The new version is called OPT and allows for some further expressivity. It can express hierarchical domains with links between actions and even advanced data structure. The syntax is mostly an update of WebPDDL. In listing 3.13, we can see that the URIs were replaced by simpler names, the action notation was simplified to make the parameter and return value more natural. Axioms were replaced by facts with a different notation.

### 3.5 Color and general planning representation

From the general formalism of planning proposed earlier, it is possible to create an instantiation of the SELF language for expressing planning domains. This extension was the primary goal of creating SELF and uses almost all features of the language.

#### 3.5.1 Framework

In order to describe this planning framework into SELF, we simply put all fields of the actions into properties. Entities are used as fluents, and the entire knowledge domain as constraints. We use parameterized types as specified **BEFORE**.

The file presented in listing 3.14, gives the definition of the syntax of fluents and actions in SELF. The first line includes the default syntax file using the first statement syntax. The fluents are simply typed as entities. This allows them to be either parameterized entities or statements. States are either a set of fluent or a logical statement between states or fluents. When a state is represented as a set, it represents the conjunction of all fluents in the set.

Then at ??, we define the preconditions, effects and constraints formalism. They are represented as simple properties between actions and states. This allows for simple expression of commonly expressed formalism like the ones found in PDDL. ?? expresses the other attributes of actions like cost, duration and prior probability of success.

Plans are needed to be represented in the files, especially for case based and hierarchical paradims. They are expressed using statements for causal link representation. The

property  $\rightarrow$  is used in these statements and the causes are either given explicitly as parameters of the property or they can be inferred by the planner. We add a last property to express methods relative to their actions.

### 3.5.2 Example domain

Using the classical example domain used earlier we can write the following file in listing 3.15.

At line ??, We need to include the file defined in listing 3.14. After that ?? defines the allowed arity of each relation/function used by fluents. This restricts eventually the cardinality between parameters (one to many, many to one, etc).

?? encodes the action *pickup* defined earlier. It is interesting to note that instead of using a constant to denote the absence of block, we can use an anonymous exclusive quantifier to make sure no block is held. This is quite useful to make concise domains that stays expressive and intuitive.

### 3.5.3 Differences with PDDL

SELF+Color is more concise than PDDL. It will infer most types and declaration. Variables are also inferred if they are used more than once in a statement and also part of parameters.

While PDDL uses a fixed set of extensions to specify the capabilities of the domain, SELF uses inclusion of other files to allow for greater flexibility. In PDDL, everything must be declared while in SELF, type inference allows for usage without definition. It is interesting to note that the use of variables names  $x$  and  $y$  are arbitrary and can be changed for each statement and the domain will still be functionally the same. The line 3 in listing 3.2 is a specific feature of SELF that is absent in PDDL. It is possible to specify constraints on the cardinality of properties. This limits the number of different combination of values that can be true at once. This is typically done in PDDL using several predicate or constraints.

Most of the differences can be summarized saying that 'SELF do it once, PDDL needs it twice'. This doesn't only mean that SELF is more compact but also that the expressivity allows for a drastic reduction of the search space if taken into account. Thiébaux *et al.* (2005) advocate for the recognition of the fact that expressivity isn't just a convenience but is crucial for some problem and that treating it like an obstacle by trying to compile it away only makes the problem worse. If a planner is agnostic to the domain and problem, it cannot take advantages of clues that the instantiation of an action or even its name can hold (Babli *et al.* 2015).

Whatever the time and work that an expert spend on a planning domain it will always be incomplete and fixed. SELF allows for dynamical extension and even addresses the use of reified actions as parameters. Such a framework can be useful in multi-agent systems where agents can communicate composite actions to instruct another agent. It can also be useful for macro-action learning that allows to learn hierarchical domains from repeating observations. It can also be used in online planning to repair a plan

that failed. And at last this mechanism can be used for explanation or inference by making easy to map two similar domains together. (lots of **CITATION**).

Also another difference between SELF and PDDL is the underlying planning framework. We presented the one of SELF but PDDL seems to suppose a more classical state based formalism. For example the fluents are of two kind depending if they are used as precondition or effects. In the first case, the fluent is a formula that is evaluated like a predicate to know if the action can be executed in any given state. Effects are formula enforcing the values of existing fluent in the state. SELF just suppose that the new knowledge is enforcing and that the fluents are of the same kind since verification about the coherence of the actions are made prior to its application in planning.

---

**Listing 3.2** Classical PDDL 3.0 definition of the domain Block world

---

```
(define (domain BLOCKS-object-fluents)
  (:requirements :typing :equality :object-fluents)
  (:types block)
  (:constants no-block - block)
  (:predicates (on-table ?x - block))
  (:functions (in-hand) - block
              (on-block ?x - block) - block) ;;what is in top of block ?x

  (:action pick-up
    :parameters (?x - block)
    :precondition (and (= (on-block ?x) no-block) (on-table ?x) (= (in-hand) no-block))
    :effect
    (and (not (on-table ?x))
          (assign (in-hand) ?x)))

  (:action put-down
    :parameters (?x - block)
    :precondition (= (in-hand) ?x)
    :effect
    (and (assign (in-hand) no-block)
          (on-table ?x)))

  (:action stack
    :parameters (?x - block ?y - block)
    :precondition (and (= (in-hand) ?x) (= (on-block ?y) no-block))
    :effect
    (and (assign (in-hand) no-block)
          (assign (on-block ?y) ?x)))

  (:action unstack
    :parameters (?x - block ?y - block)
    :precondition (and (= (on-block ?y) ?x) (= (on-block ?x) no-block) (= (in-hand) no-block))
    :effect
    (and (assign (in-hand) ?x)
          (assign (on-block ?y) no-block))))
```

---



---

**Listing 3.3** Example of PDDL+ durative action from Fox’s paper.

---

```
(:durative-action downlink
  :parameters (?r - recorder ?g - groundStation)
  :duration (> ?duration 0)
  :condition (and (at start (inView ?g))
                  (over all (inView ?g))
                  (over all (> (data ?r) 0)))
  :effect (and (increase (downlinked)
                     (* #t (transmissionRate ?g)))
              (decrease (data ?r)
                     (* #t (transmissionRate ?g)))))
```

---

---

**Listing 3.4** Example of PPDDL use of probabilistic effects from Younes’ paper.

---

```
(define (domain bomb-and-toilet)
  (:requirements :conditional-effects :probabilistic-effects)
  (:predicates (bomb-in-package ?pkg) (toilet-clogged)
               (bomb-defused))
  (:action dunk-package
    :parameters (?pkg)
    :effect (and (when (bomb-in-package ?pkg)
                     (bomb-defused))
                 (probabilistic 0.05 (toilet-clogged)))))
```

---

---

**Listing 3.5** Example of RDDDL syntax by Sanner.

---

```
////////////////////////////////////
// A simple propositional 2-slice DBN (variables are not parameterized).
//
// Author: Scott Sanner (ssanner [at] gmail.com)
////////////////////////////////////
domain prop_dbn {

    requirements = { reward-deterministic };

    pvariables {
        p : { state-fluent, bool, default = false };
        q : { state-fluent, bool, default = false };
        r : { state-fluent, bool, default = false };
        a : { action-fluent, bool, default = false };
    };

    cpfs {
        // Some standard Bernoulli conditional probability tables
        p' = if (p ^ r) then Bernoulli(.9) else Bernoulli(.3);

        q' = if (q ^ r) then Bernoulli(.9)
              else if (a) then Bernoulli(.3) else Bernoulli(.8);

        // KronDelta is like a DiracDelta, but for discrete data (boolean or int)
        r' = if (~q) then KronDelta(r) else KronDelta(r <=> q);
    };

    // A boolean functions as a 0/1 integer when a numerical value is needed
    reward = p + q - r; // a boolean functions as a 0/1 integer when a numerical value
}

instance inst_dbn {

    domain = prop_dbn;
    init-state {
        p = true; // could also just say 'p' by itself
        q = false; // default so unnecessary, could also say '~q' by itself
        r; // same as r = true
    };

    max-nondef-actions = 1;
    horizon = 20;
    discount = 0.9;
}
```

---

---

**Listing 3.6** Example of MAPL syntax by Brenner.

---

```
(:state-variables
  (pos ?a - agent) - location
  (connection ?p1 ?p2 - place) - road
  (clear ?r - road) - boolean)
(:durative-action Move
  :parameters (?a - agent ?dst - place)
  :duration (:= ?duration (interval 2 4))
  :condition
    (at start (clear (connection (pos ?a) ?dst)))
  :effect (and
    (at start (:= (pos ?a) (connection (pos ?a) ?dst)))
    (at end (:= (pos ?a) ?dst))))
```

---

---

**Listing 3.7** Example of MA-PDDL syntax by Kovacs.

---

```
(define (domain ma-lift-table)
  (:requirements :equality :negative-preconditions
    :existential-preconditions :typing :multi-agent)
  (:types agent) (:constants table)
  (:predicates (lifted (?x - object) (at ?a - agent ?o - object))
  (:action lift :agent ?a - agent :parameters ()
  :precondition (and (not (lifted table)) (at ?a table)
    (exists (?b - agent)
      (and (not (= ?a ?b)) (at ?b table) (lift ?b)))))
  :effect (lifted table)))
```

---

---

**Listing 3.8** Example of the syntax used by UCMF.

---

```
(constants a b c table) ; declare constant symbols
(predicates on clear) ; declare predicate symbols
(compound-tasks move) ; declare compound task symbols
(primitive-tasks unstack dostack restack) ; declare primitive task symbols
(variables x y z) ; declare variable symbols

(operator unstack(x y)
  :pre ((clear x)(on x y))
  :post ((~on x y)(on x table)(clear y)))
(operator dostack (x y)
  :pre ((clear x)(on x table)(clear y))
  :post ((~on x table)(on x y)(~clear y)))
(operator restack (x y z)
  :pre ((clear x)(on x y)(clear z))
  :post ((~on x y)(~clear z)(clear y)(on x z)))

(declare-method move(x y z)
  :expansion ((n restack x y z))
  :formula (and (not (veq y table))
                (not (veq x table))
                (not (veq z table))
                (before (clear x) n)
                (before (clear z) n)
                (before (on x y) n)))

(declare-method move(x y z)
  :expansion ((n dostack x z))
  :formula (and (veq y table)
                (before (clear x) n)
                (before (on x y) n)))
```

---

---

**Listing 3.9** Example of method in the SHOP2 language.

---

```
(:method
  ; head
  (transport-person ?p ?c2)
  ; precondition
  (and
    (at ?p ?c1)
    (aircraft ?a)
    (at ?a ?c3)
    (different ?c1 ?c3))
  ; subtasks
  (:ordered
    (move-aircraft ?a ?c1)
    (board ?p ?a ?c1)
    (move-aircraft ?a ?c2)
    (debark ?p ?a ?c2)))
```

---

---

**Listing 3.10** Example of HDDL syntax as used in the PANDA framework.

---

```
(define (domain transport)
  (:requirements :typing :action-costs)
  (:types
    location target locatable - object
    vehicle package - locatable
    capacity-number - object
  )
  (:predicates
    (road ?l1 ?l2 - location)
    (at ?x - locatable ?v - location)
    (in ?x - package ?v - vehicle)
    (capacity ?v - vehicle ?s1 - capacity-number)
    (capacity-predecessor ?s1 ?s2 - capacity-number)
  )

  (:task deliver :parameters (?p - package ?l - location))
  (:task unload :parameters (?v - vehicle ?l - location ?p - package))

  (:method m-deliver
    :parameters (?p - package ?l1 ?l2 - location ?v - vehicle)
    :task (deliver ?p ?l2)
    :ordered-subtasks (and
      (get-to ?v ?l1)
      (load ?v ?l1 ?p)
      (get-to ?v ?l2)
      (unload ?v ?l2 ?p))
  )

  (:method m-unload
    :parameters (?v - vehicle ?l - location ?p - package ?s1 ?s2 - capacity-number)
    :task (unload ?v ?l ?p)
    :subtasks (drop ?v ?l ?p ?s1 ?s2)
  )

  (:action drop
    :parameters (?v - vehicle ?l - location ?p - package ?s1 ?s2 - capacity-number)
    :precondition (and
      (at ?v ?l)
      (in ?p ?v)
      (capacity-predecessor ?s1 ?s2)
      (capacity ?v ?s1)
    )
    :effect (and
      (not (in ?p ?v))
      (at ?p ?l)
      (capacity ?v ?s2)
      (not (capacity ?v ?s1))
    )
  )
)
```

