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# Predicate Calculus

## Formal Methods

### Lecture 6

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## Predicate Logic

- Invented by Gottlob Frege (1848–1925).
- Predicate Logic is also called “first-order logic”.



“Every good mathematician is at least half a philosopher,  
and every good philosopher is at least half a  
mathematician.”

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## Motivation

There are some kinds of human reasoning that we can't do in propositional logic.

- For example:

Every person likes ice cream.

Billy is a person.

Therefore, Billy likes ice cream.

- In propositional logic, the best we can do is  $A \wedge B \rightarrow C$ , which isn't a tautology.
  - We've lost the internal structure.

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## Motivation

- We need to be able to refer to **objects**.
- We want to symbolize both a **claim** and the object about which the claim is made.
- We also need to refer to **relations** between objects,
  - as in "Waterloo is west of Toronto".
- If we can refer to objects, we also want to be able to capture the meaning of **every** and **some of**.
- The predicates and quantifiers of predicate logic allow us to capture these concepts.

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## Apt-pet

- An apartment pet is a pet that is small  $\forall x \text{small}(x) \wedge \text{pet}(x) \supset \text{aptPet}(x)$
- Dog is a pet  $\forall x \text{dog}(x) \supset \text{pet}(x)$
- Cat is a pet  $\forall x \text{cat}(x) \supset \text{pet}(x)$
- Elephant is a pet  $\forall x \text{elephant}(x) \supset \text{pet}(x)$
- Dogs and cats are small.  $\forall x \text{dog}(x) \supset \text{small}(x)$
- Some dogs are cute  $\forall x \text{cat}(x) \supset \text{small}(x)$
- Each dog hates some cat  $\exists x \text{dog}(x) \wedge \text{cute}(x)$
- Fido is a dog  $\forall x \text{dog}(x) \supset \exists y \text{cat}(y) \wedge \text{hates}(x, y)$   
 $\text{dog}(\text{fido})$

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## Quantifiers

- Universal quantification ( $\forall$ ) corresponds to finite or infinite conjunction of the application of the predicate to all elements of the domain.
- Existential quantification ( $\exists$ ) corresponds to finite or infinite disjunction of the application of the predicate to all elements of the domain.
- Relationship between  $\forall$  and  $\exists$  :
  - $\exists x.P(x)$  is the same as  $\neg \forall x. \neg P(x)$
  - $\forall x.P(x)$  is the same as  $\neg \exists x. \neg P(x)$

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## Functions

- Consider how to formalize:  
**Mary's father likes music**  
One possible way:  $\exists x(f(x, \text{Mary}) \wedge \text{Likes}(x, \text{Music}))$   
which means: Mary has at least one father and he likes music.
- We'd like to capture the idea that Mary only has one father.
  - We use functions to capture the single object that can be in relation to another object.
  - Example:  $\text{Likes}(\text{father}(\text{Mary}), \text{Music})$
- We can also have  $n$ -ary functions.

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## Predicate Logic

- syntax (well-formed formulas)
- semantics
- proof theory
  - axiom systems
  - natural deduction
  - sequent calculus
  - resolution principle

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## Predicate Logic: Syntax

The syntax of predicate logic consists of:

- constants
- variables  $x, y, \dots$
- functions  $f(), g(), \dots$
- predicates  $P(), Q(), \dots$
- logical connectives  $\wedge, \vee, \neg, \rightarrow, \leftrightarrow$
- quantifiers  $\forall, \exists$
- punctuations:  $, . ( )$

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## Predicate Logic: Syntax

**Definition.** **Terms** are defined inductively as follows:

- Base cases
  - Every constant is a term.
  - Every variable is a term.
- inductive cases
  - If  $t_1, t_2, t_3, \dots, t_n$  are terms then  $f(t_1, t_2, t_3, \dots, t_n)$  is a term, where  $f$  is an  $n$ -ary function.
- Nothing else is a term.

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## Predicate Logic

- syntax

**Definition.** Well-formed formulas (wffs) are defined inductively as follows:

- Base cases:
  - $P(t_1, t_2, t_3, \dots, t_n)$  is a wff, where  $t_i$  is a term, and  $P$  is an  $n$ -ary predicate. These are called atomic formulas.
- inductive cases:
  - If  $A$  and  $B$  are wffs, then so are  $\neg A$ ,  $A \wedge B$ ,  $A \vee B$ ,  $A \Rightarrow B$ ,  $A \Leftrightarrow B$
  - If  $A$  is a wff, so is  $\exists x. A$
  - If  $A$  is a wff, so is  $\forall x. A$
- Nothing else is a wff.

We often omit the brackets using the same precedence rules as propositional logic for the logical connectives.

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## Scope and Binding of Variables (I)

- Variables occur both in nodes next to quantifiers and as leaf nodes in the parse tree.
- A variable  $x$  is **bound** if starting at the leaf of  $x$ , we walk up the tree and run into a node with a quantifier and  $x$ .
- A variable  $x$  is **free** if starting at the leaf of  $x$ , we walk up the tree and don't run into a node with a quantifier and  $x$ .

$$\forall x. (\forall x. (P(x) \wedge Q(x))) \Rightarrow (\neg P(x) \vee Q(y))$$

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## Scope and Binding of Variables (I)

The **scope** of a variable  $x$  is the subtree starting at the node with the variable and its quantifier (where it is bound) minus any subtrees with  $\forall x$  or  $\exists x$  at their root.

Example:

A wff is **closed** if it contains no free occurrences of any variable.

$$\forall x.(\forall x.(P(x) \wedge Q(x))) \Rightarrow (\neg P(x) \vee Q(y))$$

Diagram illustrating the scope of variables in the formula  $\forall x.(\forall x.(P(x) \wedge Q(x))) \Rightarrow (\neg P(x) \vee Q(y))$ . A blue box highlights the entire formula, with a blue arrow pointing to the outer  $\forall x$  and the label "scope of this x". A red box highlights the inner  $\forall x.(P(x) \wedge Q(x))$  part, with a red arrow pointing to the inner  $\forall x$  and the label "scope of this x".

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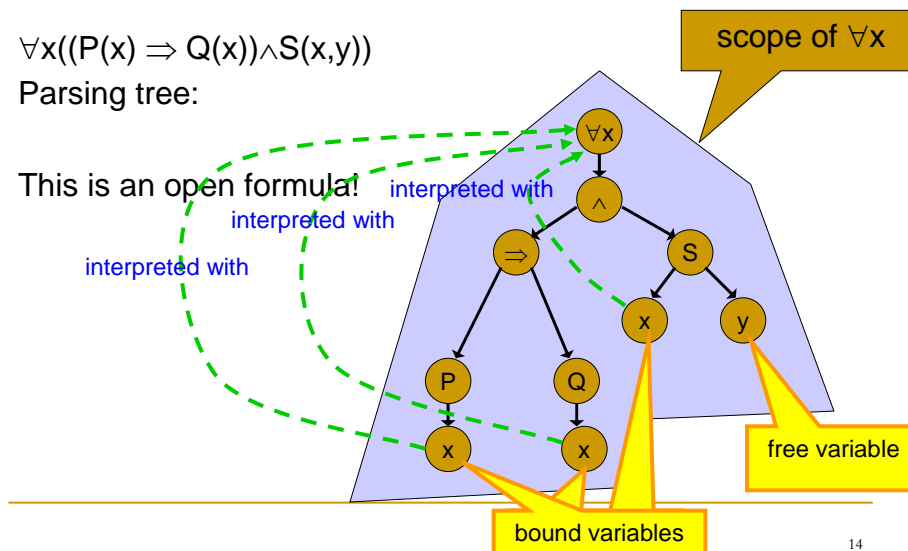
## Scope and Binding of Variables

$$\forall x((P(x) \Rightarrow Q(x)) \wedge S(x,y))$$

Parsing tree:

This is an open formula!

