

Zhang, J. and El-Gohary, N. (2016). "Semantic-Based Logic Representation and Reasoning for Automated Regulatory Compliance Checking." J. Comput. Civ. Eng. , 10.1061/(ASCE)CP.1943-5487.0000583 , 04016037.

# **Semantic-Based Logic Representation and Reasoning for Automated Regulatory Compliance Checking**

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## **Abstract**

Existing automated compliance checking (ACC) efforts are limited in their automation and reasoning capabilities; the state of the art in ACC still uses ad-hoc reasoning schema/methods, with lack of support for complete automation in ACC reasoning. First-order logic (FOL) representation and reasoning can provide a generalized reasoning method to facilitate complete automation in ACC reasoning. This paper presents a new FOL-based information representation and compliance reasoning (IRep and CR) schema for representing and reasoning about regulatory information and design information for checking regulatory compliance of building designs. The schema formalizes the representation of regulatory information and design information in the form of semantic-based (ontology-based) logic clauses that could be directly used for automated compliance reasoning. Two alternative subschemas, following a closed world assumption and an open world assumption for noncompliance detection, respectively, were proposed and tested. The proposed IRep and CR schema was tested in representing and reasoning about quantitative regulatory requirements in Chapter 19 of the International Building Code 2009 and design information of a two-story duplex apartment test case in two ways, using perfect information and imperfect information. The closed world assumption subschema was selected based on performance results; it achieved 100% recall and precision in noncompliance detection using

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21 perfect information and 98.7% recall and 87.6% precision in noncompliance detection using  
22 imperfect information.

23 **CE Database subject headings:** Project management; Construction management; Information  
24 management; Computer applications; Artificial intelligence.

25 **Author keywords:** Automated compliance checking; Automated reasoning; First order logic;  
26 Logic programming; Semantic systems; Automated construction management systems.

## 27 **Introduction**

28 Construction projects are governed by a multitude of regulations such as building codes, energy  
29 conservation codes, and environmental protection agency (EPA) regulations (ICC 2013a; EPA  
30 2013). Each regulatory document typically contains hundreds of pages of provisions and  
31 requirements. Due to the variety of regulations and the large volume of regulatory information  
32 governing construction projects, manual regulatory compliance checking is time-consuming,  
33 costly, and error-prone (Fiatach 2014; Dimyadi and Amor 2013; Fiatach 2012; Delis and Delis  
34 1995).

35 Automated compliance checking (ACC) is expected to reduce the time, cost, and errors of  
36 compliance checking (Salama and El-Gohary 2013; Hjelseth 2012). Many efforts have, thus,  
37 attempted to automate the compliance checking process, including the SMARTcodes project by  
38 the International Code Council (ICC) (ICC 2013b), the Construction and Real Estate Network  
39 (CORENET) project led by the Singapore Ministry of National Development (SBCA 2006),  
40 REScheck and COMcheck by the U.S. Department of Energy (DOE 2014), and the Solibri Model  
41 Checker (Eastman et al. 2009). However, despite their importance, these efforts are still limited in

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42 their automation and reasoning capabilities; the state of the art in ACC still uses ad-hoc reasoning  
43 schema/methods, with lack of support for complete automation in ACC reasoning.

44 First-order logic (FOL) representation and reasoning can provide a generalized reasoning method  
45 to facilitate complete automation in ACC reasoning (Kerrigan and Law 2003; Halpern and  
46 Weissman 2007). FOL-based reasoning is well-suited for ACC problems because: (1) The binary  
47 nature ("satisfy or fail to satisfy") of the smallest reasoning units (i.e., LCs) fits the binary nature  
48 ("compliance or noncompliance") of ACC tasks; (2) A variety of automated reasoning techniques  
49 such as search strategies and unification mechanisms are available in ready-to-use reasoners; (3)  
50 FOL has sufficient expressiveness to represent concepts and relations involved in ACC; and (4)  
51 Once the information is properly represented in a FOL format, the reasoning becomes completely  
52 automated. However, the benefits of FOL-based ACC reasoning is not realized due to three main  
53 reasons. First, there is a lack of knowledge on which assumption is better-suited for ACC – a closed  
54 world assumption (i.e., the assumption that what is not known to be true is false) or an open world  
55 assumption (i.e., the assumption that what is not known to be true is unknown) in noncompliance  
56 detection. Second, there is a lack of knowledge on how to use a closed world assumption model in  
57 noncompliance detection without introducing many false positives; a closed world assumption can  
58 typically lead to a high number of false positives, because missing information would result in  
59 failure to deduce compliance. Third, to use an existing logic-based reasoner, there is a need for  
60 further ACC-specific computational and reasoning support (e.g., to identify the sequence of  
61 checking different regulatory requirements).

62 To address these limitations, the authors propose a new logic-based information representation and  
63 compliance reasoning (IRep and CR) schema for representing and reasoning about regulatory  
64 information and design information for checking regulatory compliance of building designs. In

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developing the schema, the authors addressed the above-mentioned knowledge gaps in three main ways. First, two alternative schema designs – a closed world assumption schema and an open world assumption schema – were proposed and tested. Second, semantic-based (ontology-based) logic clauses and activation conditions were used in the closed world assumption schema to avoid the problem of missing information causing false positives. Third, a support module that consists of a set of logic clauses was developed, as part of the schema, to provide ACC-specific computational and reasoning support when using logic-based reasoners. This paper presents the proposed schema, including the two alternative designs, and discusses the experimental results of applying the schema in representing and reasoning about the compliance of a building design with the quantitative regulatory requirements in Chapter 19 of the International Building Code (IBC) 2009.

## **Background: Logic-Based Representation and Reasoning**

Logic is essential in many automated reasoning systems (Portoraro 2011). Different types of formally-defined logic have different degrees of representation and reasoning capabilities. The most commonly-used formally-defined logic for automated reasoning purposes is first order logic (FOL), which is a subtype of predicate logic. FOL has more than one correct and complete proof calculi (i.e., cases where the derivable sequents are precisely the valid ones for the calculi), which makes FOL suitable for automated reasoning. FOL is based on first order language, which has been used mainly for deductive arguments since its creation. First order language was intended to “express conditions which things can satisfy or fail to satisfy” (Hodges 2001).

### ***Logic-Based Representation***

The representation of data/information/knowledge in FOL is composed of statements (i.e., logic clauses) that are expressed using predicates, logic operators, and quantifiers. A predicate is a

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function that has zero or more arguments and evaluates to a true or false, where an argument is a constant or a variable. For example,  $door(x)$  is a predicate,  $door$  is the predicate name, and  $x$  is the argument (variable). In predicate logic, a statement is an atomic formula or a composition. An atomic formula cannot be decomposed; it is composed of a single predicate. A composition, on the other hand, is formed by combining predicates using logical operators to form more complex statements. Four types of logic operators are used: (1) conjunction  $\wedge$ :  $a(A) \wedge a(B)$  means  $a(A)$  is true and  $b(B)$  is true, (2) disjunction  $\vee$ :  $a(A) \vee b(B)$  means  $a(A)$  is true or  $b(B)$  is true, (3) negation  $\neg$ :  $\neg a(A)$  means  $a(A)$  is not true, and (4) implication  $\supset$ :  $a(A) \supset b(B)$  means  $a(A)$  implies  $b(B)$  [i.e., if  $a(A)$  is true then  $b(B)$  is true]. Quantifiers are used to make assertions about variables in statements; the universal quantifier ( $\forall$  or for all) asserts that the statement is true for all instances of a variable, while the existential quantifier ( $\exists$  or there exists) asserts that the statement is true for at least one of the variable instances (Salama and El-Gohary 2013, Aho and Ullman 1992).