---

**Listing 3.11** Example of HPDDL syntax as described by Ramoul.

---

```
(:method do_navigate
:parameters(?x - rover ?from ?to - waypoint)
:expansion((tag t1 (navigate ?x ?from ?mid))
            (tag t2 (visit ?mid))
            (tag t3 (do_navigate ?x ?mid ?to))
            (tag t4 (unvisited ?mid)))
:constraints((before (and (not (can_traverse ?x ?from ?to)) (not (visited ?mid))
                          (can_traverse ?x ?from ?mid)) t1))))
```

---

---

**Listing 3.12** Example of WebPDDL syntax by Mc Dermott.

---

```
(define (domain www-agents)
  (:extends (uri "http://www.yale.edu/domains/knowing")
            (uri "http://www.yale.edu/domains/regression-planning")
            (uri "http://www.yale.edu/domains/commerce"))
  (:requirements :existential-preconditions :conditional-effects)
  (:types Message - Obj Message-id - String)
  (:functions (price-quote ?m - Money)
              (query-in-stock ?pid - Product-id)
              (reply-in-stock ?b - Boolean) - Message)
  (:predicates (web-agent ?x - Agent)
               (reply-pending a - Agent id - Message-id msg - Message)
               (message-exchange ?interlocutor - Agent
                                ?sent ?received - Message
                                ?eff - Prop)
               (expected-reply a - Agent sent expect-back - Message))
  (:axiom
    :vars (?agt - Agent ?msg-id - Message-id ?sent ?reply - Message)
    :implies (normal-step-value (receive ?agt ?msg-id) ?reply)
    :context (and (web-agent ?agt)
                  (reply-pending ?agt ?msg-id ?sent)
                  (expected-reply ?agt ?sent ?reply)))
  (:action send
    :parameters (?agt - Agent ?sent - Message)
    :value (?sid - Message-id)
    :precondition (web-agent ?agt)
    :effect (reply-pending ?agt ?sid ?sent))
  (:action receive
    :parameters (?agt - Agent ?sid - Message-id)
    :vars (?sent - Message ?eff - Prop)
    :precondition (and (web-agent ?agt) (reply-pending ?agt ?sid ?sent))
    :value (?received - Message)
    :effect (when (message-exchange ?agt ?sent ?received ?eff) ?eff)))
```

---

---

**Listing 3.13** Example of the updated OPT syntax as described by Mc Dermott.

---

```
(define (domain www-agents)
  (:extends knowing regression-planning commerce)
  (:requirements :existential-preconditions :conditional-effects)
  (:types Message - Obj Message-id - String )
  (:type-fun (Key t) (Feature-type (keytype t)))
  (:type-fun (Key-pair t) (Tup (Key t) t))
  (:functions (price-quote ?m - Money)
              (query-in-stock ?pid - Product-id)
              (reply-in-stock ?b - Boolean) - Message)
  (:predicates (web-agent ?x - Agent)
              (reply-pending a - Agent id - Message-id msg - Message)
              (message-exchange ?interlocutor - Agent
                                ?sent ?received - Message
                                ?eff - Prop)
              (expected-reply a - Agent sent expect-back - Message))
  (:facts
    (freevars (?agt - Agent ?msg-id - Message-id
                ?sent ?reply - Message)
      (<- (and (web-agent ?agt)$\iffalse>\fi$
              (reply-pending ?agt ?msg-id ?sent)
              (expected-reply ?agt ?sent ?reply))
          (normal-value (receive ?agt ?msg-id) ?reply))))
  (:action (send ?agt - Agent ?sent - Message) - (?sid - Message-id)
    :precondition (web-agent ?agt)
    :effect (reply-pending ?agt ?sid ?sent))
  (:action (receive ?agt - Agent ?sid - Message-id) - (?received - Message)
    :vars (?sent - Message ?eff - Prop)
    :precondition (and (web-agent ?agt)
                      (reply-pending ?agt ?sid ?sent))
    :effect (when (message-exchange ?agt ?sent ?received ?eff) ?eff)))
```

---

---

**Listing 3.14** Content of the file "planning.w"

---

```
"lang.w" = ? ; //include default language file.
Fluent = Entity;
State = (Group(Fluent), Statement);
BooleanOperator = (&,|);
(pre,eff, constr)::Property(Action,State);$\label{line:preeff}$
(costs,lasts,probability) ::Property(Action,Float);$\label{line:attributes}$
Plan = Group(Statement);$\label{line:plan}$
-> ::Property(Action,Action); //Causal links$\label{line:causal links}$
methods ::Property(Action,Plan);
```

---

---

**Listing 3.15** Blockworld written in SELF to work with Color

---

```
"planning.w" = ? ; //include base terminology $\label{line:include}$

(! on !, held(!), down(_)) :: Fluent;$\label{line:arity}$

pickUp(x) pre (~ on x, down(x), held(~));$\label{line:pickup}$
pickUp(x) eff (~(down(x)), held(~));

putDown(x) pre (held(x));
putDown(x) eff (held(~), down(x));

stack(x, y) pre (held(x), ~ on y);
stack(x, y) eff (held(~), x on y);

unstack(x, y) pre (held(~), x on y);
unstack(x, y) eff (held(x), ~ on y);
```

---



## 4 Online and Flexible Planning Algorithms

Since automated planning comes in a variety of paradigms, so does the planners algorithms. It amounts to such a number of planners that listing all those that exists would be a terribly long endeavour.

In that chapter, we present planners and approaches to inverted planning and intent recognition. To do that we must first have a performant online planning algorithm that can take into account observed plans or fluents and find the most likely plan being pursued by an external agent.

Classical planning can be used for such a work but lacks flexibility when needing to replan at high frequency. The planner must be either able to reuse previously found plans or be able to give quickly plans that are good approximation of the intended goal. We could use probabilistic planning, especially Partially Observable Markovian Decision Process (POMDP) to directly encode the intent recognition problem but that approach have been explored in great detail already, including numerous bayesian network approaches. We propose to create planners fit for this use by deriving from POCL and HTN planning.

### 4.1 Existing Algorithms

In order to make such a planner, few paradigms are interesting and quite useful. The first one is PSP, that allows to refine plans into solutions.

#### 4.1.1 Plan Space Planning

Every PSP algorithms works in a similar way: their search space is the set of all plans and its iteration operation is plan refinement. This means that every PSP planner searches for *flaws* in the current plan and then computes a set of *resolvers* that potentially fix it. The algorithm starts with an empty plan only having the initial and goal step and recursively refine the plan until all flaws have been solved. The PSP approach has two main advantages:

1. It is very flexible since it allows for custom definition for flaws in the plan and ways to fix them and
2. It allows delayed comitment and makes it possible to cut the search tree early on.

It however has also several inconvenients:

1. Since it manipulates plans, the data structure operations are much more complex and therefore requires more overhead.
2. Backtracking is required in some cases and amount to a drastically decreased efficiency.

#### 4.1.1.1 Existing PSP planners

Related works already tried to explore new ideas to make PSP an attractive alternative to regular state-based planners like the appropriately named “Reviving partial order planning” (Nguyen and Kambhampati 2001) and VHPOP (Younes and Simmons 2003). More recent efforts (Coles *et al.* 2011; Sapena *et al.* 2014) are trying to adapt the powerful heuristics from state-based planning to PSP’s approach. An interesting approach of these last efforts is found in (Shekhar and Khemani 2016) with meta-heuristics based on offline training on the domain. Yet, we clearly note that only a few papers lay the emphasis upon plan quality using PSP (Ambite and Knoblock 1997).

#### 4.1.1.2 Definitions

In ?? we have formalized how PSP works in the general planning formalism. However, since this formalism is very new, it isn’t used by the rest of the community. This means that we still need to define the classical PSP algorithm. In order to define this algorithm we need to explain the notions of flaws and resolvers.

**Definition 30** (Flaws). Flaws are constraints violations within a plan. The set of flaws in a plan  $\pi$  is noted  $\otimes_{\pi}$ . There are different kind of flaws in classical PSP and additional ones can be defined depending on the application.

Classical flaws often have a few common features. They are often **positive** since they *add* causal links and step in a plan to refine it. They have a *proper fluent*  $f$  that is the cause of the violation in the plan the flaw is representing and a *needer*  $a_n$  that is the action requiring the proper fluent be fulfilled. In classical PSP flaws are either:

- **Subgoals**, also called *open condition* that are yet to be supported by a *provider*  $a_p$ . We note subgoals  $f \otimes_{\pi}^{\dagger} a_n$ .
- **Threats** are caused by steps that can break a causal link with their effects. They are called *breakers* of the threatened link. A step  $a_b$  threatens a causal link  $l_t = a_p \xrightarrow{f} a_n$  if and only if  $(f : a_b = \emptyset) \wedge a_b \not\prec a_p \wedge a_n \not\prec a_b$ . Said otherwise, the breaker can cancel an effect of a providing step  $a_p$ , before it gets used by its needer  $a_n$ . We note threats  $f \otimes_{\pi}^{\dagger} a_n$ .

*Example:* In the block world example we used previously, we can get the first flaws being the open conditions of the goal step. Once fixed, along with open, conditions of the added steps, we have a threat **TODO** as shown in figure 4.1.

These flaws need to be fixed in order for the plan to be valid. In POCL it is done by finding their resolvers.



Figure 4.1: Example of partial plan having flaws

**Definition 31** (Resolvers). A resolver is a plan refinement that attempts to solve a flaw  $\otimes_{\mathbb{P}}$ . Since classical flaws are positive, so are the classical resolvers. They are defined as follow:

- For *subgoals*, the resolvers are a set of potential causal links containing the proper fluent  $f$  of a given subgoal in their causes while taking the needer step  $a_n$  as their target and a **provider** step  $a_p$  as their source. They are noted  $\odot^+(f \otimes_{\mathbb{P}}^{\dagger} a_n) = a_p \xrightarrow{f} a_n$ .
- For *threats*, we usually consider only two resolvers: **demotion** ( $a_b > a_p$ ) and **promotion** ( $a_n > a_b$ ) of the breaker relative to the threatened link. We call the added causeless causal link a **guarding** link.

It is possible to introduce extra resolvers to fix custom flaws. In such a case we call positive resolvers, those which adds causal links and steps to the plan and negative those that removes causal links and steps. It is preferable to engineer flaws and resolver to not mix positive and negative aspect at once because of the complicated side effects that might result from it.

*Example:* From our previous example, **TODO** figure 4.2.

The application of a resolver does not necessarily mean progress. It can have consequences that may require reverting its application in order to respect the backtracking of the POCL algorithm.

**Definition 32** (Side effects). Flaws that are caused by the application of a resolver are called *related flaws*. They are inserted into the *agenda* with each application of a resolver:

- *Related subgoals* are all the new open conditions inserted by new steps.

An agenda is a flaw container used for the flaw selection of POCL.



Figure 4.2: Example of resolvers that fixes the previously illustrated flaws

- *Related threats* are the causal links threatened by the insertion of a new step or the deletion of a guarding link.