interpreted with  
interpreted with  
interpreted with



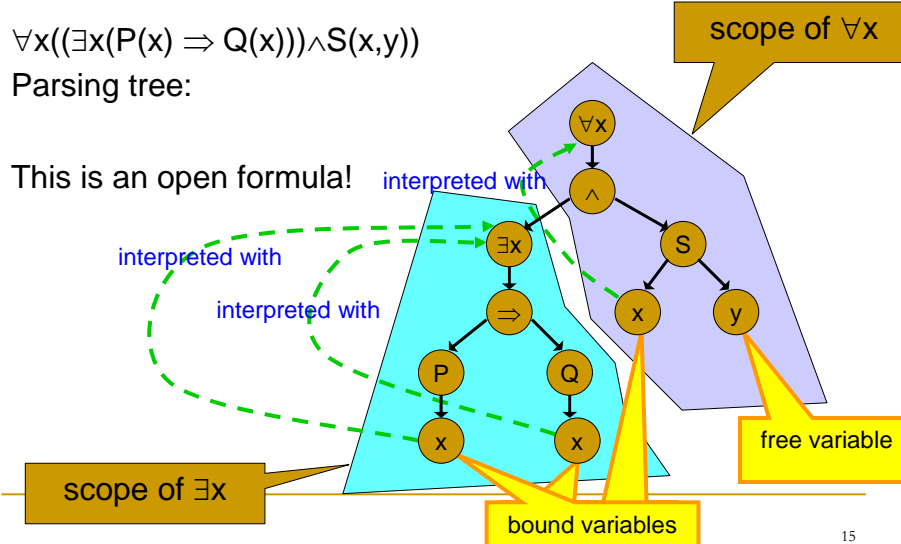
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## Scope and Binding of Variables

$$\forall x((\exists x(P(x) \Rightarrow Q(x))) \wedge S(x,y))$$

Parsing tree:

This is an open formula!



## Substitution

Variables are place holders.

- Given a variable  $x$ , a term  $t$  and a formula  $P$ , we define  $P[t/x]$  to be the formula obtained by replacing each free occurrence of variable  $x$  in  $P$  with  $t$ .
- We have to watch out for variable captures in substitution.



## Substitution

In order not to mess up with the meaning of the original formula, we have the following restrictions on substitution.

- Given a term  $t$ , a variable  $x$  and a formula  $P$ ,  
“ $t$  is not **free** for  $x$  in  $P$ ”  
if
  - $x$  in a scope of  $\forall y$  or  $\exists y$  in  $A$ ; and
  - $t$  contains a free variable  $y$ .
- Substitution  $P[t/x]$  is allowed only if  $t$  is free for  $x$  in  $P$ .

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## Substitution

[f(y)/x] not allowed since meaning of formulas messed up.

Example:

$$\forall y(\text{mom}(x) \wedge \text{dad}(f(y))) \equiv \forall z(\text{mom}(x) \wedge \text{dad}(f(z)))$$

But

$$(\forall y(\text{mom}(x) \wedge \text{dad}(y)))[f(y)/x] = \forall y(\text{mom}(f(y)) \wedge \text{dad}(f(y)))$$

~~equivalent~~

$$(\forall z(\text{mom}(x) \wedge \text{dad}(z)))[f(y)/x] = \forall z(\text{mom}(f(y)) \wedge \text{dad}(f(z)))$$

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## Predicate Logic: Semantics

- Recall that a semantics is a mapping between two worlds.
- A model for predicate logic consists of:
  - a non-empty domain of objects:  $D_I$
  - a mapping, called an interpretation that associates the terms of the syntax with objects in a domain
- It's important that  $D_I$  be non-empty, otherwise some tautologies wouldn't hold such as  $(\forall x.A(x)) \Rightarrow (\exists x.A(x))$

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## Interpretations (Models)

- a fixed element  $c' \in D_I$  to each constant  $c$  of the syntax
- an  $n$ -ary function  $f': D_I^n \rightarrow D_I$  to each  $n$ -ary function,  $f$ , of the syntax
- an  $n$ -ary relation  $R' \subseteq D_I^n$  to each  $n$ -ary predicate,  $R$ , of the syntax

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## Example of a Model

- Let's say our syntax has a constant  $c$ , a function  $f$  (unary), and two predicates  $P$ , and  $Q$  (both binary).

Example:  $P(c, f(c))$

In our model, choose the domain to be the natural numbers

- $I(c)$  is 0.
- $I(f)$  is  $\text{suc}$ , the successor function.
- $I(P)$  is ' $<$ '
- $I(Q)$  is ' $=$ '

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## Example of an Model

What's the meaning of  $P(c, f(c))$  in this model?

$$\begin{aligned} I(P(c, f(c))) &= I(c) < I(f(c)) \\ &= 0 < \text{suc}(I(c)) \\ &= 0 < \text{suc}(0) \\ &= 0 < 1 \end{aligned}$$

Which is true.

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## Valuations

### Definition.

A valuation  $\nu$ , in an interpretation  $I$ , is a function from the terms to the domain  $D_I$  such that:

- $\nu(c) = I(c)$
- $\nu(f(t_1, \dots, t_n)) = f(\nu(t_1), \dots, \nu(t_n))$
- $\nu(x) \in D_I$ , i.e., each variable is mapped onto some element in  $D_I$

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## Example of a Valuation

- $D_I$  is the set of Natural Numbers
- $g$  is the function  $+$
- $h$  is the function  $suc$
- $c$  (constant) is 3
- $y$  (variable) is 1

$$\begin{aligned} \nu(g(h(c), y)) &= \nu(h(c)) + \nu(y) \\ &= suc(\nu(c)) + 1 \\ &= suc(3) + 1 \\ &= 5 \end{aligned}$$

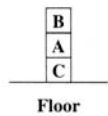
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## Workout

- $D_I$  is the set of Natural Numbers
- $g$  is the function  $+$
- $h$  is the function  $suc$
- $c$  (constant) is 3
- $y$  (variable) is 1

$$\nu(h(h(g(h(y),g(h(y),h(c)))))) = ?$$

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**Figure 15.1**

A Configuration of Blocks

$On(A,B)$  False  
 $Clear(B)$  True  
 $On(C,F1)$  True  
 $On(C,F1) \wedge \neg On(A,B)$  True

Predicate Calculus	World
A	A
B	B
C	C
F1	Floor
On	$On = \{ \langle B, A \rangle, \langle A, C \rangle, \langle C, Floor \rangle \}$
Clear	$Clear = \{ \langle B \rangle \}$

**Table 15.1**

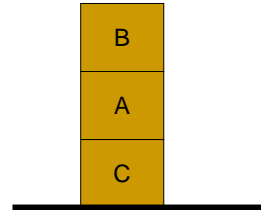
A Mapping between Predicate Calculus and the World

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## Workout

Interpret the following formulas with respect to the world (model) in the previous page.

$\text{On}(A, \text{Fl}) \Rightarrow \text{Clear}(B)$   
 $\text{Clear}(B) \wedge \text{Clear}(C) \Rightarrow \text{On}(A, \text{Fl})$   
 $\text{Clear}(B) \vee \text{Clear}(A)$   
 $\text{Clear}(B)$   
 $\text{Clear}(C)$

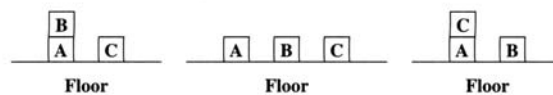


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## Konwoledge

Does the following knowledge base (set of formulae) have a model ?

$\text{On}(A, \text{Fl}) \Rightarrow \text{Clear}(B)$   
 $\text{Clear}(B) \wedge \text{Clear}(C) \Rightarrow \text{On}(A, \text{Fl})$   
 $\text{Clear}(B) \vee \text{Clear}(A)$   
 $\text{Clear}(B)$   
 $\text{Clear}(C)$



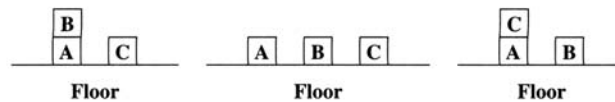
**Figure 15.2**

Three Blocks-World Situations

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## An example

$$(\forall x) [ \text{On}(x, C) \Rightarrow \neg \text{Clear}(C) ]$$



**Figure 15.2**

Three Blocks-World Situations

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## Closed Formulas

- Recall: A wff is **closed** if it contains no free occurrences of any variable.
- We will mostly restrict ourselves to closed formulas.
- For formulas with free variables, close the formula by universally quantifying over all its free variables.