In FOL representation there are three types of logic clauses: rules, facts, and queries. Horn Clause (HC) representation is one of the most restricted forms of FOL. A HC is a universally-quantified clause that can be represented as a disjunction of literals (predicates) of which at most one is positive. In HC representation, a rule has one or more antecedents (premise conditions of the rule), that are conjoined (i.e., combined using the conjunction operator), and a single consequent (i.e., conclusion of the rule). A HC rule has, thus, the following form: " $B_1 \wedge B_2 \wedge \dots \wedge B_n \supset H$ ", where  $n > 0$  and  $H, B_1, \dots, B_n$  are predicates. A fact has zero antecedents and one consequent. A query has one or more antecedents, that are conjoined, and zero consequents.

110

111 ***Logic-Based Reasoning with Closed World and Open World Assumptions***

112 Logic-based reasoning uses statements (logic clauses) and inferences that can be made from those  
113 statements to solve problems. Inference-making using HC representation is most efficient because  
114 of its restricted syntax (Saint-Dizier 1994). Logic-based reasoning can be based on two main types  
115 of assumptions: a closed world assumption or an open world assumption (Knorr et al. 2011). The  
116 closed world assumption states that all information that is not known to be true is false. This  
117 assumption is widely used in database systems. The open world assumption, on the other hand,  
118 states that all information that is not known to be true is unknown. This assumption is widely used  
119 in the semantic web (Hebeler et al. 2009). The open world assumption is better aligned with real  
120 world reasoning where knowledge tends to be incomplete (Grimm and Motik 2005). However, it  
121 limits the kinds of inferences and deductions a system can make from statements that are known  
122 to be true; in the open world assumption, statements that are not included in or inferred from the  
123 knowledge in the system are considered unknown, rather than false. In contrast, the closed world  
124 assumption allows a system to infer, from its lack of knowledge of a statement being true, that the  
125 statement is false. The limitation of the closed world assumption, however, is that it can lead to  
126 unintuitive or unintended results (Halpern and Weissman 2008) by treating all unknown as false.  
127 Depending on the task, one of the assumptions would be better suited than the other (Lutz et al.  
128 2012).

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## 129    **State of the Art and Knowledge Gaps**

### 130    *State-of-the-Art ACC in the AEC Industry*

131    The state-of-the-art ACC in the AEC industry mostly relies on the use of proprietary rules for  
132    representing regulatory requirements. For example, the CORENET project coded regulatory rules  
133    in C++ programs, the Solibri model checker uses a proprietary proforma-based format to code  
134    regulatory rules, and several ACC research efforts coded regulatory rules for specific subdomains  
135    such as fall protection (Zhang et al. 2013), building envelope performance (Tan et al. 2010), and  
136    accessibility (Lau and Law 2004).

137    To avoid the reliance on proprietary rules, few researchers explored the development of  
138    generalized representations/schemas for the formalization of regulatory requirements. For example,  
139    Hjelseth and Nisbet (2011) proposed the Requirement, Applies, Select, and Exception (RASE)  
140    method to capture and represent regulatory requirements in the AEC industry; Yurchyshyna et al.  
141    (2010; 2008) developed a conformity-checking ontology that captures regulatory information  
142    together with building-related knowledge and expert knowledge on checking procedures; Beach  
143    et al. (2013) extended the RASE method for representing requirements in the UK's Building  
144    Research Establishment Environmental Assessment Method (BREEAM) and the Code for  
145    Sustainable Homes (CSH); and Dimyadi et al. (2014) utilized the Drools Rule Language (DRL) to  
146    represent regulatory rules.

147    These efforts contributed to the improvement of flexibility and reusability of regulatory  
148    representations for ACC. However, they are still limited in terms of automated reasoning; these  
149    ACC efforts still use ad-hoc reasoning schema/methods, with lack of support for complete  
150    automation in reasoning. For example, in Hjelseth and Nisbet (2011), no specific mechanism for



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reasoning about the RASE-represented regulatory requirements was proposed. For the ontology-based effort by Yurchyshyna et al. (2010; 2008), the reasoning in their ontology-centered approach was implemented by matching Resource Description Framework (RDF)-represented design information with SPARQL queries-represented regulatory information, but a set of expert rules need to be manually defined through document annotations (i.e., annotations by content and external sources) to organize the SPARQL queries and enable reasoning, resulting in ad-hoc reasoning and lack of full automation. In the work by Beach et al. (2013) and Dimyadi et al. (2014), the mechanism of reasoning (e.g., sequence of rule execution) was not specified.

### ***FOL-based Representation and Reasoning for ACC***

FOL representation and reasoning can provide a generalized reasoning method to facilitate complete automation in ACC reasoning (Kerrigan and Law 2003; Halpern and Weissman 2007). A limited number of research efforts have used FOL-based representation and reasoning in the AEC industry. Jain et al. (1989) introduced an information representation method that used FOL-based reasoning to support structural design. Rasdorf and Lakmazaheri (1990) used a FOL approach to (1) designing structural members according to the American Institute of Steel Construction (AISC) specifications and (2) checking the compliance of designed structural members with the specifications. Kerrigan and Law (2003) used a FOL approach to supporting regulatory compliance assessment with Environmental Protection Agency (EPA) regulations. Outside of the AEC industry, a number of efforts have proposed the use of FOL for supporting conformance reasoning, such as compliance checking (Awad et al. 2009), policy auditing (Garg et al. 2011), and law verification (DeYoung et al. 2010). Despite the importance of these efforts, there are three main knowledge gaps in the area of FOL-based ACC. First, there is a lack of knowledge on which assumption is better-suited for ACC – a closed world assumption or an open



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174 world assumption in noncompliance detection. For example, Rasdorf and Lakmazaheri (1990)  
175 followed a closed world assumption for noncompliance detection, while Kerrigan and Law (2003)  
176 used an open world assumption; but there are no efforts that compared both assumptions in terms  
177 of performance in ACC applications. Second, there is a lack of knowledge on how to use a closed  
178 world assumption model in noncompliance detection without introducing many false positives. A  
179 closed world assumption can typically lead to a high number of false positives, because missing  
180 information would result in failure to deduce compliance. For example, Denecker et al. (2011)  
181 chose to drop the closed world assumption because they could not avoid the false positives caused  
182 by missing information. Third, there is a need for further ACC-specific computational and  
183 reasoning support for using existing logic-based reasoners. For instance, there is a need for further  
184 built-in logic rules or functions to identify the sequence of checking different regulatory  
185 requirements. For example, Kerrigan and Law (2003) used control elements (i.e., functions) to  
186 specify the sequence of checking provisions for each regulation; but, this approach is limited  
187 because these control elements must be specified by a domain expert for every regulation.

## 188 **The Proposed Information Representation and Compliance Reasoning Schema**

189 The IRep and CR schema aims to provide a schema for formal representation of regulatory  
190 information and design information in the form of semantic-based (ontology-based) logic clauses  
191 (LCs). Automated compliance reasoning is enabled by the schema, because LCs can be directly  
192 used for logic-based automated reasoning. Two alternative subschema designs, Alternative I and  
193 Alternative II, were developed based on a closed world assumption and an open world assumption  
194 in noncompliance detection, respectively. The logic-based representation and reasoning is  
195 supported by a building ontology, where the predicates of the LCs link to the concepts and relations  
196 of the ontology. The ontology captures the concepts and relationships of the domain knowledge to

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support the representation and reasoning process. Activation conditions for checking compliance with regulatory rules were used in Alternative I. The ontology-based LCs and the activation conditions were used in Alternative I to avoid the problem of missing information causing false positives in closed world assumption schemas. A support module was also developed, as part of the schema, to provide ACC-specific reasoning support.