Flaws can also become irrelevant when a resolver is applied. It is always the case for the targeted flaw, but this can also affect other flaws. Those *invalidated flaws* are removed from the agenda upon detection:

- *Invalidated subgoals* are subgoals satisfied by the new causal links or the removal of their needer.
- *Invalidated threats* happen when the breaker no longer threatens the causal link because the order guards the threatened causal link or either of them has been removed.

*Example:* **TODO**

In algorithm 5 we present a generic version of POCL inspired by Ghallab *et al.* (2004, sec. 5.4.2).

#### **FIXME** Symbol update

For our version of POCL we follow a refinement procedure that works in several generic steps. In figure 4.4 we detail the resolution of a subgoal as done in the algorithm 5.

The first is the search for resolvers. It is often done in two separate steps: first, select the candidates and then check each of them for validity. This is done using the polymorphic function `solve` at algorithm 5.

In the case of subgoals, variable unification is performed to ensure the compatibility of the resolvers. Since this step is time-consuming, the operator is instantiated accordingly at this step to factories the computational effort. Composite operators have also all their methods instantiated at this step if they are selected as a candidate.



Figure 4.3: Example of the side effects of the application of a resolver

---

**Algorithm 5** Partial Order Planner

---

<pre> 1: <b>function</b> POCL(Agenda <math>a</math>, Problem <math>\mathcal{P}</math>) 2:   <b>if</b> <math>a = \emptyset</math> <b>then</b> 3:     <b>return</b> Success 4:   Flaw <math>f \leftarrow \text{choose}(a)</math> 5:   Resolvers <math>R \leftarrow \text{solve}(f, \mathcal{P})</math> 6:   <b>for all</b> <math>r \in R</math> <b>do</b> 7:     <math>\text{apply}(r, \pi)</math> 8:     Agenda <math>a' \leftarrow \text{update}(a)</math> 9:     <b>if</b> POCL(<math>a', \mathcal{P}</math>) = Success <b>then</b> 10:      <b>return</b> Success 11:    <math>\text{revert}(r, \pi)</math> 12:   <math>a \leftarrow a \cup \{f\}</math> 13:   <b>return</b> Failure </pre>	<p> <math>\triangleright</math> Populated agenda needs to be provided  <math>\triangleright</math> Stops all recursion  <math>\triangleright</math> Heuristically chosen flaw    <math>\triangleright</math> Non-deterministic choice operator  <math>\triangleright</math> Apply resolver to partial plan    <math>\triangleright</math> Refining recursively    <math>\triangleright</math> Failure, undo resolver application  <math>\triangleright</math> Flaw was not resolved  <math>\triangleright</math> Revert to last non-deterministic choice </p>
---	---

---

Then a resolver is picked non-deterministically for applications (this can be heuristically driven). At algorithm 5 the resolver is effectively applied to the current plan. All side effects and invalidations are handled during the update of the agenda at algorithm 5. If a problem occurs, algorithm 5 backtracks and tries other resolvers. If no resolver fits the flaw, the algorithm backtracks to previous resolver choices to explore all the possible plans and ensure completeness.



Figure 4.4: Example of the refinement process for subgoal resolution

#### 4.1.2 Plan repair

In order to make an efficient online planner, we must be able to capitalize on previously computed plans. This leads to the idea of plan repair or case based planning for online planning.

Classical PSP algorithms don't take as an input an existing plan but can be enhanced to fit plan repairing, as for instance in (Van Der Krogt and De Weerd [2005](#)). Usually, PSP algorithms take a problem as an input and use a loop or a recursive function to refine the plan into a solution. We can't solely use the refining recursive function to be able to use our existing partial plan. This causes multiples side effects if the input plan is suboptimal. This problem was already explored as of LGP-adapt ([???](#)) that explains how re-using a partial plan often implies replanning parts of the plan.

#### 4.1.3 HTN

HTN is often combined with classical approaches since it allows for a more natural expression of domains making expert knowledge easier to encode. These kinds of planners are named **decompositional planners** when no initial plan is provided (Fox [1997](#)).

Most of the time the integration of HTN simply consists in calling another algorithm when introducing a composite operator during the planning process. The DUET planner by Gerevini *et al.* (2008) does so by calling an instance of a HTN planner based on task insertion called SHOP2 (Nau *et al.* 2003) to decompose composite actions. Some planners take the integration further by making the decomposition of composite actions into a special step in their refinement process. Such works include the discourse generation oriented DPOCL (Young and Moore 1994) and the work of Kambhampati *et al.* (1998) generalizing the practice for decompositional planners.

In our case, we chose a class of hierarchical planners based on Plan-Space Planning (PSP) algorithms (Bechon *et al.* 2014; Dvorak *et al.* 2014; Bercher *et al.* 2014) as a reference approach. The main difference here is that the decomposition is integrated into the classical POCL algorithm by only adding new types of flaws. This allows keeping all the flexibility and properties of POCL while adding the expressivity and abstraction capabilities of HTN.

## 4.2 Lollipop

### 4.2.1 Operator Graph

One of the main contributions of the present paper is our use of the concept of *operator graph*. First of all, we define this notion.

**Definition 33** (Operator Graph). An operator graph  $O^\Pi$  of a set of operators  $O$  is a labeled directed graph that binds two operators with the causal link  $o_1 \xrightarrow{f} o_2$  iff there exists at least one unifying fluent  $f \in eff(o_1) \cap pre(o_2)$ .

This definition was inspired by the notion of domain causal graph as explained in (Göbelbecker *et al.* 2010) and originally used as a heuristic in (Helmert *et al.* 2011). Causal graphs have fluents as their nodes and operators as their edges. Operator graphs are the opposite: an *operator dependency graph* for a set of actions. A similar structure was used in (???) that builds the operator dependency graph of goals and uses precondition nodes instead of labels. Cycles in this graph denote the dependencies of operators. We call *co-dependent* operators that form a cycle. If the cycle is made of only one operator (self-loop), then it is called *auto-dependent*.

While building this operator graph, we need a **providing map** that indicates, for each fluent, the list of operators that can provide it. This is a simpler version of the causal graphs that is reduced to an associative table easier to update. The list of providers can be sorted to drive resolver selection (as detailed in ??). A **needing map** is also built but is only used for operator graph generation. We note  $\mathcal{D}^\Pi$  the operator graph built with the set of operators in the domain  $\mathcal{D}$ . In the figure 4.5, we illustrate the application of this mechanism on our example from ??. Continuous lines correspond to the *domain operator graph* computed during domain compilation time.

The generation of the operator graph is detailed in algorithm 6. It explores the operators space and builds a providing and a needing map that gives the provided and



Figure 4.5: Diagram of the operator graph of example domain. Full arrows represent the domain operator graph and dotted arrows the dependencies added to inject the initial and goal steps.

needed fluents for each operator. Once done it iterates on every precondition and searches for a satisfying cause to add the causal links to the operator graph.

To apply the notion of operator graphs to planning problems, we just need to add the initial and goal steps to the operator graph. In figure 4.5, we depict this insertion with our previous example using dotted lines. However, since operator graphs may have cycles, they can't be used directly as input to POP algorithms to ease the initial backchaining. Moreover, the process of refining an operator graph into a usable one could be more computationally expensive than POP itself.

In order to give a head start to the LOLLIPOP algorithm, we propose to build operator graphs differently with the algorithm detailed in algorithm 7. A similar notion was already presented as "basic plans" in (???). These "basic" partial plans use a more complete but slower solution for the generation that ensures that each selected steps are *necessary* for the solution. In our case, we built a simpler solution that can solve some basic planning problems but that also make early assumptions (since our algorithm can handle them). It does a simple and fast backward construction of a partial plan driven by the providing map. Therefore, it can be tweaked with the powerful heuristics of state search planning.

This algorithm is useful since it is specifically used on goals. The result is a valid partial plan that can be used as input to POP algorithms.



---

**Algorithm 6** Operator graph generation and update algorithm
 

---

```

function addVertex(Operator o)
  cache(o)                                ▷ Update of the providing and needing map
  if binding then                        ▷ boolean that indicates if the binding was requested
    bind(o)

function cache(Operator o)
  for all  $eff \in eff(o)$  do                ▷ Adds o to the list of providers of  $eff$ 
    add(providing, eff, o)
  ...                                     ▷ Same operation with needing and preconditions

function bind(Operator o)
  for all  $pre \in pre(o)$  do
    if  $pre \in providing$  then
      for all  $\pi \in get(providing, pre)$  do
        Link  $l \leftarrow getEdge(\pi, o)$                                 ▷ Create the link if needed
         $l \leftarrow l \cup \{pre\}$                                        ▷ Add the fluent as a cause
  ...                                     ▷ Same operation with needing and effects
  
```

---



---

**Algorithm 7** Safe operator graph generation algorithm
 

---

```

function safe(Problem  $\mathcal{P}$ )
  Stack<Operator> open  $\leftarrow [G]$ 
  Stack<Operator> closed  $\leftarrow \emptyset$ 
  while open  $\neq \emptyset$  do
    Operator o  $\leftarrow pop(open)$                                 ▷ Remove o from open
    push(closed, o)
    for all  $pre \in pre(o)$  do
      Operators p  $\leftarrow getProviding(\pi, pre)$                 ▷ Sorted by usefulness
      if  $p = \emptyset$  then                                       ▷ (see section ??)
         $S \leftarrow S \setminus \{\pi\}$ 
        continue
      Operator o'  $\leftarrow getFirst(\pi)$ 
      if  $o' \in closed$  then
        continue
      if  $o' \notin S$  then
        push(open, o')
         $S \leftarrow S \cup \{o'\}$ 
        Link  $l \leftarrow getEdge(o', o)$                                 ▷ Create the link if needed
         $l \leftarrow l \cup \{pre\}$                                        ▷ Add the fluent as a cause
  
```

---

## 4.2.2 Negative Refinements

The classical POP algorithm works upon a principle of positive plan refinements. The two standard flaws (subgoals and threats) are fixed by *adding* steps, causal links, or variable binding constraints to the partial plan. Online planning needs to be able to *remove* parts of the plan that are not necessary for the solution. Since we assume that the input partial plan is quite complete, we need to define new flaws to optimize and fix this plan. These flaws are called *negative* as their resolvers apply subtractive refinements on partial plans.

**Definition 34** (Alternative). An alternative is a negative flaw that occurs when there is a better provider choice for a given link. An alternative to a causal link  $a_p \xrightarrow{f} a_n$  is a provider  $a_b$  that has a better *utility value* than  $a_p$ .

The **utility value** of an operator is a measure of usefulness at the heart of our ranking mechanism detailed in ???. It uses the incoming and outgoing degrees of the operator in the domain operator graph to measure its usefulness.

Finding an alternative to an operator is computationally expensive. It requires searching a better provider for every fluent needed by a step. To simplify that search, we select only the best provider for a given fluent and check if the one used is the same. If not, we add the alternative as a flaw. This search is done only on updated steps for online planning. Indeed, the safe operator graph mechanism is guaranteed to only choose the best provider (algorithm 7 at algorithm 7). Furthermore, subgoals won't introduce new fixable alternative as they are guaranteed to select the best possible provider.

**Definition 35** (Orphan). An orphan is a negative flaw that occurs when a step in the partial plan (other than the initial or goal step) is not participating in the plan. Formally,  $a_o$  is an orphan iff  $a_o \neq I \wedge a_o \neq G \wedge (d_{\pi}^{+}(a_o) = 0) \vee \forall l \in L_{\pi}^{+}(a_o), l = \emptyset$ .

With  $d_{\pi}^{+}(a_o)$  being the *outgoing degree* of  $a_o$  in the directed graph formed by  $\pi$  and  $L_{\pi}^{+}(a_o)$  being the set of *outgoing causal links* of  $a_o$  in  $\pi$ . This last condition checks for *hanging orphans* that are linked to the goal with only bare causal links (introduced by threat resolution).