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## Validity (Tautologies)

- **Definition.** A predicate logic formula is **satisfiable** if **there is** an interpretation and **there is** a valuation that satisfies the formula (i.e., in which the formula returns T).
- **Definition.** A predicate logic formula is **logically valid (tautology)** if it is true in **every** interpretation.
  - It must be satisfied by **every** valuation in every interpretation.
- **Definition.** A wff,  $A$ , of predicate logic is a **contradiction** if it is false in **every** interpretation.
  - It must be false in **every** valuation in every interpretation.

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## Satisfiability, Tautologies, Contradictions

- A closed predicate logic formula, is **satisfiable** if there is an interpretation  $I$  in which the formula returns true.
- A closed predicate logic formula,  $A$ , is a **tautology** if it is true in every interpretation.
$$\models A$$
- A closed predicate logic formula is a **contradiction** if it is false in every interpretation.

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## Tautologies

- How can we check if a formula is a tautology?
- If the domain is finite, then we can try all the possible interpretations (all the possible functions and predicates).
- But if the domain is **infinite**? Intuitively, this is why a computer cannot be programmed to determine if an arbitrary formula in predicate logic is a tautology (for all tautologies).
- Our only alternative is proof procedures!
- Therefore the soundness and completeness of our proof procedures is very important!

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## Semantic Entailment

Semantic entailment has the same meaning as it did for propositional logic.

$$\phi_1, \phi_2, \phi_3 \models \psi$$

means that if  $v(\phi_1) = T$  and  $v(\phi_2) = T$  and  $v(\phi_3) = T$  then  $v(\psi) = T$ , which is equivalent to saying

$$(\phi_1 \wedge \phi_2 \wedge \phi_3) \Rightarrow \psi$$

is a tautology, i.e.,

$$(\phi_1, \phi_2, \phi_3 \models \psi) \equiv ((\phi_1 \wedge \phi_2 \wedge \phi_3) \Rightarrow \psi)$$

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## An Axiomatic System for Predicate Logic

FO\_AL: An extension of the axiomatic system for propositional logic. Use only:  $\Rightarrow, \neg, \forall$

$$A \Rightarrow (B \Rightarrow A)$$

$$(A \Rightarrow (B \Rightarrow C)) \Rightarrow ((A \Rightarrow B) \Rightarrow (A \Rightarrow C))$$

$$(\neg A \Rightarrow \neg B) \Rightarrow (B \Rightarrow A)$$

$$\forall x.A(x) \Rightarrow A(t), \text{ where } t \text{ is free for } x \text{ in } A$$

$$\forall x.(A \Rightarrow B) \Rightarrow (A \Rightarrow (\forall x.B)), \text{ where } A \text{ contains no free occurrences of } x$$

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## FO\_AL Rules of Inference

Two rules of inference:

- (modus ponens - MP) From  $A$  and  $A \Rightarrow B$ ,  $B$  can be derived, where  $A$  and  $B$  are any well-formed formulas.
- (generalization) From  $A$ ,  $\forall x.A$  can be derived, where  $A$  is any well-formed formula and  $x$  is any variable.

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## Soundness and Completeness of FO\_AL

- FO\_AL is sound and complete.
- Completeness was proven by Kurt Gödel in 1929 in his doctoral dissertation.
- Predicate logic is not decidable

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## Deduction Theorem

- **Theorem.** If  $H \cup \{A\} \vdash_{ph} B$  by a deduction containing no application of generalization to a variable that occurs free in  $A$ , then  $H \vdash_{ph} A \Rightarrow B$
- **Corollary.** If  $A$  is closed and if  $H \cup \{A\} \vdash_{ph} B$  then  $H \vdash_{ph} (A \Rightarrow B)$

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## Proof by Refutation

- A **closed** formula is a formula with no free variables. Its negation is a closed formula.
- In order to show that a closed formula is not valid, it is sufficient to show that its negation is valid. A closed formula is valid iff its negation is not valid.
- To prove that a closed formula is not valid, it is sufficient to provide a counterexample. A counterexample is an interpretation in which the formula is false.
- To prove that a closed formula is not valid, it becomes to check if there is an interpretation for  $\{P_1, \dots, P_n, \neg S\}$ .

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## Counterexamples

- How can we show a formula is not a tautology?
- Provide a **counterexample**. A counterexample for a closed formula is an interpretation in which the formula does not have the truth value T.

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## Example

Prove  $\forall x.\forall y.A \vdash_{ph} \forall y.\forall x.A$

- 1  $\forall x.\forall y.A$  premise
- 2  $\forall x.\forall y.A \Rightarrow \forall y.A$  Ax4
- 3  $\forall y.A$  MP 1, 2
- 4  $\forall y.A \Rightarrow A$  Ax4
- 5  $A$  MP 3, 4
- 6  $\forall x.A$  Gen of 5
- 7  $\forall y.\forall x.A$  Gen of 6

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## Workout: Counterexamples

Show that  $(\forall x.P(x) \vee Q(x)) \Leftrightarrow ((\forall x.P(x)) \vee (\forall x.Q(x)))$   
is not a tautology by constructing a model  
that makes the formula false.



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## What does 'first-order' mean?

- We can only quantify over variables.
- In higher-order logics, we can quantify over functions, and predicates.
  - For example, in second-order logic, we can express the induction principle:  
$$\forall P.(P(0) \wedge (\forall n.P(n) \Rightarrow P(n+1))) \Rightarrow (\forall n.P(n))$$
- Propositional logic can also be thought of as zero-order.

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## A rough timeline in ATP ... (1/3)

450B.C.	Stoics	propositional logic (PL), inference (maybe)	
322B.C.	Aristotle	``syllogisms'' (inference rules), quantifiers	
1565	Cardano	probability theory (PL + uncertainty)	
1646	Leibniz	research for a general decision procedure to check the validity of formulas	
-1716			
1847	Boole	PL (again)	
1879	Frege	first-order logic (FOL)	
1889	Peano	9 axioms for natural numbers	

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## A rough timeline in ATP .

Resolve the 2nd Hilbert's problem (in the theory of  $\mathbb{N}$ )



Hilbert's program  
 proof by truth tables

- To formalize all existing theories to a finite, complete, and **consistent set** of axioms.
- decision procedures for all mathematical theories
- 23 open problems.

completeness theorem of FOL

a proof procedure for FOL based on propositionalization



1931 Gödel incompleteness theorems for the consistency of Peano axioms

1936 Gentzen a proof for the consistency of Peano axioms in set theory

1936 Church, Turing undecidability of FOL

1958 Gödel a method to prove the consistency of axioms with type theory



Who is to  
 Is type theory  
 consistent ?

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## A rough timeline in ATP ... (3/3)

- |      |                             |   |
|------|-----------------------------|---|
| 1954 | Davis                       | First machine-generated proof                   |
| 1955 | Beth,<br>Hintikka           | Semantic Tableaus                               |
| 1957 | Newell,<br>Simon            | First machine-generated proof in Logic Calculus |
| 1957 | Kangar,<br>Prawitz          | Lazy substitution by free (dummy) Vars          |
| 1958 | Prawitz                     | First prover for FOL                            |
| 1959 | Gilmore<br>Wang             | More provers                                    |
| 1960 | Davis<br>Putnam,<br>Longman | Davis-Putnam Procedure                          |
| 1963 | Robinson                    | Unification, resolution                         |

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Kurt Gödel

American philosopher, mathematician, and logician

*I knew the general relativity was wrong.*

Someone was to poison him.

- ate only his wife's cooking.
- 1977, his wife was ill and could not cook.
- Jan. 1978, died of mal-nutrition.
- Emeritus professor, 1978

The greatest logician in the 20th century.

One of the greatest achievements in the 20th century.

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2007/04/03 stopped here.