As such, the proposed IRep and CR schema is composed of two main modules (as per Fig. 1): a data module and a support module. The data module consists of information LCs. An information LC could be a regulatory information LC or a design information LC. Regulatory information LCs and design information LCs are used to represent applicable regulatory requirements and existing design information, respectively. The support module was developed to provide reasoning support to the data module, and consists of functional built-in LCs. The functional built-in LCs are used for implementing basic arithmetic functions (such as unit conversion) and defining reasoning sequences/strategies (such as the sequence of checking different regulatory requirements). The functional built-in LCs would be predefined (built-in) in an ACC system and, thus, would be fixed across different compliance checking instances.

Insert Figure 1

### ***Semantic-based Logic Clauses***

The predicates in the LCs are semantic; they are linked to a set of semantic information elements (Fig. 2). The semantic information elements are, in turn, linked to a building ontology. A semantic information element (see Fig. 2) is a “subject”, “compliance checking attribute”, “deontic operator indicator”, “quantitative relation”, “comparative relation”, “quantity value”, “quantity unit”, “quantity reference”, “restriction”, or “exception”. The definitions of these semantic information

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elements are provided in Table 3. A semantic representation is essential to (1) distinguish the ACC-specific meaning of the different predicates by linking the predicates to the semantic information elements and (2) associate further AEC-specific meaning to the different predicates by linking the semantic information elements to the ontology concepts and relations. For example, by linking the predicate “transverse\_reinforcement(transverse\_reinforcement)” to the “subject” and “spacing(spacing)” to the “compliance checking attribute”, we can distinguish that the former is the subject of the regulatory requirement, while the latter is the compliance checking attribute of this subject. In turn, by linking the “transverse\_reinforcement” (i.e., name of the predicate) to ontology concepts, we can further recognize that “transverse\_reinforcement(transverse\_reinforcement)” is a type of “building element”. The use of semantic-based LCs also plays a central role in identifying and formalizing the activation conditions (as described in the following section).

Insert Figure 2

Insert Table 3

### ***Regulatory Information Logic Clauses***

Two alternative subschemas were developed. Alternative I implements a closed world assumption (i.e., the assumption that what is not known to be true is false) for noncompliance detection, which means that the design information that are not found to be compliant are regarded as noncompliant. Alternative II implements an open world assumption (i.e., the assumption that what is not known to be true is unknown) for noncompliance detection, which means that design information must be explicitly found to be noncompliant to be regarded as noncompliant. The two alternatives differ in two primary ways: (1) in the way regulatory information LCs are represented; and (2) in the way regulatory information LCs are executed.

## 242 Alternative I

243 In Alternative I, regulatory information LCs are represented using logic rules. Two types of  
 244 regulatory information LCs are represented (as per Fig. 3): primary regulatory information LCs  
 245 and secondary regulatory information LCs (will be called primary and secondary LCs hereafter).  
 246 Each regulatory requirement is represented as one primary LC and is supported by two secondary  
 247 LCs. For example (see Fig. 3), the following regulatory provision (here the provision has one  
 248 requirement about “spacing”) is represented using PLC1, SLC1, and SLC2: “Spacing of transverse  
 249 reinforcement shall not exceed 8 inches” (from Provision 1908.1.3 of Chapter 19 in IBC 2009).

250  Insert Figure 3

251 A primary LC is the core representation of a requirement. It represents the compliance case. The  
 252 premise of a primary LC represents the conditions of the requirement (e.g., the conditions that  
 253 would make the spacing of transverse reinforcement compliant) and the conclusion of a primary  
 254 LC represents the consequent result which is the compliance with the requirement (e.g., the  
 255 compliance of the spacing of the transverse reinforcement). As such, compliance is deduced from  
 256 primary LCs (compliance case), while noncompliance cases are inferred based on compliance

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259 As mentioned in the preceding subsection, the predicates in the primary LCs are linked to  
 260 “semantic information elements”, where the instances of these semantic information elements are,  
 261 in turn, linked to ontology concepts and relations. For example (see Fig. 3), the predicates to the  
 262 left of “ $\supset$ ” in the primary rule PLC1 are the premise conditions of the LC, where each predicate  
 263 represents an ontology concept or an ontology relation (a partial view of the ontology is also shown  
 264 in Fig. 3). For example, the predicate “transverse\_reinforcement(transverse\_reinforcement)”

265 represents the concept “transverse reinforcement” (subconcept of “building element” which is a  
266 “subject”), the predicate “spacing(spacing)” represents the concept “spacing” (subconcept of  
267 “quantity”, which is a “compliance checking attribute”), and the predicate  
268 “has(transverse\_reinforcement, spacing)” represents the relation “transverse reinforcement”-  
269 “has”-“spacing”, which is a relation between a “subject” and a “compliance checking attribute”.

270 The conclusion of a primary LC is one single predicate that takes the following standardized  
271 pattern: “compliance\_*ComplianceCheckingAttribute*\_of\_*Subject*(*complianceCheckingAttribute*)”,  
272 where the *ComplianceCheckingAttribute* and the *Subject* are the “compliance checking attribute”  
273 and the “subject” of the requirement, respectively. For example (see Fig. 3), the following  
274 predicate represents the conclusion of PLC1, which is constructed from the “subject” (“transverse  
275 reinforcement”) and the “compliance checking attribute” (“spacing”) of the requirement:  
276 “compliance\_spacing\_of\_transverse\_reinforcement(spacing)”.

277 If multiple regulatory requirements exist in one regulatory provision, each of the regulatory  
278 requirements is represented in a separate primary LC and reported separately. For example, for  
279 regulatory provision RP1, the “height”, “thickness”, and “unbalanced\_fill” of the “wall” instance  
280 are represented in three separate primary LCs and reported separately.

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283           *mm), and the wall shall retain no more than 4 feet (1219 mm) of unbalanced fill.” (from*  
284           *Provision 1908.1.8 of Chapter 19 in IBC 2009)*

285 Each primary LC is supported by two secondary LCs: (1) one for representing the conditions that  
286 activate the checking of the requirement, and (2) one for representing the consequences of the

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287 compliance checking result. Activation conditions (1) help prevent missing information from  
288 leading to false positives because missing information would lead to failure in activation, and (2)  
289 avoid exhaustive search over all design information LCs and thus lead to higher computational  
290 efficiency (during software implementation). The activation conditions for each regulatory  
291 requirement define the premise conditions of the requirement, which are generated from the  
292 respective primary LC by separating the premise conditions [e.g., “spacing(spacing),  
293 transverse\_reinforcement(transverse\_reinforcement), has(transverse\_reinforcement,spacing)”]  
294 from the consequent prescription [e.g., “¬greater\_than(spacing, quantity(8,Inches))”]. The  
295 semantic representation helps recognize the premise conditions of a regulatory requirement in a  
296 primary LC through the semantic information elements. The consequences for each requirement  
297 are also linked to instances of semantic information elements. A “compliance checking result”  
298 could be a compliance or noncompliance, and a “compliance checking consequence” is the  
299 outcome or effect of the “compliance checking result” such as a suggested corrective action. For  
300 example, the checking of the regulatory requirement represented in PLC1 is activated using SLC1.  
301 If any information in the body of SLC1 is missing (e.g., the relation between the spacing and the  
302 transverse reinforcement is missing), then the checking with PLC1 would not be activated, which  
303 would avoid a blind activation of SLC1 that would lead to a false positive noncompliance. For the  
304 checking result, using SLC2, an output message including whether the result is compliant or  
305 noncompliant is printed out, together with the relevant provision number (i.e., “1908.1.3”) and the  
306 regulatory requirement ID. If the result is noncompliant, a corrective suggestion on how to fix the  
307 noncompliance is provided (i.e., “the spacing should be less than or equal to 8 inches”). The  
308 modeling of compliance checking consequences allows for deep compliance reasoning (i.e., not

only finding instances of noncompliance but also offering an analysis of the noncompliance and providing suggestions for corrective actions).