The introduction of negative flaws requires modifying the resolver definition (cf. ??).  
 $\vdash \{ \text{definition name} = \text{"Signed Resolvers"} \}$  A signed resolver is a resolver with a notion of sign. We add to the resolver tuple the sign of the resolver noted  $s \in \{+, -\}$ .  
 $\vdash$

The solution to an alternative is a negative refinement that simply removes the targeted causal link. This causes a new subgoal as a side effect, that will focus on its resolver by its rank (explained in ??) and then pick the first provider (the most useful one). The resolver for orphans is the negative refinement that is meant to remove a step and its incoming causal link while tagging its providers as potential orphans.

The side effect mechanism also needs an upgrade since the new kind of flaws can interfere with one another. This is why we extend the side effect definition (cf. ??) with a notion of sign.



Figure 4.6: Schema representing flaws with their signs, resolvers and side effects relative to each other

**Definition 36 (Signed Side Effects).** A signed side effect is either a regular *causal side effect* or an *invalidating side effect*. The sign of a side effect indicates if the related flaw needs to be added or removed from the agenda.

The figure 4.6 exposes the extended notion of signed resolvers and side effects. When treating positive resolvers, nothing needs to change from the classical method. When dealing with negative resolvers, we need to search for extra subgoals and threats. Deletion of causal links and steps can cause orphan flaws that need to be identified for removal.

In the method described in (Peot and Smith 1993), a **invalidating side effect** is explained under the name of *DEnd* strategy. In classical POP, it has been noticed that threats can disappear in some cases if subgoals or other threats were applied before them. For our mechanisms, we decide to gather under this notion every side effect that removes the need to consider a flaw. For example, orphans can be invalidated if a subgoal selects the considered step. Alternatives can remove the need to compute further subgoal of an orphan step as orphans simply remove the need to fix any flaws that concern the selected step.

These interactions between flaws are decisive for the validity and efficiency of the whole model, that is why we aim to drive flaw selection in a rigorous manner.

#### 4.2.3 Usefulness Heuristic

Resolvers and flaws selection are the keys to improving performances. Choosing a good resolver helps to reduce the branching factor that accounts for most of the time

spent on running POP algorithms (Kambhampati 1994). Flaw selection is also important for efficiency, especially when considering negative flaws which can conflict with other flaws.

Conflicts between flaws occur when two flaws of opposite sign target the same element of the partial plan. This can happen, for example, if an orphan flaw needs to remove a step needed by a subgoal or when a threat resolver tries to add a promoting link against an alternative. The use of side effects will prevent most of these occurrences in the agenda but a base ordering will increase the general efficiency of the algorithm.

Based on the figure 4.6, we define a base ordering of flaws by type. This order takes into account the number of flaw types affected by causal side effects.

1. **Alternatives** will cut causal links that have a better provider. It is necessary to identify them early since they will add at least another subgoal to be fixed as a related flaw.
2. **Subgoals** are the flaws that cause most of the branching factor in POP algorithms. This is why we need to make sure that all open conditions are fixed before proceeding on finer refinements.
3. **Orphans** remove unneeded branches of the plan. Yet, these branches can be found out to be necessary for the plan to meet a subgoal. Since a branch can contain many actions, it is preferable to leave the orphan in the plan until they are no longer needed. Also, threats involving orphans are invalidated if the orphan is resolved first.
4. **Threats** occur quite often in the computation. Searching and solving them is computationally expensive since they need to check if there are no paths that fix the flaw already. Many threats are generated without the need of resolver application (Peot and Smith 1993). That is why we rank all related subgoals and orphans before threats because they can add causal links or remove threatening actions that will fix the threat.

Resolvers need to be ordered as well, especially for the subgoal flaws. Ordering resolvers for a subgoal is the same operation as choosing a provider. Therefore, the problem becomes "how to rank operators?". The most relevant information on an operator is its usefulness and hurtfulness. These show how much an operator will help and how much it may cause branching after selection.

**Definition 37** (Degree of an operator). Degrees are a measurement of the usefulness of an operator. Such a notion is derived from the incoming and outgoing degrees of a node in a graph.

We note  $d_{\pi}^{+}(o)$  and  $d_{\pi}^{-}(o)$  respectively the outgoing and incoming degrees of an operator in a plan  $\pi$ . These represent the number of causal links that goes out or toward the operator. We call proper degree of an operator  $d^{+}(o) = |eff(o)|$  and  $d^{-}(o) = |pre(o)|$  the number of preconditions and effects that reflect its intrinsic usefulness.

There are several ways to use the degrees as indicators. *Utility value* increases with every  $d^{+}$ , since this reflects a positive participation in the plan. It decreases with every  $d^{-}$  since actions with higher incoming degrees are harder to satisfy. The utility value bounds are useful when selecting special operators. For example, a user-specified

constraint could be laid upon an operator to ensure it is only selected as a last resort. This operator will be affected with the smallest utility value possible. More commonly, the highest value is used for initial and goal steps to ensure their selection.

Our ranking mechanism is based on scores noted  $s^\pm(o)$ . A score contains two components: a positive subscore array that acts as a participation measurement and a negative subscore array that represents the dependencies of the operator. Each component of the score is an array of *subscores*.

The first step is the computation of the **base scores**. They are computed according to the following:

- $s^+(o)$  contains only  $d_{\mathcal{D}^\Pi}^+(o)$ , the positive degree of  $o$  in the domain operator graph. This will give a measurement of the predicted usefulness of the operator.
- $s^-(o)$  containing the following subscores:
  1.  $d^-(o)$  the proper negative degree of  $o$ . Having more preconditions can lead to a potentially higher need for subgoals.
  2.  $\sum_{c \in C_o(\mathcal{D}^\Pi)} |c|$  with  $C_o(\mathcal{D}^\Pi)$  being the set of cycles where  $o$  participates in the domain operator graph. If an action is co-dependent (cf. ??) it may lead to a dead-end as its addition will cause the formation of a cycle.
  3.  $|C_o^s(\mathcal{D}^\Pi)|$  is the number of self-cycle (0 or 1)  $o$  participates in. This is usually symptomatic of a *toxic operator* (cf. definition 39). Having an operator behaving this way can lead to backtracking because of operator instantiation.
  4.  $|pre(o) \setminus L_{\mathcal{D}^\Pi}^-(o)|$  with  $L_{\mathcal{D}^\Pi}^-(o)$  being the set of incoming causal links of  $o$  in the domain operator graph. This represents the number of open conditions. This is symptomatic of action that can't be satisfied without a compliant initial step.

Once these subscores are computed, the ranking mechanism starts the second phase, which computes the **realization scores**. These scores are potential bonuses given once the problem is known. It first searches the *inapplicable operators* that are all operators in the domain operator graph that have a precondition that isn't satisfied with a causal link. Then it searches the *eager operators* that provide fluents with no corresponding causal link (as they are not needed). These operators are stored in relation with their inapplicable or eager fluents.

The third phase starts with the beginning of the solving algorithm, once the problem has been provided. It computes the **effective realization scores** based on the initial and goal steps. It will increment  $s_1^+(o)$  for each realized eager links (if the goal contains the related fluent) and decrement  $s_4^-(o)$  for each inapplicable preconditions realized by the initial step.

Last, the **final score** of each operator  $o$ , noted  $h(o)$ , is computed from positive and negative scores using the following formula:

$$h(o) = \sum_{n=1}^{|s^\pm(o)|} \pm p_n^\pm s_n^\pm(o)$$

A parameterized coefficient is associated to each subscore. It is noted  $p_n^\pm$  with  $n$  being the index of the subscore in the array  $s^\pm$ . This respects the criteria of having a bound for the *utility value* as it ensures that it remains positive with 0 as a minimum bound and  $+\infty$  for a maximum. The initial and goal steps have their utility values set to the upper bound to ensure their selections over other steps.

Choosing to compute the resolver selection at operator level has some positive consequences on the performances. Indeed, this computation is much lighter than approaches with heuristics on plan space (Shekhar and Khemani 2016) as it reduces the overhead caused by real time computation of heuristics on complex data. In order to reduce this overhead more, the algorithm sorts the providing associative array to easily retrieve the best operator for each fluent. This means that the evaluation of the heuristic is done only once for each operator. This reduces the overhead and allows for faster results on smaller plans.

#### 4.2.4 Algorithm

The LOLLIPOP algorithm uses the same refinement algorithm as described in ???. The differences reside in the changes made on the behavior of resolvers and side effects. In algorithm 5 of ??, LOLLIPOP algorithm applies negative resolvers if the selected flaw is negative. In ??, it searches for both signs of side effects. Another change resides in the initialization of the solving mechanism and the domain as detailed in algorithm 8. This algorithm contains several parts. First, the domainInit function corresponds to the code computed during the domain compilation time. It will prepare the rankings, the operator graph, and its caching mechanisms. It will also use strongly connected component detection algorithm to detect cycles. These cycles are used during the base score computation (algorithm 8). We add a detection of illegal fluents and operators in our domain initialization (algorithm 8). Illegal operators are either inconsistent or toxic.

**Definition 38** (Inconsistent operators). An operator  $a$  is contradictory iff  $\exists f\{f, \neg f\} \in \text{eff}(a) \vee \{f, \neg f\} \in \text{pre}(a)$

**Definition 39** (Toxic operators). Toxic operators have effects that are already in their preconditions or empty effects. An operator  $a$  is toxic iff  $\text{pre}(a) \cap \text{eff}(a) \neq \emptyset \vee \text{eff}(a) = \emptyset$

Toxic actions can damage a plan as well as make the execution of POP algorithm longer than necessary. This is fixed by removing the toxic fluents ( $\text{pre}(a) \not\subseteq \text{eff}(a)$ ) and by updating the effects with  $\text{eff}(a) = \text{eff}(a) \setminus \text{pre}(a)$ . If the effects become empty, the operator is removed from the domain.

The lolliPopInit function is executed during the initialization of the solving algorithm. We start by realizing the scores, then we add the initial and goal steps in the providing map by caching them. Once the ranking mechanism is ready, we sort the providing map. With the ordered providing map, the algorithm runs the fast generation of the safe operator graph for the problem's goal.

The last part of this initialization (algorithm 8) is the agenda population that is detailed in the populate function. During this step, we perform a search of alternatives based

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**Algorithm 8** LOLLIPOP initialization mechanisms
 