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## Predicate Logic: Natural Deduction

Extend the set of rules we used for propositional logic with ones to handle quantifiers.

### Universal Quantification

$$\begin{array}{c}
 \text{forall-elimination} \\
 \frac{\forall x.P}{P[t/x]} \forall e
 \end{array}
 \qquad
 \begin{array}{c}
 \text{forall-introduction} \\
 \left[ \begin{array}{c} x_0 \\ \vdots \\ P[x_0/x] \end{array} \right] \forall i \\
 \hline
 \forall x.P
 \end{array}$$

$x_0$  must be arbitrary, meaning it doesn't appear outside the subproof.  $t$  must be free for  $x$  in  $P$ .

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## Predicate Logic: Natural Deduction

### Existential Quantification

$$\begin{array}{c}
 \text{exists-introduction} \\
 \frac{P[t/x]}{\exists x.P} \exists i
 \end{array}
 \qquad
 \begin{array}{c}
 \exists x.P \left[ \begin{array}{c} x_0 \quad P[x_0/x] \quad \text{assumption} \\ \vdots \\ Q \end{array} \right] \\
 \hline
 Q \quad \exists e
 \end{array}$$

**Informally:** If we know that the predicate is true for some value, and using an arbitrary variable, we derive that a formula holds, then we can conclude that the formula holds.

$x_0$  must be arbitrary.  $t$  must be free for  $x$  in  $P$ .

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## Example

Show  $\forall x.P(x) \Rightarrow Q(x), \forall x.P(x) \vdash_{ND} \forall x.Q(x)$

1	$\forall x. P(x) \Rightarrow Q(x)$	premise
2	$\forall x. P(x)$	premise
3	$x_0$	
4	$P(x_0) \Rightarrow Q(x_0)$	$\forall e$ 1
5	$P(x_0)$	$\forall e$ 2
6	$Q(x_0)$	$\Rightarrow e$ 4, 5
7	$\forall x. Q(x)$	$\forall i$ 3 – 6

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## Workout

- Show  $P(a), \forall x.P(x) \Rightarrow \neg Q(x) \vdash_{ND} \neg Q(a)$
- Show  $\neg \forall x.P(x) \vdash_{ND} \exists x.\neg P(x)$

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## Proof by Refutation

- To prove  $\{P_1, \dots, P_n\} \models S$  is equivalent to prove that there is no interpretation for  $\{P_1, \dots, P_n, \neg S\}$ .
- But there are infinitely many interpretations!
- Can we limit the range of interpretations ?
- Yes, Herbrand interpretations!

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## Herbrand's theorem

- *Herbrand universe of a formula S*

- Let  $H_0$  be the set of constants appearing in  $S$ .
  - If no constant appears in  $S$ , then  $H_0$  is to consist of a single constant,  $H_0 = \{a\}$ .
- For  $i=0, 1, 2, \dots$   
 $H_{i+1} = H_i \cup \{f^n(t_1, \dots, t_n) \mid f \text{ is an } n\text{-place function in } S; t_1, \dots, t_n \in H_i\}$
- $H_i$  is called the  $i$ -level constant set of  $S$ .
- $H_\infty$  is the *Herbrand universe* of  $S$ .

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## Herbrand's theorem

- Herbrand universe of a formula  $S$

Example 1:  $S = \{P(a), \sim P(x) \vee P(f(x))\}$

- $H_0 = \{a\}$
- $H_1 = \{a, f(a)\}$
- $H_2 = \{a, f(a), f(f(a))\}$
- .
- .
- $H_\infty = \{a, f(a), f(f(a)), f(f(f(a))), \dots\}$

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## Herbrand's theorem

- Herbrand universe of a formula  $S$

Example 2:  $S = \{P(x) \vee Q(x), R(z), T(y) \vee \sim W(y)\}$

- There is no constant in  $S$ , so we let  $H_0 = \{a\}$
- There is no function symbol in  $S$ , hence  
 $H = H_0 = H_1 = \dots = \{a\}$

Example 3:  $S = \{P(f(x), a, g(y), b)\}$

- $H_0 = \{a, b\}$
- $H_1 = \{a, b, f(a), f(b), g(a), g(b)\}$
- $H_2 = \{a, b, f(a), f(b), g(a), g(b), f(f(a)), f(f(b)), f(g(a)), f(g(b)), g(f(a)), g(f(b)), g(g(a)), g(g(b))\}$
- ...

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## Herbrand's theorem

- *Herbrand universe of a formula S*

### Expression

- a term, a set of terms, an atom, a set of atoms, a literal, a clause, or a set of clauses.

### Ground expressions

- *expressions without variables.*

It is possible to use a ground term, a ground atom, a ground literal, and a ground clause – this means that no variable occurs in respective expressions.

### Subexpression of an expression $E$

- an expression that occurs in  $E$ .

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## Herbrand's theorem

- *Herbrand base of a formula S*

- Ground atoms  $P^n(t_1, \dots, t_n)$ 
  - $P^n$  is an  $n$ -place predicate occurring in  $S$ ,
  - $t_1, \dots, t_n \in H_\infty$
- Herbrand base of  $S$  (atom set)
  - the set of all ground atoms of  $S$
- Ground instance of  $S$ 
  - obtained by replacing variables in  $S$  by members of the Herbrand universe of  $S$ .

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## Herbrand's theorem

- Herbrand universe  $\mathcal{U}$  base of a formula  $S$

### Example

- $S = \{P(x), Q(f(y)) \vee R(y)\}$
- $C = P(x)$  is a clause in  $S$
- $H = \{a, f(a), f(f(a)), \dots\}$  is the Herbrand universe of  $S$ .
- $P(a), Q(f(a)), Q(a), R(a), R(f(f(a))),$  and  $P(f(f(a)))$  are ground atoms of  $C$ .

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## Workout

$\{P(x), Q(g(x,y),a) \vee R(f(x))\}$

- please construct the set of ground terms
- please construct the set of ground atoms

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## Herbrand's theorem

- *Herbrand interpretation of a formula S*

- S, a set of clauses.
  - i.e., a conjunction of the clauses
- H, the Herbrand universe of S and
- *H-interpretation*  $\mathcal{I}$  of S
  - $\mathcal{I}$  maps all constants in S to themselves.
  - For all  $n$ -place function symbol  $f$  and  $h_1, \dots, h_n$  elements of  $H$ ,

$$\mathcal{I}(f(h_1, \dots, h_n)) = f(h_1, \dots, h_n)$$

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## Herbrand's theorem

- *Herbrand interpretation of a formula S*

- There is no restriction on the assignment to each  $n$ -place predicate symbol in S.
- Let  $A = \{A_1, A_2, \dots, A_n, \dots\}$  be the atom set of S.
- An  $H$ -interpretation  $I$  can be conveniently represented as a subset of  $A$ .
  - If  $A_j \in I$ , then  $A_j$  is assigned "true",
  - otherwise  $A_j$  is assigned "false".

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## Herbrand's theorem

- *Herbrand interpretation of a formula S*

Example:  $S = \{P(x) \vee Q(x), R(f(y))\}$

- The Herbrand universe of S is

$$H = \{a, f(a), f(f(a)), \dots\}.$$

- Predicate symbols:  $P, Q, R$ .

- The atom set of S:

$$A = \{P(a), Q(a), R(a), P(f(a)), Q(f(a)), R(f(a)), \dots\}.$$

- Some  $H$ -interpretations for S:

- $I_1 = \{P(a), Q(a), R(a), P(f(a)), Q(f(a)), R(f(a)), \dots\}$

- $I_2 = \emptyset$

- $I_3 = \{P(a), Q(a), P(f(a)), Q(f(a)), \dots\}$

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## Herbrand's theorem

- *Herbrand interpretation of a formula S*

- An interpretation of a set S of clauses does not necessarily have to be defined over the Herbrand universe of S.
- Thus an interpretation may not be an  $H$ -interpretation.

Example:

- $S = \{P(x), Q(y, f(y, a))\}$

- $D = \{1, 2\}$

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## Herbrand's theorem

- Herbrand interpretation of a formula  $S$

- But Herbrand is conceptually general enough.