## Alternative II

In Alternative II, each regulatory requirement is represented using two logic rules (LCs), one for representing the compliance case and one for explicitly representing the noncompliance case. As such, noncompliance cases are explicitly represented instead of being inferred based on compliance cases – following an open world assumption. For example, in Fig. 4, (1) LC3 and LC4 are two LCs representing the compliance case and noncompliance case of a regulatory requirement, respectively. As such, the premise of LC3 represents the conditions of compliance with a requirement, whereas that of LC4 represents the conditions of noncompliance with the same requirement. Different from Alternative I, there is no need to use secondary LCs for representing activation conditions and consequences of compliance checking results, because compliance and noncompliance cases are represented separately. As such, the conclusions of LC3 and LC4, represent both the “compliance checking results” (compliant or noncompliant) and the “compliance checking consequences” (e.g., corrective suggestion on how to fix the

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Different from Alternative I, if multiple regulatory requirements exist in one regulatory provision, the compliance cases of all regulatory requirements (of that single regulatory provision) are represented in one single regulatory information LC and reported jointly in one single compliance instance; there is no need to separate the multiple requirements because compliance and noncompliance cases are represented separately. For example, for the regulatory provision RP1, all three regulatory requirements (i.e., for “height”, “thickness”, and “unbalanced\_fill”) for the



“wall” instance are represented in one single regulatory information LC and reported jointly in one single compliance instance. To avoid the enumeration of all possible combinations of noncompliance cases (e.g., height is compliant but thickness is not, thickness is compliant but height is not, etc.), the noncompliance case of each regulatory requirement is represented separately. For example, the noncompliance cases for “height”, “thickness”, and “unbalanced\_fill” are represented separately.

### ***Design Information Logic Clauses***

Design information LCs, in both Alternative I and Alternative II, are represented using logic facts. Each single design fact (e.g., Transverse\_reinforcement101 is an instance of transverse reinforcement) is represented as one single design information LC (logic fact). A design fact could be a concept fact or a relation fact. A concept fact is represented by a design information LC consisting of a unary predicate, with the name of the concept as the name of the predicate. For example (see Fig. 3 and Fig. 4), “transverse\_reinforcement(Transverse\_reinforcement101)” is a unary predicate that represents an instance of the concept “transverse reinforcement” and “spacing(Spacing103)” is a unary predicate that represents an instance of the concept “spacing”. A relation fact is represented by a design information LC consisting of a binary or n-nary predicate, with the name of the relation as the name of the predicate. For example, “has(Transverse\_reinforcement101, Spacing103)” is a binary predicate that represents the relation that “Transverse\_reinforcement101” has a “Spacing103” and “has\_quantity(Spacing103, 6, Inches)” is a n-nary predicate which indicates that the quantity for “Spacing103” is 6 inches.

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### ***Functional Built-in Logic Clauses***

Six types of functional built-in LCs were developed and included in the IRep and CR schema, as per Table 4: unit conversion LCs, quantity comparison LCs, quantity conversion LCs, sum of quantities LCs, quantity arithmetic computation LCs, and rule checking LCs.

Insert Table 4

## **Software Implementation**

### ***Logic Programming Language***

The proposed IRep and CR schema was implemented in B-Prolog logic programming language. A FOL-based programming language is needed for representation to allow for automated reasoning. B-Prolog is a Prolog system with extensions for programming concurrency, constraints, and interactive graphics. It has bi-directional interface with C and Java (Zhou 2012). Prolog is a logic platform for implementing HC representation and reasoning. Although B-Prolog was selected in this paper, any other FOL-based programming language could be selected to represent the IRep and CR schema instead; the proposed schema does not rely on any specific FOL-based programming language.

B-Prolog is a good fit for representing the IRep and CR schema because: (1) B-Prolog builds in classic Prolog, which is the most widely-used logic programming language and reasoner (Costa 2009), (2) the built-in classic Prolog in B-Prolog has an underpinning reasoner that enables automated inference-making through well-developed unification, backtracking, depth-first search, and rewriting techniques (Portoraro 2011), and (3) the compatibility of B-Prolog with C and Java programming languages renders further ACC system user interface development and implementation smoother. The syntax in B-Prolog differs from the original FOL syntax, as

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summarized in Table 2. When another logic programming language is used, such as Answer Set Programming (ASP) or Datalog, the syntax of some functions may need to be adjusted. The slight difference in reasoning implementations across different FOL-based programming languages may also cause certain advantages or limitations in the reasoning. The discussion of the potential advantages and limitations of the different FOL-based programming languages is outside the scope of this paper.

Insert Table 2

### ***Regulatory Information Logic Clauses***

#### ***Alternative I***

In Alternative I, regulatory information LCs (represented in the schema in the form of logic rules) are implemented as B-Prolog rules. The built-in “writeln()” predicate in B-Prolog is used for the output function. For executing the regulatory LCs, the user specifies the list of subjects (e.g., building elements such as walls and doors) or subjects and attributes to check and accordingly the subjects in the specified list are sequentially checked one by one. By default, a “select all” option is used if a user does not desire to specify specific subjects to check. The sequence of checking in Alternative I is, thus, called subject-oriented. In the implementation of Alternative I, the search strategy is defined as follows: “for each selected subject instance, search through all regulatory information LCs to check if the activation conditions are satisfied, and if satisfied, then check the instance against the matched regulatory information LC”. The reasoning is supported by functional built-in LCs in the support module. An example of the implementation, corresponding to the example in Fig.3, is shown in Fig. 4.

Insert Figure 4

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## 396 Alternative II

397 In Alternative II, regulatory information LCs (represented in the schema in the form of logic rules)  
398 are implemented as B-Prolog directives. In comparison to B-Prolog rules, B-Prolog directives  
399 execute upon loading without conditions and, thus, provide more flexibility to the design of  
400 regulatory information LCs activation mechanisms. It is important to study how such a more  
401 flexible rule activation mechanism affects the performance of noncompliance detection. In each  
402 directive, (1) the built-in “findall” predicate is used to leverage the inherent depth-first search  
403 strategy and backtracking techniques of B-Prolog to find all instances of the subject that satisfy  
404 the premise conditions of the requirement in the directive, (2) the “sort” predicate is used to sort  
405 the matched instances and remove duplicated instances, and (3) the “foreach” predicate is used to  
406 report the output results for each matched instance. In contrast to Alternative I, for executing the  
407 regulatory LCs in Alternative II, the user does not specify what subjects to check. All subjects that  
408 satisfy premise conditions in the regulatory information LCs are detected and checked. The  
409 sequence of checking follows the sequence of regulatory information LCs (i.e., the directives),  
410 which in turn follows the sequence of regulatory provisions in the original regulatory document.  
411 The sequence of checking in Alternative II is, thus, called regulation-oriented. An example of the  
412 implementation, corresponding to the example in Fig.3, is shown in Fig. 5.

413  Insert Figure 5

## 414 ***Design Information Logic Clauses***

415 Design information LCs (represented in the schema in the form of logic facts), in both Alternative  
416 I and Alternative II, are implemented as B-Prolog facts.