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```

function domainInit(Operators  $O$ )
  operatorgraph  $\mathcal{D}^\Pi$ 
  Score  $S$ 
  for all Operator  $o \in O$  do
    if isIllegal( $o$ ) then                                ▷ Remove toxic and useless fluents
       $O \leftarrow O \setminus \{o\}$                         ▷ If entirely toxic or useless
      continue
    addVertex( $o, \mathcal{D}^\Pi$ )                                ▷ Add and bind all operators
    cache( $p, o$ )                                          ▷ Cache operator in providing map
  Cycles  $C \leftarrow \text{stronglyConnectedComponent}(\mathcal{D}^\Pi)$   ▷ Using DFS
   $S \leftarrow \text{baseScores}(O, \mathcal{D}^\Pi)$ 
   $i \leftarrow \text{inapplicables}(\mathcal{D}^\Pi)$ 
   $e \leftarrow \text{eagers}(\mathcal{D}^\Pi)$ 

function lollipopInit(Problem  $\mathcal{P}$ )
  realize( $S, \mathcal{P}$ )                                          ▷ Realize the scores
  cache(providing,  $I$ )                                   ▷ Cache initial step in providing ...
  cache(providing,  $G$ )                                   ▷ ... as well as goal step
  sort(providing,  $S$ )                                    ▷ Sort the providing map
  if  $L = \emptyset$  then
     $\mathcal{P}^\Pi \leftarrow \text{safe}(\mathcal{P})$                       ▷ Computing the safe operator graph if the plan is empty
    populate( $a, \mathcal{P}$ )                                   ▷ populate agenda with first flaws