Example (cont.)  $S = \{P(x), Q(y, f(y, a))\}$

- $D = \{1, 2\}$
- – an interpretation of  $S$ :

$a$	$f(1,1)$	$f(1,2)$	$f(2,1)$	$f(2,2)$
2	1	2	2	1

$P(1)$	$P(2)$	$Q(1,1)$	$Q(1,2)$	$Q(2,1)$	$Q(2,2)$
$T$	$F$	$F$	$T$	$F$	$T$

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## Herbrand's theorem

- Herbrand interpretation of a formula  $S$

- But Herbrand is conceptually general enough.

Example (cont.) – we can define an  $H$ -interpretation  $I^*$  corresponding to  $I$ .

- First we find the atom set of  $S$ 
  - $A = \{P(a), Q(a, a), P(f(a, a)), Q(a, f(a, a)), Q(f(a, a), a), Q(f(a, a), f(a, a)), \dots\}$
- Next we evaluate each member of  $A$  by using the given table
  - $P(a) = P(2) = F$
  - $Q(a, a) = Q(2, 2) = T$
  - $P(f(a, a)) = P(f(2, 2)) = P(1) = T$
  - $Q(a, f(a, a)) = Q(2, f(2, 2)) = Q(2, 1) = F$
  - $Q(f(a, a), a) = Q(f(2, 2), 2) = Q(1, 2) = T$
  - $Q(f(a, a), f(a, a)) = Q(f(2, 2), f(2, 2)) = Q(1, 1) = F$
- Then  $I^* = \{Q(a, a), P(f(a, a)), Q(f(a, a), a), \dots\}$ .

$a$	$f(1,1)$	$f(1,2)$	$f(2,1)$	$f(2,2)$
2	1	2	2	1

$P(1)$	$P(2)$	$Q(1,1)$	$Q(1,2)$	$Q(2,1)$	$Q(2,2)$
$T$	$F$	$F$	$T$	$F$	$T$

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## Herbrand's theorem

### - Herbrand interpretation of a formula $S$

- If there is no constant in  $S$ , the element  $a$  used to initiate the Herbrand universe of  $S$  can be mapped into any element of the domain  $D$ .
- If there is more than one element in  $D$ , then there is more than one  $H$ -interpretation corresponding to  $I$ .

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## Herbrand's theorem

### - Herbrand interpretation of a formula $S$

- Example:  $S=\{P(x), Q(y, f(y, z))\}$ ,  $D=\{1, 2\}$

$f(1,1)$	$f(1,2)$	$f(2,1)$	$f(2,2)$
1	2	2	1

$P(1)$	$P(2)$	$Q(1,1)$	$Q(1,2)$	$Q(2,1)$	$Q(2,2)$
$T$	$F$	$F$	$T$	$F$	$T$

- Two  $H$ -interpretations corresponding to  $I$  are:
  - $I^*=\{Q(a,a), P(f(a,a)), Q(f(a,a),a), \dots\}$  if  $a=2$ ,
  - $I^*=\{P(a), P(f(a,a)), \dots\}$  if  $a=1$ .

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## Herbrand's theorem

### - Herbrand interpretation of a formula $S$

Definition: Given an interpretation  $I$  over a domain  $D$ , an  $H$ -interpretation  $I^*$  corresponding to  $I$  is an  $H$ -interpretation that satisfies the condition:

- Let  $h_1, \dots, h_n$  be elements of  $H$  (the Herbrand universe of  $S$ ).
- Let every  $h_i$  be mapped to some  $d_i$  in  $D$ .
- If  $P(d_1, \dots, d_n)$  is assigned  $T(F)$  by  $I$ , then  $P(h_1, \dots, h_n)$  is also assigned  $T(F)$  in  $I^*$ .

Lemma: If an interpretation  $I$  over some domain  $D$  satisfies a set  $S$  of clauses, then any  $H$ -interpretation  $I^*$  corresponding to  $I$  also satisfies  $S$ .

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## Herbrand's theorem

*A set  $S$  of clauses is unsatisfiable if and only if  $S$  is false under all the  $H$ -interpretations of  $S$ .*

- We need consider only  $H$ -interpretations for checking whether or not a set of clauses is unsatisfiable.
- Thus, whenever the term "interpretation" is used, a  $H$ -interpretation is meant.

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## Herbrand's theorem

Let  $\emptyset$  denote an empty set. Then:

- A ground instance  $C'$  of a clause  $C$  is satisfied by an interpretation  $I$  if and only if there is a ground literal  $L'$  in  $C'$  such that  $L'$  is also in  $I$ , i.e.  $C' \cap I \neq \emptyset$ .
- A clause  $C$  is satisfied by an interpretation  $I$  if and only if every ground instance of  $C$  is satisfied by  $I$ .
- A clause  $C$  is falsified by an interpretation  $I$  if and only if there is at least one ground instance  $C'$  of  $C$  such that  $C'$  is not satisfied by  $I$ .
- A set  $S$  of clauses is unsatisfiable if and only if for every interpretation  $I$  there is at least one ground instance  $C'$  of some clause  $C$  in  $S$  such that  $C'$  is not satisfied by  $I$ .

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## Herbrand's theorem

Example: Consider the clause  $C = \sim P(x) \vee Q(f(x))$ . Let  $I_1$ ,  $I_2$ , and  $I_3$  be defined as follows:

- $I_1 = \emptyset$
- $I_2 = \{P(a), Q(a), P(f(a)), Q(f(a)), P(f(f(a))), Q(f(f(a))), \dots\}$
- $I_3 = \{P(a), P(f(a)), P(f(f(a))), \dots\}$

$C$  is satisfied by  $I_1$  and  $I_2$ , but falsified by  $I_3$ .

Example:  $S = \{P(x), \sim P(a)\}$ .

The only two  $H$ -interpretations are:

- $I_1 = \{P(a)\}$ ,
- $I_2 = \emptyset$ .

$S$  is falsified by both  $H$ -interpretations and therefore is unsatisfiable.

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## Resolution Principle

### - Clausal Forms

Clauses are universally quantified disjunctions of literals;

all variables in a clause are universally quantified

$$(\forall x_1, \dots, x_n)(l_1 \vee \dots \vee l_n)$$

written as

$$l_1 \vee \dots \vee l_n$$

or

$$\{l_1, \dots, l_n\}$$

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## Resolution Principle

### - Clausal form $\{ \text{Nat}(s(A)), \neg \text{Nat}(A) \}$ $\{ \text{Nat}(s(A)), \neg \text{Nat}(A) \}$

#### ■ Examples:

$\{ \text{Nat}(A) \}$

gives

$\{ \text{Nat}(s(A)) \}$

$\{ \text{Nat}(x) \}$

gives

$\{ \text{Nat}(s(A)) \}$

$\{ \text{Nat}(s(s(x))), \neg \text{Nat}(s(x)) \}$

$\{ \text{Nat}(s(A)) \}$

gives

$\{ \text{Nat}(s(s(A))) \}$

- We need to be able to work with variables !
- Unification of two expressions/literals

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## Resolution Principle

### - Terms and instances

- Consider following atoms

$P(x, f(y), B)$

$P(z, f(w), B)$  alphabetic variant

$P(x, f(A), B)$  instance

$P(g(z), f(A), B)$  instance

$P(C, f(A), A)$  not an instance

- *Ground* expressions do not contain any variables

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## Resolution Principle

### - Substitution

A substitution  $s = \{t_1 / v_1, \dots, t_n / v_n\}$  substitutes variables  $v_i$  for terms  $t_i$  ( $t_i$  does NOT contain  $v_i$ )

Applying a substitution  $s$  to an expression  $\omega$  yields the expression  $\omega s$  which is  $\omega$  with all occurrences of  $v_i$  replaced by  $t_i$

$P(x, f(y), B)$

$P(z, f(w), B)$

$s = \{z/x, w/y\}$

$P(x, f(A), B)$

$s = \{A/y\}$

$P(g(z), f(A), B)$

$s = \{g(z)/x, A/y\}$

$P(C, f(A), A)$

no substitution !