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#### 417 ***Functional Built-in Logic Clauses***

418 The six types of functional built-in LCs in the IRep and CR schema were implemented in B-Prolog  
419 syntax, as shown in Fig. 5. One single rule checking LC is used in Alternative I and no rule  
420 checking LCs are used in Alternative II [not needed since the checking is initiated in each directive  
421 utilizing the inherent (“findall”) search strategies in B-Prolog]. As shown in Fig. 3, the rule  
422 checking LC in Alternative I is: “checklist(L) :- foreach(X in L, check(X)).” This rule checking  
423 LC initiates the checking of subjects (in the user-specified list or default “select all” list),  
424 sequentially, one by one following the sequence in the list. In total, 71 functional built-in LCs were  
425 developed and used for Alternative I, and all 71 LCs except one (the rule checking LC) were used  
426 for Alternative II.

#### 427 ***Experimental Testing***

428 To empirically test the proposed IRep and CR schema, Alternative I and Alternative II were tested  
429 in representing and reasoning about the quantitative regulatory requirements in Chapter 19 of IBC  
430 2009 and the design information of a two-story duplex apartment test case for checking the  
431 compliance of the design. The results of noncompliance detection under each subschema  
432 alternative were evaluated in terms of recall and precision. To highlight the potential advantages  
433 of ACC using the proposed schema, the time efficiency of automated checking was also  
434 empirically tested.

#### 435 ***Testing of Noncompliance Detection Performance***

436 The evaluation of representation and compliance reasoning, in terms of noncompliance detection,  
437 was conducted in two ways: (1) evaluating the performance of noncompliance detection using

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438 perfect information (i.e., LCs that contain no errors); and (2) evaluating the performance of  
439 noncompliance detection using imperfect information (i.e., LCs that contain errors).

#### 440 Testing Using Perfect Information

441 A gold standard was manually developed and used for evaluation. A gold standard refers to a  
442 benchmark against which testing results are compared for evaluation.

443 For testing Alternative I, both regulatory information LCs and design information LCs were  
444 manually represented/coded based on Gold Standard I (i.e., the gold standard of Alternative I).  
445 Gold Standard I was composed of two subparts: (1) the gold standard of regulatory information  
446 LCs in Chapter 19 of IBC 2009 under Alternative I, which included 198 LCs (in the form of B-  
447 Prolog rules), consisting of 66 primary LCs and 132 secondary LCs (i.e., two secondary LCs for  
448 each primary LC) and (2) the gold standard of design information LCs in the two-story duplex  
449 apartment test case, which included 146 sets of LCs (in the form of B-Prolog facts). For example,  
450 Fig. 4 shows the gold standard for representing the following provision and a set of design  
451 information, where PLC5 is one of the 198 LCs and “spacing(spacing103)” is one predicate in one  
452 of the 146 sets of LCs: “Spacing of transverse reinforcement shall not exceed 8 inches”. The  
453 reasoning was then conducted automatically using the B-Prolog reasoner. The results of  
454 compliance reasoning about regulatory requirements were evaluated in terms of recall, precision,  
455 and F1 measure of noncompliance detection. Recall is the number of correctly detected  
456 noncompliance instances divided by the total number of noncompliance instances that should be  
457 detected. Precision is the number of correctly detected noncompliance instances divided by the  
458 total number of noncompliance instances that have been detected. F1 measure is the harmonic  
459 mean of recall and precision.

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460 For testing Alternative II, the same testing procedure was followed, except that both regulatory  
461 information LCs and design information LCs were manually coded based on Gold Standard II (i.e.,  
462 the gold standard of Alternative II). Gold Standard II was composed of two subparts: (1) the gold  
463 standard of regulatory information LCs in Chapter 19 of IBC 2009 under Alternative II, which  
464 included 137 LCs (in the form of B-Prolog directives), and (2) the gold standard of design  
465 information LCs in the two-story duplex apartment test case, which included 146 sets of LCs (in  
466 the form of B-Prolog facts). For example, Fig. 5 shows the gold standard for representing the  
467 following provision and a set of design information, where LC3 is one of the 137 LCs and  
468 “spacing(spacing103)” is one predicate in one of the 146 sets of LCs: “Spacing of transverse  
469 reinforcement shall not exceed 8 inches”.



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#### 470    Testing Using Imperfect Information

471    The testing using imperfect information was conducted using a similar procedure to that of testing  
472    using perfect information, except that a set of automatically-coded regulatory information LCs  
473    were used instead of the manually-coded ones. These automatically-coded LCs come from an  
474    existing dataset by Zhang and El-Gohary (2015). The dataset includes a set of LCs that were  
475    automatically generated from Chapter 19 of IBC 2009 using algorithms for automated information  
476    extraction (to automatically extract information from regulatory documents into semantic tuples)  
477    and automated information transformation (to automatically transform the semantic tuples into  
478    LCs). The use of automatically-coded regulatory information LCs allows for evaluating the  
479    performance of compliance reasoning using imperfect information (i.e., because the automatically-  
480    coded LCs contain errors). For the dataset of Alternative I, the 198 regulatory information LCs  
481    contained xxx errors. For the dataset of Alternative II, the 137 regulatory information LCs  
482    contained xxx errors. *Testing of Time Performance*

483    To compare the time efficiency of the two alternative subschemas, the durations of automated  
484    compliance reasoning using perfect information, under Alternative I and Alternative II, were  
485    calculated using the time keeping predicates in B-Prolog. Since Alternative I is subject-oriented  
486    while Alternative II is regulation-oriented, the duration of compliance reasoning is measured  
487    differently for each alternative. For Alternative I, the duration is measured from the time of  
488    initializing the compliance reasoning about the first design fact to the time of finishing compliance  
489    reasoning about the last design fact (design information LC set No. 146). For Alternative II, the  
490    duration is measured from the time of initializing compliance reasoning with the first regulatory  
491    requirement to the time of finishing compliance reasoning with the last regulatory requirement  
492    (regulatory information LC No. 137).



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515 II, while the precision of Alternative II outperformed that of Alternative I. This reflects the trade-  
516 off between recall and precision.

517 In Alternative I, a high recall is achieved because it can block some errors in LCs from propagating  
518 to false negatives in noncompliance detection results; a total of 15 regulatory information LCs  
519 included errors, yet only 1 of them propagated into a false negative in noncompliance detection.  
520 Errors in predicates other than quantity comparison predicates [e.g.,  
521 greater\_than(Spacing,quantity(8,inches)) in Fig. 5] could be blocked from leading to false  
522 negatives. Because, in Alternative I, all selected design subjects are checked, noncompliance  
523 instances are less likely to be missed. However, most of the errors in LCs still lead to false positives,  
524 which makes the precision relatively lower than recall.

525 In Alternative II, a higher precision is achieved because some false positives are blocked since  
526 noncompliance cases are explicitly represented (following an open world assumption), whereas in  
527 Alternative I noncompliance cases are inferred based on compliance cases (i.e., if a primary LC is  
528 not compliant, then it is noncompliant – following a closed world assumption). Such explicit  
529 representation, however, make the representation quite sensitive to errors in regulatory information  
530 LCs. Any error in a regulatory information LC is highly likely to cause a failure to activate the  
531 checking of the respective logic directive in Alternative II, which would result in a drop in recall.

532 Alternative I is, thus, more suitable for ACC applications, because recall of noncompliance  
533 instances is more important than precision. Overall the F1 measure of Alternative I is also higher  
534 than that of Alternative II.