function populate(Agenda  $a$ , Problem  $\mathcal{P}$ )
  for all Update  $u \in U$  do                             ▷ Updates due to online planning
    Fluents  $F \leftarrow \text{eff}(u.\text{new}) \setminus \text{eff}(u.\text{old})$   ▷ Added effects
    for all Fluent  $f \in F$  do
      for all Operator  $o \in \text{better}(\text{providing}, f, o)$  do
        for all Link  $l \in L^+(o)$  do
          if  $f \in l$  then
            addAlternative( $a, f, o, l_-, \mathcal{P}$ )           ▷ With  $l_-$  the target of  $l$ 
         $F \leftarrow \text{eff}(u.\text{old}) \setminus \text{eff}(u.\text{new})$   ▷ Removed effects
      for all Fluent  $f \in F$  do
        for all Link  $l \in L^+(u.\text{new})$  do
          if isLiar( $l$ ) then
             $L \leftarrow L \setminus \{l\}$ 
            addOrphans( $a, u, \mathcal{P}$ )
        ...
    for all Operator  $o \in S$  do
      addSubgoals( $a, o, \mathcal{P}$ )
      addThreats( $a, o, \mathcal{P}$ )
  
```

---

on the list of updated fluents. Online updates can make the plan outdated relative to the domain. This forms liar links :

**Definition 40** (Liar links). A liar link is a link that doesn't hold a fluent in the preconditions or effect of its source and target. We note:

$$a_i \xrightarrow{f} a_j | f \notin \text{eff}(a_i) \cap \text{pre}(a_j)$$

A liar link can be created by the removal of an effect or preconditions during online updates (with the causal link still remaining).

We call lies the fluents that are held by links without being in the connected operators. To resolve the problem, we remove all lies. We delete the link altogether if it doesn't bear any fluent as a result of this operation. This removal triggers the addition of orphan flaws as side effects.

While the list of updated operators is crucial for solving online planning problems, a complementary mechanism is used to ensure that LOLLIPOP is complete. User provided plans have their steps tagged. If the failure has backtracked to a user-provided step, then it is removed and replaced by subgoals that represent each of its participation in the plan. This mechanism loops until every user provided steps have been removed.

#### 4.2.5 Theoretical and Empirical Results

As proven in (Penberthy *et al.* 1992), the classical POP algorithm is *sound* and *complete*.

First, we define some new properties of partial plans. The following properties are taken from the original proof. We present them again for convenience.

⋮: {#def:fullsupport .definition name="Full Support" } A partial plan  $\pi$  is fully supported if each of its steps  $o \in S$  is fully supported. A step is fully supported if each of its preconditions  $f \in \text{pre}(o)$  is supported. A precondition is fully supported if there exists a causal link  $l$  that provides it. We note:

$$\Downarrow \pi \equiv \forall o \in S \forall f \in \text{pre}(o) \exists l \in L_{\pi}^{-}(o) : (f \in l \wedge \nexists t \in S (l_{\rightarrow} > t > o \wedge \neg f \in \text{eff}(t)))$$

with  $L_{\pi}^{-}(o)$  being the incoming causal links of  $o$  in  $\pi$  and  $l_{\rightarrow}$  being the source of the link.

**Definition 41** (Partial Plan Validity). A partial plan is a **valid solution** of a problem  $\mathcal{P}$  iff it is *fully supported* and *contains no cycles*. The validity of  $\pi$  regarding a problem  $\mathcal{P}$  is noted  $\pi \models (\mathcal{P} \equiv \Downarrow \pi \wedge (C(\pi) = \emptyset))$  with  $C(\pi)$  being the set of cycles in  $\pi$ .



#### 4.2.5.1 Proof of Soundness

In order to prove that this property applies to LOLLIPOP, we need to introduce some hypothesis:

- operators updated by online planning are known.
- user provided steps are known.
- user provided plans don't contain illegal artifacts. This includes toxic or inconsistent actions, lying links and cycles.

Based on the definition 4.1 we state that:

$$\left( \begin{array}{l} \forall pre \in pre(G) : \\ \Downarrow pre \wedge \forall o \in L_{\pi}^{-}(G)_{\rightarrow} \forall pre' \in pre(o) : \\ (\Downarrow pre' \wedge C_o(\pi) = \emptyset) \end{array} \right) \implies \pi \models \mathcal{P} \quad (4.1)$$

where  $L_{\pi}^{-}(G)_{\rightarrow}$  is the set of direct antecedents of  $G$  and  $C_o(\pi)$  is the set of fluents containing  $o$  in  $\pi$ .

This means that  $\pi$  is a solution if all preconditions of  $G$  are satisfied. We can satisfy these preconditions using operators iff their preconditions are all satisfied and if there is no other operator that threatens their supporting links.

First, we need to prove that equation (4.1) holds on LOLLIPOP initialization. We use our hypothesis to rule out the case when the input plan is invalid. The algorithm 7 will only solve open conditions in the same way subgoals do it. Thus, safe operator graphs are valid input plans.

Since the soundness is proven for regular refinements and flaw selection, we need to consider the effects of the added mechanisms of LOLLIPOP. The newly introduced refinements are negative, they don't add new links:

$$\forall f \in \mathcal{F}(\pi) \forall r \in r(f) : C_{\pi}(f.n) = C_{f(\pi)}(f.n) \quad (4.2)$$

with  $\mathcal{F}(\pi)$  being the set of flaws in  $\pi$ ,  $r(f)$  being the set of resolvers of  $f$ ,  $f.n$  being the needer of the flaw and  $f(\pi)$  being the resulting partial plan after application of the flaw. Said otherwise, an iteration of LOLLIPOP won't add cycles inside a partial plan.

The orphan flaw targets steps that have no path to the goal and so can't add new open conditions or threats. The alternative targets existing causal links. Removing a causal link in a plan breaks the full support of the target step. This is why an alternative will always insert a subgoal in the agenda corresponding to the target of the removed causal link. Invalidating side effects also don't affect the soundness of the algorithm since the removed flaws are already solved. This makes:

$$\forall f \in \mathcal{F}^{-}(\pi) : \Downarrow \pi \implies \Downarrow f(\pi) \quad (4.3)$$

with  $\mathcal{F}^{-}(\pi)$  being the set of negative flaws in the plan  $\pi$ . This means that negative flaws don't compromise the full support of the plan.

Equations (4.2) and (4.3) lead to equation (4.1) being valid after the execution of LOLLIPOP. The algorithm is sound.

#### 4.2.5.2 Proof of Completeness

The soundness proof shows that LOLLIPOP's refinements don't affect the support of plans in term of validity. It was proven that POP is complete. There are several cases to explore to transpose the property to LOLLIPOP:

**Lemma (Conservation of Validity).** *If the input plan is a valid solution, LOLLIPOP returns a valid solution.*

*Proof.* With equations (4.2) and (4.3) and the proof of soundness, the conservation of validity is already proven. □

**Lemma (Reaching Validity with incomplete partial plans).** *If the input plan is incomplete, LOLLIPOP returns a valid solution if it exists.*

*Proof.* Since POP is complete and the equation (4.3) proves the conservation of support by LOLLIPOP, then the algorithm will return a valid solution if the provided plan is an incomplete plan and the problem is solvable. □

**Lemma (Reaching Validity with empty partial plans).** *If the input plan is empty and the problem is solvable, LOLLIPOP returns a valid solution.*

*Proof.* This is proven using (???) and POP's completeness. However, we want to add a trivial case to the proof:  $pre(G) = \emptyset$ . In this case the ?? of the ?? will return a valid plan. □

**Lemma (Reaching Validity with a dead-end partial plan).** *If the input plan is in a dead-end, LOLLIPOP returns a valid solution.*

*Proof.* Using input plans that can be in an undetermined state is not covered by the original proof. The problem lies in the existing steps in the input plan. Still, using our hypothesis we add a failure mechanism that makes LOLLIPOP complete. On failure, the needer of the last flaw is deleted if it wasn't added by LOLLIPOP. User defined steps are deleted until the input plan acts like an empty plan. Each deletion will cause corresponding subgoals to be added to the agenda. In this case, the backtracking is preserved and all possibilities are explored as in POP. □

Since all cases are covered, this proves the property of completeness.



Figure 4.7: Domain used to compute the results. First line is the initial and goal step along with the useful actions. Second line contains a threatening action  $t$ , two co-dependent actions  $n$  and  $l$ , a useless action  $u$ , a toxic action  $v$ , a deadend action  $w$  and an inconsistent action  $x$

#### 4.2.5.3 Experimental Results

The experimental results focused on the properties of LOLLIPOP for online planning. Since classical POP is unable to perform online planning, we tested our algorithm considering the time taken for solving the problem for the first time. We profiled the algorithm on a benchmark problem containing each of the possible issues described earlier.

In figure 4.7, we expose the planning domain used for the experiments. During the domain initialization, the actions  $u$  and  $v$  are eliminated from the domain since they serve no purpose in the solving process. The action  $x$  is stripped of its negative effect because it is inconsistent with the effect 2.

As the solving starts, LOLLIPOP computes a safe operator graph (full lines in figure 4.8). As we can see this partial plan is nearly complete already. When the main refining function starts it receives an agenda with only a few flaws remaining.

Then the main refinement function starts (time markers 1). LOLLIPOP selects as resolver a causal link from  $a$  to satisfy the open condition of the goal step. Once the first threat between  $a$  and  $t$  is resolved the second threat is invalidated. On a second execution, the domain changes for online planning with 6 added to the initial step. This solving (time markers 2) add as flaw an alternative on the link from  $c$  to the goal step. A subgoal is added that links the initial and goal step for this fluent. An orphan flaw is also added that removes  $c$  from the plan. Another solving takes place as the goal step doesn't need 3 as a precondition (time markers 3). This causes the link from



Figure 4.8: In full lines the initial safe operator graph. In thin, sparse and irregularly dotted lines a subgoal, alternative and threat caused causal link.

Table 4.1: Average times of 1.000 executions on the problem. The first column is for a simple run on the problem. Second and third columns are times to replan with one and two changes done to the domain for online planning.

Experiment	Single	Online 1	Online 2
Time (ms)	0.86937	0.38754	0.48123

$a$  to be cut since it became a liar link. This adds  $a$  as an orphan that gets removed from the plan even if it was hanging by the bare link to  $t$ .

The measurements exposed in table 4.1 were made with an Intel® Core™ i7-4720HQ with a 2.60GHz clock. Only one core was used for the solving. The same experiment done only with the chronometer code gave a result of 70ns of error. We can see an increase of performance in the online runs because of the way they are conducted by LOLLIPOP.

## 4.3 HEART

### 4.3.1 Domain Compilation

In order to simplify the input of the domain, the causes of the causal links in the methods are optional. If omitted, the causes are inferred by unifying the preconditions and effects with the same mechanism as in the subgoal resolution in our POCL algorithm. Since we want to guarantee the validity of abstract plans, we need to ensure that user

provided plans are solvable. We use the following formula to compute the final preconditions and effects of any composite action  $a$ :  $pre(a) = \bigcup_{l \in L^+(I_m)}^{m \in methods(a)} causes(l)$  and  $eff(a) = \bigcup_{l \in L^-(G_m)}^{m \in methods(a)} causes(l)$ . An instance of the classical POCL algorithm is then run on the problem  $\mathcal{P}_a = \langle \mathcal{D}, C_p, a \rangle$  to ensure its coherence. The domain compilation fails if POCL cannot be completed. Since our decomposition hierarchy is acyclic ( $a \notin A_a$ , see definition 43) nested methods cannot contain their parent action as a step.

### 4.3.2 Abstraction in POP

In order to properly introduce the changes made for using HTN domains in POCL, we need to define a few notions.

Transposition is needed to define decomposition.

**Definition 42** (Transposition). In order to transpose the causal links of an action  $a'$  with the ones of an existing step  $a$  in a plan  $\pi$ , we use the following operation:

$$a \triangleright_{\pi}^{-} a' = \left\{ \phi^{-}(l) \xrightarrow{causes(l)} a' : l \in L_{\pi}^{-}(a) \right\}$$

It is the same with  $a' \xrightarrow{causes(l)} \phi^{+}(l)$  and  $L^{+}$  for  $a \triangleright^{+} a'$ . This supposes that the respective preconditions and effects of  $a$  and  $a'$  are equivalent. When not signed, the transposition is generalized:  $a \triangleright a' = a \triangleright^{-} a' \cup a \triangleright^{+} a'$ .

*Example:*  $a \triangleright^{-} a'$  gives all incoming links of  $a$  with the  $a$  replaced by  $a'$ .

**Definition 43** (Proper Actions). Proper actions are actions that are “contained” within an entity (either a domain, plan or action). We note this notion  $A_a = A_a^{lv(a)}$  for an action  $a$ . It can be applied to various concepts:

- For a *domain* or a *problem*,  $A_{\mathcal{D}} = A_{\mathcal{D}}$ .
- For a *plan*, it is  $A_{\pi}^0 = S_{\pi}$ .
- For an *action*, it is  $A_a^0 = \bigcup_{m \in methods(a)} S_m$ . Recursively:  $A_a^n = \bigcup_{b \in A_a^0} A_b^{n-1}$ . For atomic actions,  $A_a = \emptyset$ .

*Example:* The proper actions of  $make(drink)$  are the actions contained within its methods. The set of extended proper actions adds all proper actions of its single proper composite action  $infuse(drink, water, cup)$ .

**Definition 44** (Abstraction Level). This is a measure of the maximum amount of abstraction an entity can express, defined recursively by:

$$lv(x) = \left( \max_{a \in A_x} (lv(a)) + 1 \right) [A_x \neq \emptyset]$$

We use Iverson brackets here, see notations in ??.

*Example:* The abstraction level of any atomic action is 0 while it is 2 for the composite action *make(drink)*. The example domain (in ??) has an abstraction level of 3.