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## Workout

Calculate the substitutions for the resolution of the two clauses and the result clauses after the substitutions.

- $\neg P(x), P(f(a)) \vee Q(f(y), g(a, b))$
- $\neg P(g(x, a)), P(y) \vee Q(f(y), g(a, b))$
- $\neg P(g(x, f(a))), P(g(b, y)) \vee Q(f(y), g(a, b))$
- $\neg P(g(f(x), x)), P(g(y, f(f(y)))) \vee Q(f(y), g(a, b))$

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## Resolution Principle

### - Composing substitutions

- Composing substitutions  $s_1$  and  $s_2$  gives  $s_1 s_2$  which is that substitution obtained by first applying  $s_2$  to the terms in  $s_1$  and adding remaining term/vars pairs to  $s_1$

$$\theta = \{g(x, y) / z\} \{A/x, B/y, C/w, D/z\} = \{g(A, B) / z, A/x, B/y, C/w\}$$

- Apply to

$P(x, y, z)\theta$

gives

$P(A, B, g(A, B))$

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## Resolution Principle

### - Properties of substitutions

$$(\omega s_1) s_2 = \omega(s_1 s_2)$$

$$(s_1 s_2) s_3 = s_1(s_2 s_3) \text{ associativity}$$

$$s_1 s_2 \neq s_2 s_1 \text{ not commutative}$$

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## Resolution Principle

### - Unification

#### ■ Unifying a set of expressions $\{w_i\}$

- Find substitution  $s$  such that  $w_i s = w_j s$  for all  $i, j$

- Example  $\{P(x, f(y), B), P(x, f(B), B)\}$

$$s = \{B/y, A/x\} \text{ not the simplest unifier}$$

$$s = \{B/y\} \text{ most general unifier (mgu)}$$

- The most general unifier, the mgu,  $g$  of  $\{w_i\}$  has the property that if  $s$  is any unifier of  $\{w_i\}$  then there exists a substitution  $s'$  such that  $\{w_i\}s = \{w_i\}gs'$
- The common instance produced is unique up to alphabetic variants (variable renaming)

- *usually we assume there is no common variables in the two atoms*

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## Workout

$P(B, f(x), g(A))$  and  $P(y, z, f(w))$

- construct an mgu
- construct a unifier that is not the most general.

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## Workout

Determine if each of the following sets is unifiable. If yes, construct an mgu.

- $\{Q(a), Q(b)\}$
- $\{Q(a, x), Q(a, a)\}$
- $\{Q(a, x, f(x)), Q(a, y, y)\}$
- $\{Q(x, y, z), Q(u, h(v, v), u)\}$
- $\{P(x_1, g(x_1), x_2, h(x_1, x_2), x_3, k(x_1, x_2, x_3)), P(y_1, y_2, e(y_2), y_3, f(y_2, y_3), y_4)\}$

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## Resolution Principle

### - Disagreement set in unification

The disagreement set of a set of expressions  $\{w_i\}$  is the set of subterms  $\{t_i\}$  of  $\{w_i\}$  at the first position in  $\{w_i\}$  for which the  $\{w_i\}$  disagree

```
{P(x,A,f(y)),P(w,B,z)} gives {x,w}
{P(x,A,f(y)),P(x,B,z)} gives {A,B}
{P(x,y,f(y)),P(x,B,z)} gives {y,B}
```

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## Resolution Principle

### - Unification algorithm

Unify(*Terms*)

Initialize  $k \leftarrow 0$ ;

Initialize  $T_k = \textit{Terms}$ ;

Initialize  $\sigma_k = \{\}$ ;

\* If  $T_k$  is a singleton, then output  $\sigma_k$ . Otherwise, continue.

Let  $D_k$  be the disagreement set of  $T_k$

If there exists a var  $v_k$  and a term  $t_k$  in  $D_k$  such that  $v_k$  does not occur in  $t_k$ , continue. Otherwise, exit with failure.

$\sigma_{k+1} \leftarrow \sigma_k \{t_k / v_k\}$ ;

$T_{k+1} \leftarrow T_k \{t_k / v_k\}$ ;

$k \leftarrow k + 1$ ;

Goto \*

## Predicate calculus Resolution

John Allan Robinson (1965)

Let  $C_1$  and  $C_2$  be two clauses with literals  $l_1 \in C_1$  and  $\neg l_2 \in C_2$  such that  $C_1$  and  $C_2$  do not contain common variables, and  $mgu(l_1, l_2) = \theta$  then  $C = [\{ C_1 - \{l_1\} \} \cup \{ C_2 - \{\neg l_2\} \}] \theta$  is a resolvent of  $C_1$  and  $C_2$

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## Predicate calculus Resolution

John Allan Robinson (1965)

Given

$C: l_1 \vee l_2 \vee \dots \vee l_m$

$C: \neg k_1 \vee k_2 \vee \dots \vee k_n$

$\theta = mgu(l_1, k_1)$

the *resolvent* is

$l_2 \vee \dots \vee l_m \theta \vee k_2 \theta \vee \dots \vee k_n \theta$

no common variables!

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## Resolution Principle

### - Example

Why can we do this ?

$P(x) \vee Q(f(x))$  and  $R(g(x)) \vee \neg Q(f(A))$

Standardizing the variables apart

$P(x) \vee Q(f(x))$  and  $R(g(y)) \vee \neg Q(f(A))$

Substitution  $\theta = \{A/x\}$

Resolvent  $P(A) \vee R(g(y))$

Why we think the variables in 2 clauses are irrelevant ?

$P(x) \vee Q(x,y)$  and  $\neg P(A) \vee \neg R(B,z)$

Standardizing the variables apart

Substitution  $\theta = \{A/x\}$

Resolvent  $Q(A,y) \vee \neg R(B,z)$

## Workout

Find all the possible resolvents (if any) of the following pairs of clauses.

- $\neg P(x) \vee Q(x,b)$ ,

## Workout

Find all the possible resolvents (if any) of the following pairs of clauses.

- $\neg P(x) \vee Q(x,b), P(a) \vee Q(a,b)$
- $\neg P(x) \vee Q(x,x), \neg Q(a,f(a))$
- $\neg P(x,y,u) \vee \neg P(y,z,v) \vee \neg P(x,v,w) \vee P(u,z,w),$   
 $P(g(x,y),x,y)$
- $\neg P(v,z,v) \vee P(w,z,w), P(w,h(x,x),w)$

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## Resolution Principle

- A stronger version of resolution

Use more than one literal per clause

$\{P(u), P(v)\}$  and  $\{\neg P(x), \neg P(y)\}$

do not resolve to empty clause.

However, ground instances

$\{P(A)\}$  and  $\{\neg P(A)\}$  resolve to empty clause

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## Resolution Principle

### - Factors

Let  $C_1$  be a clause such that there exists a substitution  $\theta$  that is a mgu of a set of literals in  $C_1$ . Then  $C_1\theta$  is a factor of  $C_1$ .

Each clause is a factor of itself.

Also,  $\{P(f(y)), R(f(y), y)\}$  is a factor of  $\{P(x), P(f(y)), R(x, y)\}$  with  $\theta = \{f(y)/x\}$ .