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### **Results of Time Performance**

Automated compliance reasoning with quantitative regulatory requirements of Chapter 19 of IBC 2009 using the proposed IRep and CR schema took fractions of a second. The experiments were conducted using a laptop with a random access memory (RAM) of 3.73 gigabytes (GB) and an Advanced Micro Devices (AMD) C-50 processor with 1.00 gigahertz (GHZ). With an increase in the central processing unit (CPU) speed and/or RAM, the time taken for automated compliance reasoning using the proposed IRep and CR schema could be further reduced. Under alternative I, compliance reasoning took only 55% (0.515 seconds) of the time taken under Alternative II (0.936 seconds). The main reason for this difference is the increased amount of design facts to search in Alternative II, because the representation under Alternative II exhaustively searched all design facts (even the ones not related to building elements) to detect those satisfying premise conditions of each regulatory information LC, whereas the representation under Alternative I only searched from the set of subjects (i.e., building elements) in the list (the default “select all” list was used).

### **Contribution to the Body of Knowledge**

The proposed IRep and CR schema contributes to the body of knowledge in four main ways. First, the proposed schema provides a new way for representing construction regulatory provisions and design information in a logic-based, semantic format. The first order logic-based representation allows for using a standardized reasoning method to facilitate complete automation in ACC reasoning. The semantic representation supports the logic-based representation and reasoning by providing the needed description of domain knowledge. This work empirically shows that the proposed schema achieved 100% recall and precision in noncompliance detection using perfect information, and achieved high recall (98.7%) and precision (87.6%) in noncompliance detection using imperfect information. Second, this work offers and compares two subschemas – Alternative

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558 I and Alternative II – for representing regulatory requirements following a closed world  
559 assumption and an open world assumption for noncompliance detection, respectively. The  
560 experimental results show that while both subschemas could support the task of ACC with a  
561 relatively high performance – in terms of recall and precision of noncompliance detection,  
562 Alternative I results in higher recall and is, thus, more suitable for ACC applications. Third, the  
563 proposed schema (following Alternative I) offers a way to help prevent missing information in  
564 closed world assumption schemas from leading to false positives in noncompliance detection. This  
565 is achieved using semantic-based (ontology-based) logic clauses and compliance checking  
566 activation conditions. Fourth, a support module that consists of a set of logic clauses was developed,  
567 as part of the schema, to provide ACC-specific computational and reasoning support when using  
568 logic-based reasoners. This module could be reused by other researchers to support ACC  
569 applications.

## 570 **Conclusions**

571 This paper presented a new first order logic-based information representation and compliance  
572 reasoning (IRep and CR) schema for representing and reasoning about regulatory information and  
573 design information for checking regulatory compliance of building designs. The schema  
574 formalizes the representation of regulatory information and design information in the form of  
575 semantic-based (ontology-based) logic clauses that could be directly used for automated  
576 compliance reasoning. The proposed IRep and CR schema was implemented in B-Prolog logic  
577 programming language to utilize B-Prolog's reasoner for automated reasoning. Two alternative  
578 subschemas, Alternative I and Alternative II, were proposed and tested, following a closed world  
579 assumption and an open world assumption in noncompliance detection, respectively. Activation

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580 conditions were used in Alternative I to avoid false positives caused by missing information. A  
581 reusable support module was developed for ACC-specific reasoning support.

582 The proposed IRep and CR schema was tested in representing and reasoning about quantitative  
583 regulatory requirements in Chapter 19 of IBC 2009 and design information in a two-story duplex  
584 apartment test case. Two experiments were conducted to test the schema using perfect information  
585 and imperfect information. Using perfect information, on the testing data, both Alternative I and  
586 Alternative II achieved 100% recall, precision, and F1 measure in noncompliance detection. It took  
587 less than one second to automatically check the 146 sets of design information with quantitative  
588 regulatory requirements in Chapter 19 of IBC 2009. Using imperfect information, on the testing  
589 data, Alternative I and Alternative II achieved 98.7%, 87.6%, and 92.8%, and 77.2%, 98.4%, and  
590 86.5% recall, precision, and F1 measure, respectively. Alternative I blocks some false negatives  
591 and thus results in a higher recall, while Alternative II blocks some false positives and thus results  
592 in a higher precision. Because high recall is more important than high precision in ACC, to avoid  
593 missing noncompliance instances, Alternative I is more suitable for ACC applications. One  
594 limitation of this work is that, due to the large amount of manual effort needed in developing a  
595 gold standard for evaluation, the proposed IRep and CR schema was only tested in representing  
596 and reasoning about regulatory requirements in one chapter of IBC 2009 and design information  
597 in one test case. While similar performance could be expected on other chapters of IBC 2009, other  
598 regulatory documents, and other design test cases, more empirical testing is needed for verification,  
599 especially when using imperfect information.

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## Tables

Table 1. The Meaning of Logic Operators in FOL

Logic operator	Meaning
Conjunction $\wedge$	$A \wedge B$ means A is true and B is true
Disjunction $\vee$	$A \vee B$ means A is true or B is true
Negation $\neg$	$\neg A$ means A is not true
Implication $\supset$	$A \supset B$ means A implies B (if A is true then B is true)
Assignment $\rightarrow$	$A \rightarrow B$ means assigning the value of B to A

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730 Table 2. The Meaning of Logic Operators in B-Prolog

Logic operator	Meaning
Conjunction ,	A , B means A is true and B is true
Disjunction ;	A ; B means A is true or B is true
Negation not	Not A means A is not true
Implication :-	B :- A means A implies B (if A is true then B is true)
Assignment "is"	A is B means assigning the value of B to A

731 Table 2. The syntax of FOL and B-Prolog

Name in FOL	Syntax in FOL	Name in B-Prolog	Syntax in B-Prolog
Conjunction	$\wedge$	Conjunction	,
Disjunction	$\vee$	Disjunction	;
Negation	$\neg$	Negation	not
Implication	$\supset$	Implication	:-
Constant	String starting with an upper-case letter	Constant	String starting with a lower-case letter
Variable	String starting with a lower-case letter	Variable	String starting with an upper-case letter
Universal Quantifier	$\forall$	-	-
Existential Quantifier	$\exists$	-	-
Predicate	$p(\text{arg1}, \text{arg2}, \dots)$	Predicate	$p(\text{arg1}, \text{arg2}, \dots)$
Function	$f(\text{arg1}, \text{arg2}, \dots)$	Function	$f(\text{arg1}, \text{arg2}, \dots)$
rule	$b1 \wedge b2 \wedge b3, \dots b_n \supset h$	rule	$h :- b1, b2, b3, \dots b_n.$
fact	$p(\text{arg1}, \text{arg2}, \dots)$	fact	$p(\text{arg1}, \text{arg2}, \dots)$
		directive	$:- b1, b2, b3, \dots b_n.$

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735 Table 3. Semantic Information Elements

Semantic information element	Definition
Subject	An ontology concept that describes a "thing" (e.g., building object, space) that is subject to a particular regulation or norm.
Compliance checking attribute	An ontology concept that describes a specific characteristic of a "subject" by which its compliance is assessed.
Deontic operator indicator	A term or phrase that indicates the deontic type of the requirement (i.e., whether it is an obligation, permission, or prohibition).
Quantitative relation	A term or phrase that defines the type of relation for the quantity (e.g., "increase" is a quantitative relation).
Comparative relation	An ontology relation that is commonly used for comparing quantitative values (i.e., comparing an existing value to a required minimum or



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	maximum value), including “greater than or equal to”, “greater than”, “less than or equal to”, “less than”, and “equal to”.
Quantity value	A data value, or a range of values, that defines the quantified requirement.
Quantity unit	The unit of measure for a “quantity value”.
Quantity reference	A term or phrase that refers to another quantity (which includes a value and a unit).
Quantity	A pair of “quantity value” and “quantity unit” or a pair of “quantity value” and “quantity reference”.
Restriction	A term, phrase, or clause (which is composed of one or more concepts and/or relations) that places a constraint on the “subject”, “compliance checking attribute”, “comparative relation”, “quantity”, or the full requirement.
Exception	A phrase or clause (which is composed of one or more concepts and/or relations) that defines a condition where the described requirement does not apply.