The most straightforward way to handle abstraction in regular planners is illustrated by Duet (Gerevini *et al.* 2008) by managing hierarchical actions separately from a task insertion planner. We chose to add abstraction in POCL in a manner inspired by the work of Bechon *et al.* (2014) on a planner called HiPOP. The difference between the original HiPOP and our implementation of it is that we focus on the expressivity and the ways flaw selection can be exploited for partial resolution. Our version is lifted at runtime while the original is grounded for optimizations. All mechanisms we have implemented use POCL but with different management of flaws and resolvers. The original algorithm 5 is left untouched.

One of those changes is that resolver selection needs to be altered for subgoals. Indeed, as stated by the authors of HiPOP: the planner must ensure the selection of high-level operators in order to benefit from the hierarchical aspect of the domain. Otherwise, adding operators only increases the branching factor. Composite actions are not usually meant to stay in a finished plan and must be decomposed into atomic steps from one of their methods.

**Definition 45 (Decomposition Flaws).** They occur when a partial plan contains a non-atomic step. This step is the needer  $a_n$  of the flaw. We note its decomposition  $a_n \oplus$ .

- *Resolvers:* A decomposition flaw is solved with a **decomposition resolver**. The resolver will replace the needer with one of its instantiated methods  $m \in \text{methods}(a_n)$  in the plan  $\pi$ . This is done by using transposition such that:  $a_n \oplus_{\pi}^m = \langle S_m \cup (S_{\pi} \setminus \{a\}), a_n \triangleright^- I_m \cup a_n \triangleright^+ G_m \cup (L_{\pi} \setminus L_{\pi}(a_n)) \rangle$ .
- *Side effects:* A decomposition flaw can be created by the insertion of a composite action in the plan by any resolver and invalidated by its removal:

$$\bigcup_{a_m \in S_m}^{f \in \text{pre}(a_m)} \pi' \downarrow_f a_m \bigcup_{a_b \in S_{\pi'}}^{l \in L_{\pi'}} a_b \otimes l \bigcup_{a_c \in S_m}^{lv(a_c) \neq 0} a_c \oplus$$

*Example:* When adding the step *make(tea)* in the plan to solve the subgoal that needs tea being made, we also introduce a decomposition flaw that will need this composite step replaced by its method using a decomposition resolver. In order to decompose a composite action into a plan, all existing links are transposed to the initial and goal step of the selected method, while the composite action and its links are removed from the plan. The main differences between HiPOP and HEART in our implementations are the functions of flaw selection and the handling of the results (one plan for HiPOP and a plan per cycle for HEART). In HiPOP, the flaw selection is made by prioritizing the decomposition flaws. Bechon *et al.* (2014) state that it makes the full resolution faster. However, it also loses opportunities to obtain abstract plans in the process.

### 4.3.3 Planning in cycle

The main focus of our work is toward obtaining **abstract plans** which are plans that are completed while still containing composite actions. In order to do that the flaw selection function will enforce cycles in the planning process.



Figure 4.9: Illustration of how the cyclical approach is applied on the example domain. Atomic actions that are copied from a cycle to the next are omitted.

**Definition 46 (Cycle).** A cycle is a planning phase defined as a triplet  $c = \langle lv(c), agenda, \pi_{lv(c)} \rangle$  where:  $lv(c)$  is the maximum abstraction level allowed for flaw selection in the *agenda* of remaining flaws in partial plan  $\pi_{lv(c)}$ . The resolvers of subgoals are therefore constrained by the following:  $a_p \downarrow_f a_n : lv(a_p) \leq lv(c)$ .

During a cycle all decomposition flaws are delayed. Once no more flaws other than decomposition flaws are present in the agenda, the current plan is saved and all remaining decomposition flaws are solved at once before the abstraction level is lowered for the next cycle:  $lv(c') = lv(c) - 1$ . Each cycle produces a more detailed abstract plan than the one before.

Abstract plans allow the planner to do an approximate form of anytime execution. At any given time the planner is able to return a fully supported plan. Before the first cycle, the plan returned is  $\pi_{lv(a_0)}$ .

*Example:* In our case using the method of intent recognition of Sohrabi *et al.* Sohrabi *et al.* (2016), we can already use  $\pi_{lv(a_0)}$  to find a likely goal explaining an observation (a set of temporally ordered fluents). That can make an early assessment of the probability of each goal of the recognition problem.

For each cycle  $c$ , a new plan  $\pi_{lv(c)}$  is created as a new method of the root operator  $a_0$ . These intermediary plans are not solutions of the problem, nor do they mean that the problem is solvable. In order to find a solution, the HEART planner needs to reach the final cycle  $c_0$  with an abstraction level  $lv(c_0) = 0$ . However, these plans can be used to derive meaning from the potential solution of the current problem and give a good approximation of the final result before its completion.

*Example:* In the figure 4.9, we illustrate the way our problem instance is progressively solved. Before the first cycle  $c_2$ , all we have is the root operator and its plan  $\pi_3$ . Then within the first cycle, we select the composite action  $make(tea)$  instantiated from the operator  $make(drink)$  along with its methods. All related flaws are fixed until all that is left in the agenda is the abstract flaws. We save the partial plan  $\pi_2$  for this cycle and expand  $make(tea)$  into a copy of the current plan  $\pi_1$  for the next cycle. The solution of the problem will be stored in  $\pi_0$  once found.

#### 4.3.4 Properties of Abstract Planning

In this section, we prove several properties of our method and resulting plans: HEART is complete, sound and its abstract plans can always be decomposed into a valid solution.

The completeness and soundness of POCL has been proven in (Penberthy *et al.* 1992). An interesting property of POCL algorithms is that flaw selection strategies do not impact these properties. Since the only modification of the algorithm is the extension of the classical flaws with a decomposition flaw, all we need to explore, to update the proofs, is the impact of the new resolver. By definition, the resolvers of decomposition flaws will take into account all flaws introduced by its resolution into the refined plan. It can also revert its application properly.

**Lemma (Decomposing preserves acyclicity).** *The decomposition of a composite action with a valid method in an acyclic plan will result in an acyclic plan. Formely,  $\forall a_s \in S_\pi : a_s \not\prec_\pi a_s \implies \forall a'_s \in S_{a \oplus \pi}^m : a'_s \not\prec_{a \oplus \pi}^m a'_s$ .*

*Proof.* When decomposing a composite action  $a$  with a method  $m$  in an existing plan  $\pi$ , we add all steps  $S_m$  in the refined plan. Both  $\pi$  and  $m$  are guaranteed to be cycle free by definition. We can note that  $\forall a_s \in S_m : (\nexists a_t \in S_m : a_s > a_t \wedge \neg f \in \text{eff}(a_t)) \implies f \in \text{eff}(a)$ . Said otherwise, if an action  $a_s$  can participate a fluent  $f$  to the goal step of the method  $m$  then it is necessarily present in the effects of  $a$ . Since higher level actions are preferred during the resolver selection, no actions in the methods are already used in the plan when the decomposition happens. This can be noted  $\exists a \in \pi \implies S_m \cup S_\pi$  meaning that in the graph formed both partial plans  $m$  and  $\pi$  cannot contain the same edges therefore their acyclicity is preserved when inserting one into the other.

□

**Lemma (Solved decomposition flaws cannot reoccur).** *The application of a decomposition resolver on a plan  $\pi$ , guarantees that  $a \notin S_{\pi'}$  for any partial plan refined from  $\pi$  without reverting the application of the resolver.*

*Proof.* As stated in the definition of the methods (definition 25):  $a \notin A_a$ . This means that  $a$  cannot be introduced in the plan by its decomposition or the decomposition of its proper actions. Indeed, once  $a$  is expanded, the level of the following cycle  $c_{lv(a)-1}$  prevents  $a$  to be selected by subgoal resolvers. It cannot either be contained in the methods of another action that are selected afterward because otherwise following definition 44 its level would be at least  $lv(a) + 1$ .



□

**Lemma (Decomposing to abstraction level 0 guarantees solvability).** *Finding a partial plan that contains only decomposition flaws with actions of abstraction level 1, guarantees a solution to the problem.*

*Proof.* Any method  $m$  of a composite action  $a : lv(a) = 1$  is by definition a solution of the problem  $\mathcal{P}_a = \langle \mathcal{D}, C_p, a \rangle$ . By definition,  $a \notin A_a$ , and  $a \notin A_{a \oplus \pi}^m$  (meaning that  $a$  cannot reoccur after being decomposed). It is also given by definition that the instantiation of the action and its methods are coherent regarding variable constraints (everything is instantiated before selection by the resolvers). Since the plan  $\pi$  only has decomposition flaws and all flaws within  $m$  are guaranteed to be solvable, and both are guaranteed to be acyclical by the application of any decomposition  $a \oplus \pi^m$ , the plan is solvable.

□

**Lemma (Abstract plans guarantee solvability).** *Finding a partial plan  $\pi$  that contains only decomposition flaws, guarantees a solution to the problem.*

*Proof.* Recursively, if we apply the previous proof on higher level plans we note that decomposing at level 2 guarantees a solution since the method of the composite actions are guaranteed to be solvable.

□

From these proofs, we can derive the property of soundness (from the guarantee that the composite action provides its effects from any methods) and completeness (since if a composite action cannot be used, the planner defaults to using any action of the domain).

#### 4.3.5 Computational Profile

In order to assess its capabilities, HEART was evaluated on two criteria: quality and complexity. All tests were executed on an Intel® Core™ i7-7700HQ CPU clocked at 2.80GHz. The Java process used only one core and was not limited by time or memory (32 GB that wasn't entirely used up). Each experiment was repeated between 700 and 10 000 times to ensure that variations in speed were not impacting the results.

Figure 4.10 shows how the quality is affected by the abstraction in partial plans. The tests are made using our example domain (see ??). The quality is measured by counting the number of providing fluents in the plan  $|\bigcup_{a \in S_\pi} eff(a)|$ . This metric is actually used to approximate the probability of a goal given observations in intent recognition ( $P(G|O)$  with noisy observations, see (Sohrabi *et al.* 2016)). The percentages are relative to the total number of unique fluents of the complete solution. These results show that in some cases it may be more interesting to plan in a leveled fashion to solve HTN problems. For the first cycle of level 3, the quality of the abstract plan is already of 60%. This is the quality of the exploitation of the plan *before any planning*.



Figure 4.10: Evolution of the quality with computation time.

With almost three-quarters of the final quality and less than half of the complete computation time, the result of the first cycle is a good quality/time compromise.

In the second test, we used generated domains. These domains consist of an action of abstraction level 5. This action has a single method containing a number of actions of level 4. We call this number the width of the domain. All needed actions are built recursively to form a tree shape. Atomic actions only have single fluent effects. The goal is the effect of the higher level action and the initial state is empty. These domains do not contain negative effects. Figure 4.11 shows the computational profile of HEART for various levels and widths. We note that the behavior of HEART seems to follow an exponential law with the negative exponent of the trend curves seemingly being correlated to the actual width. This means that computing the first cycles has a complexity that is close to being *linear* while computing the last cycles is of the same complexity as classical planning which is at least *P-SPACE* (depending on the expressivity of the domain) (Erol *et al.* 1995).



Figure 4.11: Impact of domain shape on the computation time by levels. The scale of the vertical axis is logarithmic. Equations are the definition of the trend curves.

## 5 Perspectives

### 5.1 Knowledge representation

Listing the contributions there are a couple that didn't make the cut. It is mainly ideas or projects that were too long to check or implement and needed more time to complete. SELF is still a prototype, and even if the implementation seemed to perform well on a simple example, no benchmarks have been done on it. It might be good to make a theoretical analysis of OWL compared to SELF along with some benchmark results.

On the theoretical parts there are some works that seems worthy of exposure even if unfinished.

#### 5.1.1 Literal definition using Peano's axioms

The only real exceptions to the axioms and criteria are the first statement, the comments and the liberals.

For the first statement, there is yet to find a way to express both inclusion, the equality relation and solution quantifier. If such a convenient expression exists, then the language can become almost entirely self described.

Comments can be seen as a special kind of container. The difficult part is to find a clever way to differentiate them from regular containers and to ignore their content in the regular grammar. It might be possible to at first describe their structure but then they become parseable entities and fail at their purpose.

Lastly, and perhaps the most complicated violation to fix: laterals. It is quite possible to define literals by structure. First we can define boolean logic quite easily in SELF as demonstrated by listing 5.1.

---

**Listing 5.1** Possible definition of boolean logic in SELF.

---