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## Resolution Principle

### - Example of refutation

1. $\{F(\text{Art}, \text{Jon})\}$	$\Delta$
2. $\{F(\text{Bob}, \text{Kim})\}$	$\Delta$
3. $\{\neg F(x, y), P(x, y)\}$	$\Delta$
4. $\{\neg P(\text{Art}, \text{Jon})\}$	$\Gamma$
<hr/>	
5. $\{P(\text{Art}, \text{Jon})\}$	1, 3
6. $\{P(\text{Bob}, \text{Kim})\}$	2, 3
7. $\{\neg F(\text{Art}, \text{Jon})\}$	3, 4
<hr/>	
8. $\{\}$	4, 5
9. $\{\}$	1, 7

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## Resolution Principle

### - Example

#### Hypotheses

$\forall x (\text{dog}(x) \Rightarrow \text{animal}(x))$

$\text{dog}(\text{fido})$

$\forall y (\text{animal}(y) \Rightarrow \text{die}(y))$

Conclusion

$\text{die}(\text{fido})$

#### Clausal Form

$\neg \text{dog}(x) \vee \text{animal}(x)$

$\text{dog}(\text{fido})$

$\neg \text{animal}(y) \vee \text{die}(y)$

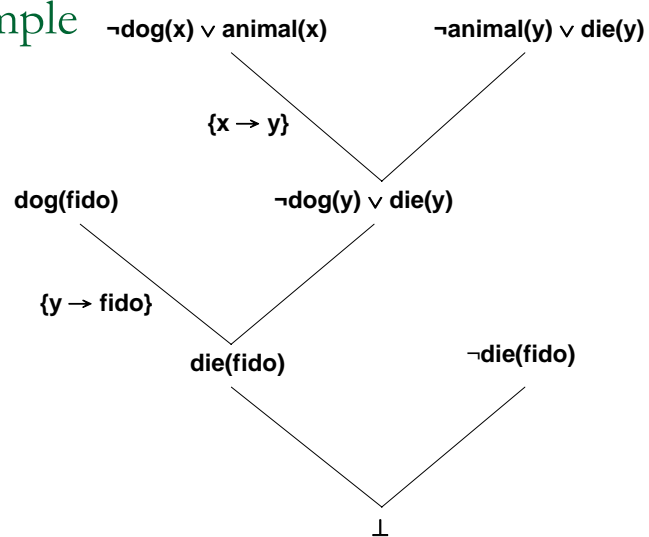
Negate the goal

$\neg \text{die}(\text{fido})$

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## Resolution Principle

### - Example



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## Workout (resolution)

### - Proof with resolution principle

Hypotheses:

- $P(m(x),x) \vee Q(m(x))$
- $\neg P(y,z) \vee R(y)$
- $\neg Q(m(f(x,y))) \vee \neg T(x,g(y))$
- $S(a) \vee T(f(a),g(x))$
- $\neg R(m(y))$
- $\neg S(x) \vee W(x,f(x,y))$

Conclusion

$W(a, y)$

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## Resolution

Properties

- Resolution is sound
- Incomplete

Given  $P(A)$

Infer  $\{P(A), P(B)\}$

- But fortunately it is refutation complete
  - If KB is unsatisfiable then  $KB \vdash \square$

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## Resolution Principle

### - Refutation Completeness

To decide whether a formula  $KB \models w$ , do

- Convert  $KB$  to clausal form  $KB'$
- Convert  $\neg w$  to clausal form  $\neg w'$
- Combine  $\neg w'$  and  $KB'$  to give  $\Delta$
- Iteratively apply resolution to  $\Delta$  and add the results back to  $\Delta$  until either no more resolvents can be added, or until the empty clause is produced.

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## Resolution Principle

### - Converting to clausal form (1/2)

To convert a formula  $KB$  into clausal form

1. Eliminate implication signs\*

$(p \Rightarrow q)$  becomes  $(\neg p \vee q)$

2. Reduce scope of negation signs\*

$\neg(p \wedge q)$  becomes  $(\neg p \vee \neg q)$

3. Standardize variables

$(\forall x) [\neg P(x) \vee (\exists x) Q(x)]$  becomes  $(\forall x) [\neg P(x) \vee (\exists y) Q(y)]$

4. Eliminate existential quantifiers using Skolemization

\* Same as in prop. logic

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## Resolution Principle

### - Converting to clausal form (2/2)

5. Convert to prenex form
  - Move all universal quantifiers to the front
6. Put the matrix in conjunctive normal form\*
  - Use distribution rule
7. Eliminate universal quantifiers
8. Eliminate conjunction symbol \*
9. Rename variables so that no variable occurs in more than one clause.

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## Resolution Principle

### - Skolemization

Consider  $(\forall x) [ (\exists y) \text{Height}(x,y) ]$

The  $y$  depends on the  $x$

Define this dependence explicitly using a **skolem function  $h(x)$**

Formula becomes  $(\forall x) [ \text{Height}(x, h(x)) ]$

General rule is that each occurrence of an existentially quantified variable is replaced by a *skolem* function whose arguments are those universally quantified variables whose scopes includes the scope of the existentially quantified one

---

Skolem functions do not yet occur elsewhere !

Resulting formula is not logically equivalent !

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## Resolution Principle

### - Examples of Skolemization

$[(\forall w)Q(w)] \Rightarrow (\forall x) \{ (\forall y) \{ (\exists z) [P(x,y,z) \Rightarrow (\forall u)R(x,y,u,z)] \} \}$   
gives

$[(\forall w)Q(w)] \Rightarrow (\forall x) \{ (\forall y) [P(x,y,g(x,y)) \Rightarrow (\forall u)R(x,y,u,g(x,y))] \}$

$(\forall x) [ (\exists y) F(x,y) ]$  gives  $(\forall x) F(x, h(x))$

but

$(\exists y) [ (\forall x) F(x,y) ]$  gives  $[ (\forall x) F(x, sk) ]$  skolem constant

**Not logically equivalent !**

A well formed formula and its Skolem form are not logically equivalent.

However, a set of formulae is (un)satisfiable if and only if its skolem form is (un)satisfiable.

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## Resolution Principle

### - Example of conversion to clausal form

initial:  $\forall x (\forall y P(x,y)) \Rightarrow \neg(\forall y Q(x,y) \Rightarrow R(x,y))$

step 1:  $\forall x \neg(\forall y P(x,y)) \vee \neg(\forall y \neg Q(x,y) \vee R(x,y))$

step 2:  $\forall x (\exists y \neg P(x,y)) \vee (\exists y Q(x,y) \wedge \neg R(x,y))$

step 3:  $\forall x (\exists y \neg P(x,y)) \vee (\exists z Q(x,z) \wedge \neg R(x,z))$

step 4:  $\forall x \neg P(x, F1(x)) \vee (Q(x, F2(x)) \wedge \neg R(x, F2(x)))$

step 5:  $\neg P(x, F1(x)) \vee (Q(x, F2(x)) \wedge \neg R(x, F2(x)))$

step 6:  $(\neg P(x, F1(x)) \vee Q(x, F2(x))) \wedge$   
 $(\neg P(x, F1(x)) \vee \neg R(x, F2(x)))$

step 7:  $\{ \neg P(x, F1(x)), Q(x, F2(x)) \}$   
 $\{ \neg P(x, F1(x)), \neg R(x, F2(x)) \}$

step 8:  $\{ \neg P(x1, F1(x1)), Q(x1, F2(x1)) \}$   
 $\{ \neg P(x2, F1(x2)), \neg R(x2, F2(x2)) \}$

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## Workout

Convert the following formula to clausal form.

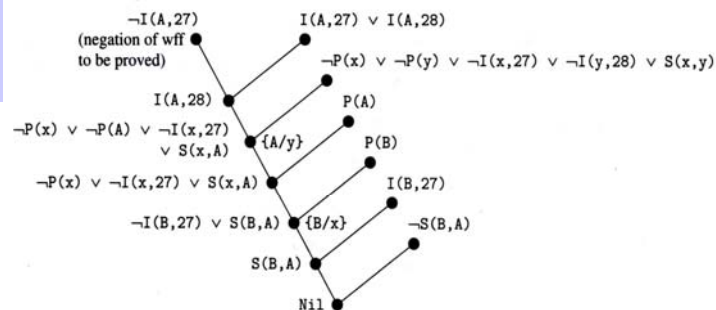
- $\exists x(P(x) \wedge \forall y ((\exists z.Q(x,y,s(z))) \rightarrow (Q(x,s(y),x) \wedge R(y))))$
- $\forall x \forall y (S(x,y,z) \rightarrow \exists z (S(x,z) \wedge S(z,x)))$

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## Resolution Principle

### - Example of refutation by resolution

1.  $\neg P(x) \vee \neg P(y) \vee \neg I(x,27) \vee \neg I(y,28) \vee S(x,y)$   
all packages in room 27 are smaller than any of those in 28
  2.  $P(A)$
  3.  $P(B)$
  4.  $I(A,27) \vee I(A,28)$
  5.  $I(B,27)$
  6.  $\neg S(B,A)$
- Prove  $I(A,27)$



**Figure 16.1**  
A Resolution Refutation

## Resolution Principle

### - Search Strategies

#### ■ Ordering strategies

- In what order to perform resolution ?
- Breadth-first, depth-first, iterative deepening ?
- Unit-preference strategy :
  - Prefer those resolution steps in which at least one clause is a unit clause (containing a single literal)

#### ■ Refinement strategies

- Unit resolution : allow only resolution with unit clauses

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## Resolution Principle

### - Input Resolution

- at least one of the clauses being resolved is a member of the original set of clauses
- Input resolution is complete for Horn-clauses but incomplete in general
- E.g.  $\{P, Q\}, \{\neg P, Q\}, \{P, \neg Q\}, \{\neg P, \neg Q\}$
- One of the parents of the empty clause should belong to original set of clauses

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## Workout

Use input resolution to prove the theorem in page workout(resolution)!