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737 Table 4. Functional Built-in Logic Clauses

Logic clause (LC) type	Function
Unit conversion LCs	Define the conversion factors between units.
Quantity comparison LCs	Implement quantity comparison functions for basic comparative relations such as "greater than or equal to".
Quantity conversion LCs	Implement the conversions of quantities between different units based on the corresponding conversion factors defined in unit conversion LCs.
Sum of quantities LCs	Implement the function of summing up a list of enumerated quantities for calculations of total quantities.
Quantity arithmetic computation LCs	Define arithmetic operations on quantity values and quantity units.
Rule checking LCs	Initiate the checking and define the sequence of checking.

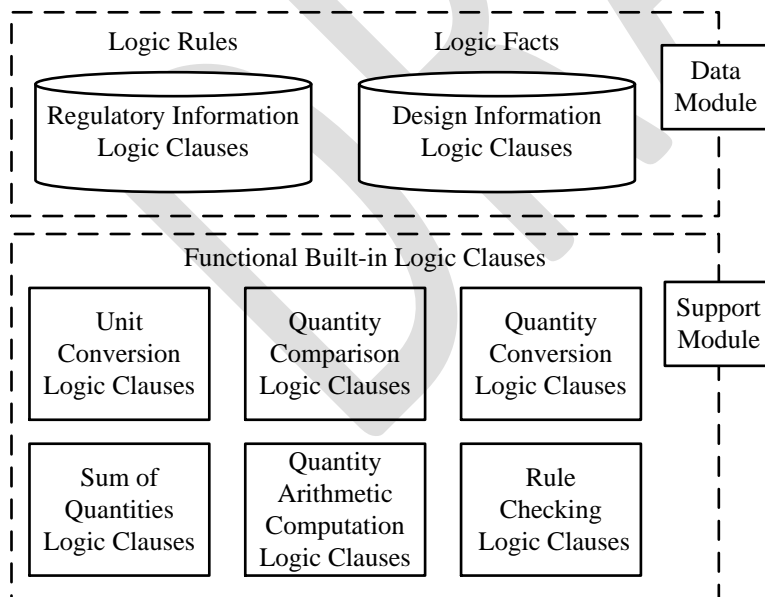
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Table 5. Experimental Results of Experiment #1 and Experiment #2

Subschema	Parameter/measure	Results	
		Using perfect information	Using imperfect information
Alternative I (Closed world assumption)	Number of noncompliance instances in gold standard	79	79
	Number of noncompliance instances detected	79	89
	Number of noncompliance instances correctly detected	79	78
	Recall of noncompliance detection	100%	98.7%
	Precision of noncompliance detection	100%	87.6%
	F1 measure of noncompliance detection	100%	92.8%
Alternative II (Open world assumption)	Number of noncompliance instances in gold standard	79	79
	Number of noncompliance instances detected	79	62
	Number of noncompliance instances correctly detected	79	61
	Recall of noncompliance detection	100%	77.2%
	Precision of noncompliance detection	100%	98.4%
	F1 measure of noncompliance detection	100%	86.5%

Fig. 1.



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Fig. 2.