```
~(false) = true; $\label{line:negation}$
( false, true ) :: Boolean; $\label{line:boolean}$
true =?; //conflicts with the first statement! $\label{line:true}$
*a : ((a | true) = true); $\label{line:logic}$
*a : ((false | a) = a);
*a : ((a & false) = false);
*a : ((true & a) = a);
```

---

Starting with `??`, we simply define the negation using the exclusive quantifier. From there we define the boolean type as just the two truth values. And now it gets complicated. We could either arbitrarily say that the false literal is always parameters of the exclusion quantifier or that it comes first on either first two statements but that would just violate minimalism even more. We could use the solution quantifier to define truth but that collides with the first statement definition. There doesn't seem to be a good answer for now.

From `??` going on, we state the definition of the logical operators  $\wedge$  and  $\vee$ . The problem with this is that we either need to make a native property for those operators or the inference to compute boolean logic will be terribly inefficient.

We can use Peano's axioms ([1889](#)) to define integers in SELF. The attempt at this definition is presented in listing [5.2](#).

---

**Listing 5.2** Possible integration of the Peano axioms in SELF.

---

```
0 :: Integer;
*n : (+(n) :: Integer);
(*m, *n) : ((m=n) : (++m = ++n));
*n : (++n ~= 0);
*n : ((n + 0) = n);
(*n, *m) : ((n + ++m) = ++(n + m));
*n : ((n × 0) = 0);
(*n, *m) : ((n × ++m) = (n + (n × m)));
```

---

We got several problems doing so. The symbols `*` and `/` are already taken in the default file and so would need replacement or we should use the non-ASCII  $\times$  and  $\div$  symbols for multiplication and division. Another more fundamental issue is as previously discussed for booleans: the inference would be excruciatingly slow or we should revert to a kind of parsing similar to what we have already under the hood. The last problem is the definition of digits and bases that would quickly become exceedingly complicated and verbose.

For floating numbers this turns out even worse and complicated and such a description wasn't even attempted for now.

The last part concerns textual laterals. The issue is the same as the one with comments but even worse. We get to interpret the content as literal value and that would necessitate a similar system as we already have and wouldn't improve the minimalist aspect of things much. Also we should define ways to escape characters and also to input escape sequences that are often needed in such case. And since SELF isn't meant for programming that can become very verbose and complex.

### 5.1.2 Advanced Inference

The inference in SELF is very basic. It could be improved a lot more by simply checking the consistency of the database on most aspects. However, such a task seems to be very difficult or very slow. Since that kind of inference is undecidable in SELF, it would be all a research problem just to find a performant inference algorithm.

Another kind of inference is more about convenience. For example, one can erase singlets (containers with a single value) to make the database lighter and easier to maintain and query.

### 5.1.3 Queries

We haven't really discussed queries in SELF. They can be made using the main syntax and the solution quantifiers but efficiency of such queries is unknown. Making an efficient query engine is a big research project on its own.

For now a very simplified query API exists in the prototype and seems to perform well but further tests are needed to assess its scalability capacities.

## 5.2 General Automated Planning

### 5.3 Planning Improvements

#### 5.3.1 Heuristics using Semantics

#### 5.3.2 Macro-Action learning

### 5.4 Recognition

Since the original goal of this thesis was on intent recognition of dependant persons, we need to explain some more about that specific domain. The problem is to infer the goals of an external agent through only observations without intervention. In the end, the idea is to infer that goal confidently enough to start assisting the other agent without explicit instructions.

#### 5.4.1 Domain problems

This field was widely studied. Indeed, at the end of the last century, several works started using *abduction* to infer intents from observational data. Of course this comes as a challenge since there is a lot of uncertainty involved. We have no reliable information on the possible goals of the other agent and we don't have the same knowledge of the world. Also, observations can sometimes be incomplete or misleading, the agent can abandon goals or pursue several goals at once while also doing them suboptimally or even fail at them. To finish, sometimes agents can actively try to hide their intents to the viewer.

#### 5.4.1.1 Observations and inferences

As explained above, we can only get close to reality and any progress in relevance and detail is exponentially expensive in terms of computing and memory resources. That is why any system will maintain a high degree of abstraction that will cause errors inherent in this approximation.

This noise phenomenon can impact the activity and situation recognition system and therefore seriously impact the intention recognition and decision making system with an amplification of the error as it is processed. It is also important to remember that this phenomenon of data noise is also present in inhibition and that the lack of perception of an event is as disabling as the perception of the wrong event.

It is possible to protect recognition systems in an appropriate way, but this often implies a restriction on the levels of possibilities offered by the system such as specialized recognition or recognition at a lower level of relevance.

#### 5.4.1.2 Cognitive inconsistencies

In the field of personal assistance, activity recognition is a crucial element. However, it happens that these events are very difficult to recognize. The data noise mentioned above can easily be confused with an omission on the part of the observed agent. This dilemma is also present during periods of inactivity, the system can start creating events from scratch to fill what it may perceive as inhibition noise.

These problems are accompanied by others related to the behaviour of the observed agent. For example, they may perform unnecessary steps, restart ongoing activities or suddenly abandon them. It is added that other aspects of observations can make automated inferences such as ambiguous actions or the agent performing an action that resembles another complicated.

However, some noise problems can be easily detected by simple cognitive processes such as impossible sequences (e. g. closing a closed door). Contextual analyses provide a partial solution to some of these problems.

#### 5.4.1.3 Sequentiality

Since our recognition is based on a highly temporal planning aspect, we must take into account the classic problems of sequentiality.

A first problem is to determine the end of one plan and the beginning of another. Indeed, it is possible that some transitions between two planes may appear to be a plane in itself and therefore may cause false positives. Another problem is that of intertwined planes. A person can do two things at once, such as answering the phone while cooking. An action in an intertwined plan can then be identified as a discontinuation of activity or a logical inconsistency. A final problem is that of overloaded actions. Not only can an agent perform two tasks simultaneously, but also perform an action that contributes to two activities. These overloaded actions make the process of intention recognition complex because they are close to data noise.

### 5.4.2 Existing approaches

The problem of intention recognition has been strongly addressed from many angles. It is therefore not surprising that there are many paradigms in the field. The first studies on the subject highlight the fact that intention recognition problems are problems of abductive logic or graph coverage. Since then, many models have competed in imagination and innovation to improve the field. These include constraint system-based models that provide a solution based on pre-established rules and compiled plan libraries, those that use state or action networks that then launch algorithms on these data, and reverse planning systems.

#### 5.4.2.1 Constraint

One of the approaches to intention recognition is the one that builds a system around a strong logical constraint. There is often a time constraint system that is complemented by various extensions to cover as many sequential problems as possible.

In order to solve a problem of intention recognition, abductive logic can be used. Contrary to deductive logic, the goal is to determine the objective from the observed actions. Among the first models introduced is Goldman *et al.* (1999)'s model, which uses the principle of action to construct a logical representation of the problem. This paradigm consists in creating logical rules as if the action in question were actually carried out, but in hypothesizing the predicates that concretize the action and thus being able to browse the research space thus created in order to find all the possible plans containing the observed actions and concretizing defined intentions. This model is strongly based on first-order logic and SWI Prolog logic programming languages. Although revolutionary for the time, this system pale in comparison to recent systems, particularly in terms of prediction accuracy.

Some paradigms use algebra to determine possible plans from observed actions. In particular, we find the model of Bouchard *et al.* (2006) which extends the subsumption relationship from domain theory to the description of action and sequence of action in order to introduce it as an order relationship in the context of the construction of a lattice composed of possible plans considering the observed actions. This model simply takes into account the observed actions and selects any plan from the library of plans that contains at least one observed action. Then this paradigm will construct all the possible plans that correspond to the Cartesian product of the observed actions with the actions contained in the selected plans (while respecting their order). This system makes it possible to obtain a subsumption relationship that corresponds to the fact that the plans are more or less general. Unfortunately, this relationship alone does not provide any information on which plan is most likely.

That is why Roy *et al.* (2011) created a probabilistic extension of this model. This uses frequency data from a system learning period to calculate the influence probabilities of each plane in the recognition space. This makes it possible to calculate probabilistic intervals for each plan, action as well as for a plan knowing a given action. In order to determine the probability of each plane knowing the upper bound of the lattice (plane containing all observed actions) the sum of the conditional probabilities of the plane for each observed action divided by the number of observed actions is made. This



gives a probability interval for each plane allowing the ordinates. This model has the advantage of considering many possible plans but has the disadvantage of seeing a computational explosion as soon as the number of observed actions increases and the context is not taken into account.

Another approach is that of grammar. Indeed, we can consider actions as words and sequences as sentences and thus define a system that allows us to recognize shots from incomplete sequences. (???) has therefore created a system of intention recognition based on grammar. It uses the evaluated grammar system to specify measurements from observations. These measures will make it possible to select specific plans and thus return a hierarchical hypothesis tree with the actions already carried out, the future and the plans from which they are derived. This model is very similar to first order logic-based systems, and uses a SWI Prolog type logic language programming system. Given the scope of maritime surveillance, this model, although taking very well into account the context and the evolution of the measures, is only poorly adapted to an application in assistance, particularly in the absence of a system for discriminating against results plans.

Another class of approaches is that of diverting standard problem-solving tools to solve the problem of intention recognition. It is therefore possible, by modifying traditional algorithms or by transforming a problem, to ensure that the solution of the tool corresponds to the one sought.

Inoue and Inui (2011) develops the idea of a model that uses linear programming to solve the recognition problem. Indeed, observations are introduced in the form of causes in relation to hypotheses, in a first-order logic predicate system. Each atom is then weighted and introduced into a process of problem transformation by feedback and the introduction of order and causality constraints in order to force the linear program towards optimal solutions by taking into account observations. Although ingenious, this solution does not discriminate between possible plans and is very difficult to apply to real-time recognition situations, mainly because of the problem transformation procedure required each time the problem is updated.

Another constraint paradigm is the one presented by Raghavana *et al.* using a Markovian extension of first-order logic. The model consists of a library of plans represented in the form of Horn clauses indicating which actions imply which intentions. The aim is therefore to reverse the implications in order to transform the deduction mechanism into an abduction mechanism. Exclusionary constraints and a system of weights acquired through learning must then be introduced to determine the most likely intention. Once again, despite the presence of a system of result discrimination, there is no consideration of context and abductive transformation remains too cumbersome a process for real-time recognition.

#### 5.4.2.2 Networks

As in its early days, intention recognition can still be modeled in the form of graphs. Very often in intention recognition, trees are used to exploit the advantages of acyclicity in resolution and path algorithms. In the prolific literature of Geib *et al.* we find

the model at the basis of PHATT (Geib 2002) which consists of an AND/OR tree representing a HTN that contains the intentions as well as their plans or methods. A prior relationship is added to this model and it is through this model that constraints are placed on the execution of actions. Once an action is observed, all the successors of the action are unlocked as potential next observed action. We can therefore infer by hierarchical path the candidate intentions for the observed sequence.

Since this model does not allow discrimination of results, Geib and Goldman (2005) then adds probabilities to the explanations of the observations. The degree of coverage of each possible goal is used to calculate the probability of each goal. That is, the goal with the plan containing the most observed action and the least unobserved action will be the most likely. This is very ingenious, as the coverage rate is one of the most reliable indicators. However, the model only takes into account temporality and therefore has no contextual support. The representation in the form of a tree also makes it very difficult to be flexible in terms of the plans, which are then fixed a priori.

The RTH model is often used in the field, such as the hierarchical tree form used by (???). The tree consists of nodes that represent various levels of action and intent. A hierarchical relationship links these elements together to define each intention and its methods. To this tree is added an anteriority relationship that constrains the execution order. This paradigm uses time markers that guarantee order using an actualisation algorithm that also updates a hypothesis tree containing possible intentions for each observation.

A probabilistic extension of the Avrahami-Zilberbrand and Kaminka (2006) applies a hierarchical hidden Markov model to the action tree. Using three types of probability, that of plan tracking, execution interleaving and interruption, we can calculate the probability of execution of each plan according to the observed sequence. The logic and contextual model filtered on the possible plans upstream leaving us with few calculations to order these plans.

This contextual model uses a decision tree based on a system of world properties. Each property has a finite (and if possible very limited) number of possible values. This allows you to create a tree containing for each node a property and an arc for each value. This is combined with other nodes or leaves that are actions. While running through the tree during execution, the branches that do not correspond to the current value of each property are pruned. Once a leaf is reached, it is stored as a possible action. This considerably reduces the research space but requires a balanced tree that is not too large or restrictive.

When we approach stochastic models, we very often find Markovian or Bayesian models. These models use different probabilistic tools ranging from simple probabilistic inference to the fusion of stochastic networks. It can be noted that probabilities are often defined by standard distributions or are isomorphic to weighted systems.

A stochastic model based on THRs is the one presented by Blaylock and Allen (2006). This creates hierarchical stacks to categorize abstraction levels from basic actions to high level intentions. By chaining a hidden Markov model to these stacks, the model is able to affect a probability of intention according to the observed action.

Another stochastic paradigm is the one of Han and Pereira (2013). It uses Bayesian networks to define relationships between causes, intentions and actions in a given field. Each category is treated separately in order to reduce the search space. The observed actions are then selected from the action network and extracted. The system then uses the intention network to build a temporary Bayesian network using the NoisyOR method. The network created is combined in the same way with the network of causes and makes it possible to give the intention as well as the most probable cause according to the observations.

The model of Kelley *et al.* (2012) (based on (Hovland *et al.* 1996)) is a model using hidden Markov networks. This stochastic network is built here by learning data from robotic perception systems. The goal is to determine intent using past observations. This model uses the theory of mind by invoking that humans infer the intentions of their peers by using a projection of their own.

Another contextual approach is the one developed for robotics by (???). The stochastic system is completed by a weighting based on an analysis of vernacular corpuses. We can therefore use the context of an observation to determine the most credible actions using the relational system built with corpus analysis. This is based on the observation of the objects in the scene and their condition. This makes common sense actions much more likely and almost impossible actions leading to semantic contradictions.

This principle is also used as the basis of the paradigm of (???) which forms a Bayesian theory of the mind. Using a limited representation of the human mind, this model defines formulas for updating beliefs and probabilities a posteriori of world states and actions. This is constructed with sigmoid distributions on the simplex of inferred belief. Then the probabilities of desire are calculated in order to recover the most probable intention. This has been validated as being close to the assessment of human candidates on simple intention recognition scenarios.

### 5.4.3 Inverted planning

Another way to do intent recognition is to use the *theory of mind*. This theory states that an agent recognizes other agent's behavior by projecting its own beliefs, desires and intentions on the other agent. This particular model is called BDI for Belief, Desire and Intention. In our case the belief part is the knowledge database and planning domain. The desires are the set of available goals and the intent is the plan to pursue a set of goals.

This way of doing intent recognition is called "inverse planning" because it is the inversed problem of planning. In planning we get a goal and we need to find a plan to achieve it, and in intent recognition, we got an observed plan and we search for the goals.

This approach first emerged with the work of Ramirez and Geffner (2009). This article uses a classical planner to compute the most probable goal given a sequence of actions. This uses constraints to make the cost of a plan correlate with its likelihood.

#### 5.4.3.1 Probabilities and approximations

In that section we explain how this operation is done.

For any set of observations  $\mathcal{O}$  the probability of the set is the product of the probability of any observation  $o \in \mathcal{O}$ . We can then note  $\mathbb{P}(\mathcal{O}) = \prod_{o \in \mathcal{O}} \mathbb{P}(o)$ .

We assume that the observed agent is pursuing one of the knowns goals. The event of an agent pursuing a goal is noted  $g$ . This means that  $\mathbb{P}(\mathcal{G}) = \sum_{g \in \mathcal{G}} \mathbb{P}(g) = 1$  because the event is certain.

Using conditional probabilities we can also note  $\mathbb{P}(\mathcal{G}|\pi) = 1$  for a valid plan  $\pi$  that achieves  $G$ .

From direct application of Bayes theorem and the previous assumptions, we have :

$$P(\pi|O) = \frac{P(O|\pi)P(\pi)}{P(O)} = \frac{P(O|\pi)P(\pi|G)P(G)}{P(O)} \quad (5.1)$$

$$P(G|O) = \frac{P(O|G)P(G)}{P(O)} \quad (5.2)$$

And from the total probability formula :

$$P(O|G) = \sum_{\pi \in \Pi_G} P(O|\pi)P(\pi|G) \quad (5.3)$$

#### 5.4.4 Rico

## **6 Conclusion**

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# Appendix

## 7.1 Chapter 1

### SAMIR:

- Cite slow start 1.2
- System : implentation -> Model : theory
- Examples
- theorems or not
- $s : D \rightarrow D$  notation in table
- Double arrow too for  $\pm$
- to port : porter une notion in smth
- 1.2.2 : criterion
- Example of parsing
- 1.2.6.1 : light defeasible logic
- lacks properties and proofs: what are the advantages

Table 7.1

Symbol	Name	Arity	Arguments	Type	Definition
=	Equal	2	expr, expr	boolean	$x = x : \top$
$\neq$	Not Equal	2	expr, expr	boolean	$x \neq x : \perp$
:	Such that	2	element, predicate	element	axiom of <a href="#">Specification</a>
?	Predicate	n	expr	boolean	arbitrary
$\top$	True	0	NA	boolean	
$\perp$	False	0	NA	boolean	
$\neg$	Negation	1	boolean	boolean	$\neg \top = \perp$
$\wedge$	Conjunction	n	boolean	boolean	$a \wedge b \vdash (a = b = \top)$
$\vee$	Disjunction	n	boolean	boolean	$\neg(a \vee b) \vdash (a = b = \perp)$
$\bowtie$	Logic operator	n	boolean	boolean	arbitrary
$\vdash$	Entailment	2	boolean	boolean	
$\forall$	Universality	1	var	modifier	
$\exists$	Existentiality	1	var	modifier	
$\exists!$	Unicity	1	var	modifier	
$\nexists$	Exclusivity	1	var	modifier	$\lesssim \exists$
$\S$	Solution	1	var	modifier	
$[]$	Iverson's brackets	1	boolean	int	$[\perp] = 0 \wedge [\top] = 1$
$\{\}$	Set	n	elements	set	
$\emptyset$	Empty set	0	NA	set	$\emptyset = \{\}$
$\in$	Member	2	element, set	boolean	
$\subset$	Subset	2	set	boolean	$\mathcal{S} \subset \mathcal{T} \vdash ((e \in \mathcal{S} \vdash e \in \mathcal{T}) \wedge \mathcal{S} \neq \mathcal{T})$
$\cup$	Union	n	set	set	$\mathcal{S} \cup \mathcal{T} = \{e : e \in \mathcal{S} \vee e \in \mathcal{T}\}$
$\cap$	Intersection	n	set	set	$\mathcal{S} \cap \mathcal{T} = \{e : e \in \mathcal{S} \wedge e \in \mathcal{T}\}$
$\setminus$	Difference	2	set	set	$\mathcal{S} \setminus \mathcal{T} = \{e : e \in \mathcal{S} \wedge e \notin \mathcal{T}\}$
$\times$	Cartesian product	n	set	set	$\mathcal{S} \times \mathcal{T} = \{\langle e_s, e_T \rangle : e_s \in \mathcal{S} \wedge e_T \in \mathcal{T}\}$
$\ $	Cardinal	1	set	int	
$\wp$	Powerset	1	set	set	axiom of <a href="#">Power set</a>
$\circ$	Function composition	n	function	function	
$\sigma$	Selection	2	predicate, set	set	$\sigma_e(\mathcal{S}) = \{e : ?(e) \wedge e \in \mathcal{S}\}$
$\pi$	Projection	2	function, set	set	$\pi_f(\mathcal{S}) = \{f(e) : e \in \mathcal{S}\}$
$\mapsto$	Substitution	2	var, function, expr	expr	$(e \mapsto f(e))(e(e)) = e(f(e))$
$\langle \rangle$	Tuple	n	elements	tuple	
$\rightarrow$	Association	2	elements	tuple	
$\phi$	Incidence/Adjacence	n	various	various	
$\chi$	Transitivity	1	relation	relation	
$\div$	Quotient	2	function, graph	graph	
$\mu$	Meta	1	entity	entity	
$\nu$	Name	1	entity	string	
$\rho$	Parameter	1	entity	list	
$\otimes$	Flaws	1	plan	set	
$\odot$	Resolvers	1	flaw	set	
$\downarrow$	Partial support	2	link, action	boolean	
$\downarrow$	Full support	2	plan, action	boolean	
$\prec$	Precedance	2	action	boolean	
$\succ$	Succession	2	action	boolean	
$\mathbb{P}^*$	Shortest path	?			
$h$	Heuristic	1	element	float	
$\gamma$	Constraints	1	element	set	
$\Phi$	Cost	1	element	float	
$d$	Duration	1	element	time	