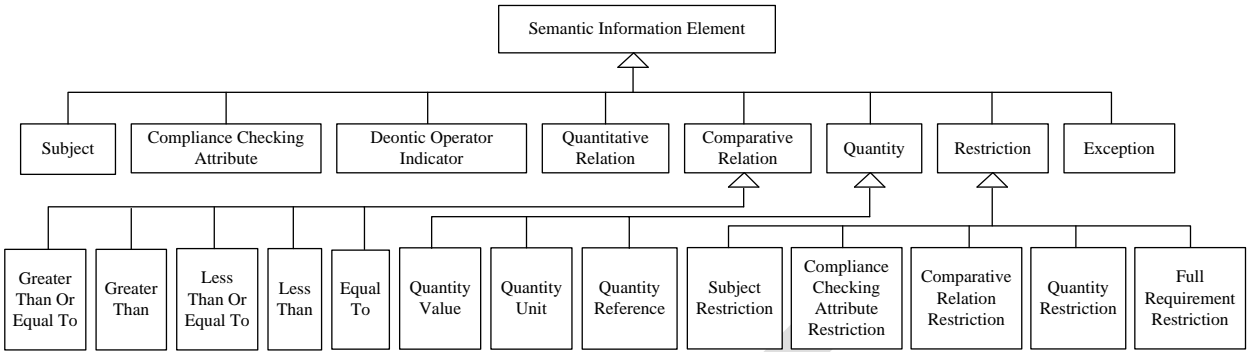
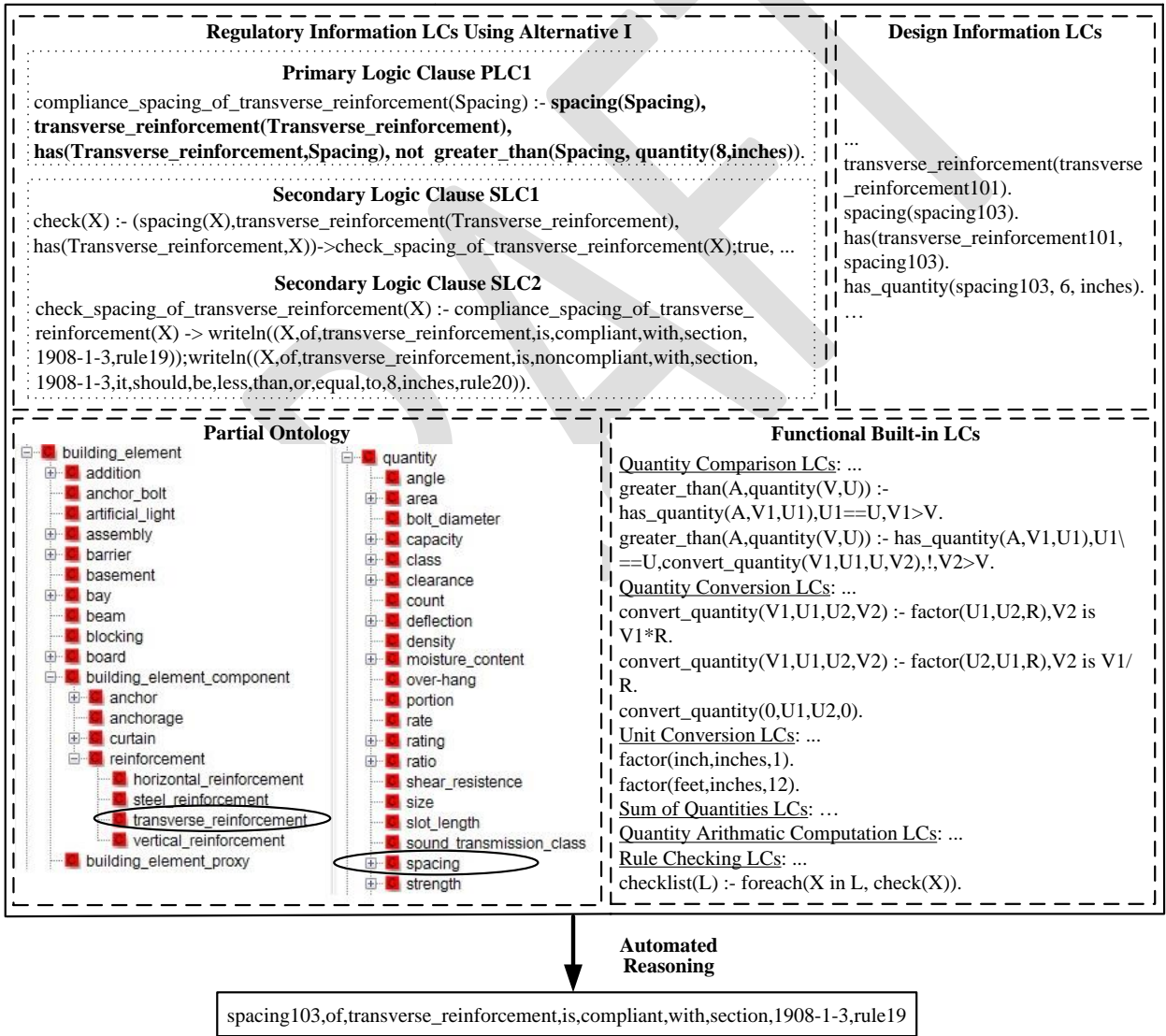
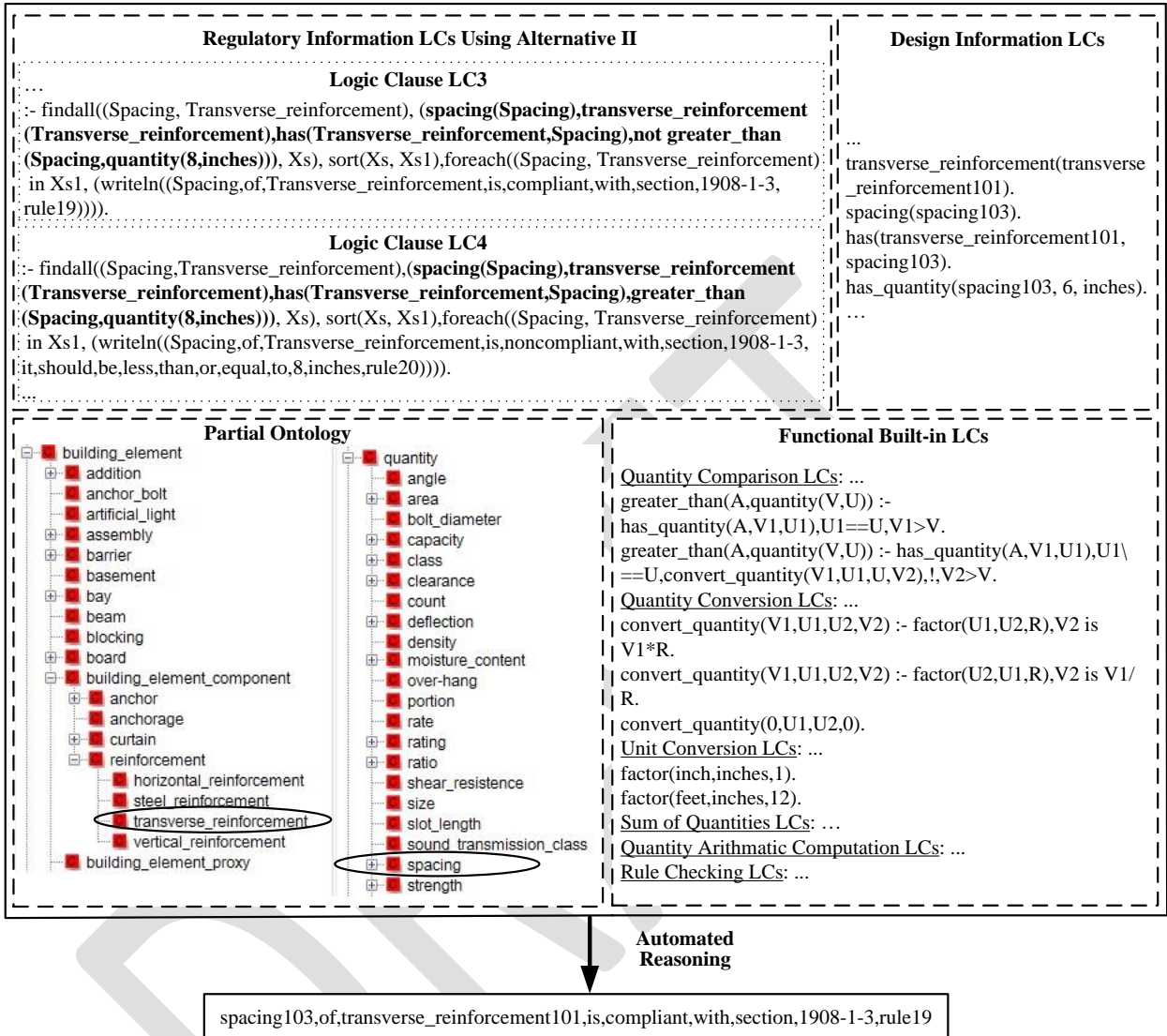


Fig. 3.



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Fig. 4



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Fig. 7

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Administrator: Command Prompt - bp
height3,is,compliant,with,section,1908-1-4,rule43
height4,is,noncompliant,with,section,1908-1-4,the,height4,should,be,less,than,or,equal,to,8,feet,rule44
height5,is,compliant,with,section,1908-1-4,rule43
height6,is,compliant,with,section,1908-1-4,rule43
height7,is,noncompliant,with,section,1908-1-4,the,height7,should,be,less,than,or,equal,to,8,feet,rule44
thickness1,is,compliant,with,section,1908-1-4,rule43-1
thickness2,is,compliant,with,section,1908-1-4,rule43-1
thickness3,is,noncompliant,with,section,1908-1-4,the,thickness3,should,be,greater,than,or,equal,to,71/2,inches,rule45
thickness4,is,compliant,with,section,1908-1-4,rule43-1
thickness5,is,noncompliant,with,section,1908-1-4,the,thickness5,should,be,greater,than,or,equal,to,71/2,inches,rule45
unbalanced_fill1,is,compliant,with,section,1908-1-4,rule43-2
unbalanced_fill2,is,compliant,with,section,1908-1-4,rule43-2
unbalanced_fill3,is,compliant,with,section,1908-1-4,rule43-2
unbalanced_fill4,is,noncompliant,with,section,1908-1-4,the,unbalanced_fill4,should,be,less,than,or,equal,to,4,feet,rule46
unbalanced_fill5,is,noncompliant,with,section,1908-1-4,the,unbalanced_fill5,should,be,less,than,or,equal,to,4,feet,rule46
```

Fig. 8

```
Administrator: Command Prompt - bp
dimensions,of,wall1,for,dwellings1,is,compliant,with,section,1908-1-4,rule43
dimensions,of,wall2,for,dwellings2,is,noncompliant,with,section,1908-1-4,the,height4,should,be,less,than,or,equal,to,8,feet,rule44
dimensions,of,wall5,for,dwellings5,is,noncompliant,with,section,1908-1-4,the,height7,should,be,less,than,or,equal,to,8,feet,rule44
dimensions,of,wall3,for,dwellings3,is,noncompliant,with,section,1908-1-4,the,thickness3,should,be,greater,than,or,equal,to,71/2,inches,rule45
dimensions,of,wall5,for,dwellings5,is,noncompliant,with,section,1908-1-4,the,thickness5,should,be,greater,than,or,equal,to,71/2,inches,rule45
unbalanced_fill4,of,wall4,for,dwellings4,is,noncompliant,with,section,1908-1-4,it,should,be,less,than,or,equal,to,4,feet,rule46
unbalanced_fill5,of,wall5,for,dwellings5,is,noncompliant,with,section,1908-1-4,it,should,be,less,than,or,equal,to,4,feet,rule46
```