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## Resolution Principle

### - Linear Resolution

- Linear resolvent is one in which at least one of the parents is either
  - an initial clause or
  - the resolvent of the previous resolution step.
  
- Refutation complete
- Many other resolution strategies exist

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## workout

Use linear resolution to prove the theorem in page workout(resolution)!

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## Resolution Principle

### - Set of support

- Ancestor :  $c_2$  is a descendant of  $c_1$  iff  $c_2$  is a resolvent of  $c_1$  (and another clause) or if  $c_2$  is a resolvent of a descendant of  $c_1$  (and another clause);  $c_1$  is an ancestor of  $c_2$
- Set of support : the set of clauses coming from the negation of the theorem (to be proven) and their descendants
- Set of support strategy : require that at least one of the clauses in each resolution step belongs to the set of support

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## workout

Use set of support to prove the theorem in page workout(resolution)!

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## Resolution Principle

### - Answer extraction

Suppose we wish to prove whether  $KB \models (\exists w)f(w)$

We are probably interested in knowing the  $w$  for which  $f(w)$  holds.

Add  $\text{Ans}(w)$  literal to each clause coming from the negation of the theorem to be proven; stop resolution process when there is a clause containing only  $\text{Ans}$  literal

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## Resolution Principle - Example of answer extraction

1.  $\neg P(x) \vee \neg P(y) \vee \neg I(x, 27) \vee \neg I(y, 28) \vee S(x, y)$   
all packages in room 27 are smaller than any of those in 28
  2.  $P(A)$
  3.  $P(B)$
  4.  $I(A, 27) \vee I(A, 28)$
  5.  $I(B, 27)$
  6.  $\neg S(B, A)$
- Prove  $(\exists u) I(A, u)$ , i.e. in which room is A?

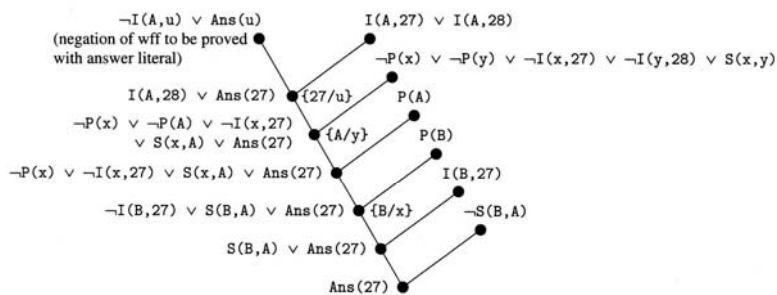


Figure 16.2

Answer Extraction

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## Workout

- Use answer extraction to prove the theorem in page workout(resolution)!

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## Theory of Equality

- Herbrand Theorem does not apply to FOL with equality.
- So far we've looked at predicate logic from the point of view of what is true in all interpretations.
  - This is very open-ended.
- Sometimes we want to assume at least something about our interpretation to enrich the theory in what we can express and prove.
- The meaning of equality is something that is common to all interpretations.
  - Its interpretation is that of equivalence in the domain.
  - If we add = as a predicate with special meaning in predicate logic, we can also add rules to our various proof procedures.
- **Normal models** are models in which the symbol = is interpreted as designating the equality relation.

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## Theory of Equality

### - An Axiomatic System with Equality

To the previous axioms and rules of inference, we add:

$$\text{EAx1 } \forall x. x = x$$

$$\text{EAx2 } \forall x. \forall y. x = y \Rightarrow (A(x, x) \Rightarrow A(x, y))$$

$$\text{EAx3 } \forall x. \forall y. x = y \Rightarrow f(x) = f(y)$$

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## Theory of Equality

### - Natural Deduction Rules for Equality

Reflexivity

$$\frac{}{t = t} = i$$

This inference rule is called an **axiom**, because it has no premises.

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## Theory of Equality

### - Natural Deduction Rules for Equality

Substitution

$$\frac{t_1 = t_2 \quad P[t_2/x]}{P[t_1/x]} = e \qquad \frac{t_1 = t_2 \quad P[t_1/x]}{P[t_2/x]} = e$$

where  $t_1$  and  $t_2$  are free in  $x$  in  $P$ .

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## Theory of Equality

### - Substitution

- Recall: Given a variable  $x$ , a term  $t$  and a formula  $P$ , we define  $P[t/x]$  to be the formula obtained by replacing **ALL free** occurrence of variable  $x$  in  $P$  with  $t$ .
- But with equality, we sometimes don't want to substitute for all occurrences of a variable.
- When we write  $P[t/x]$  above the line, we get to choose what  $P$  is and therefore can choose the occurrences of a term that we wish to substitute for.

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## Theory of Equality

### - Substitution

Recall from existential introduction:

$$\frac{P[t/x]}{\exists x. P} \exists i \quad \left[ \begin{array}{ll} 1 & \forall x. Q(x, x) \quad \text{premise} \\ 2 & x_0 \\ 3 & Q(x_0, x_0) \quad \forall e 1 \\ 4 & \exists y. Q(x_0, y) \quad \exists i 3 \\ 5 & \forall x. \exists y. Q(x, y) \quad \forall i 5 \end{array} \right.$$

- Matching the top of our rule,  $P = Q(x_0, x)$ , so line 3 of the proof is  $P[x_0/x]$ , which is  $Q(x_0, x)$
- So we don't have to substitute in for every occurrence of a term.

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## Theory of Equality

### - Examples

From these two inference rules, we can derive two other properties that we expect equality to have:

- Symmetry :  $\vdash_{ND} \forall x, y. (x = y) \Rightarrow (y = x)$
- Transitivity :  $\vdash_{ND} \forall x, y, z. (x = y) \wedge (y = z) \Rightarrow (x = z)$

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## Theory of Equality

### - Example

$$\vdash_{ND} \forall x, y. (x = y) \Rightarrow (y = x)$$

$$\begin{array}{l}
 \left[ \begin{array}{l}
 1 \quad x_0 \\
 \left[ \begin{array}{l}
 2 \quad y_0 \\
 \left[ \begin{array}{l}
 3 \quad x_0 = y_0 \quad \text{assumption} \\
 4 \quad x_0 = x_0 \quad = i \\
 5 \quad y_0 = x_0 \quad = e 3, 4 \\
 6 \quad x_0 = y_0 \Rightarrow y_0 = x_0 \quad \Rightarrow i 3 - 5 \\
 7 \quad \forall y. (x_0 = y) \Rightarrow (y = x_0) \quad \forall i 2 - 6 \\
 8 \quad \forall x, y. (x = y) \Rightarrow (y = x) \quad \forall i 1 - 7
 \end{array}
 \end{array}
 \end{array}
 \end{array}
 \right.
 \end{array}$$

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## Theory of Equality

### - Example

$$\vdash_{\text{ND}} \forall x, y, z. (x = y) \wedge (y = z) \Rightarrow (x = z)$$

1	$x_0$		
2	$y_0$		
3	$(x_0 = y_0) \wedge (y_0 = z_0)$	<b>assumption</b>	
4	$x_0 = y_0$	$\wedge e$ 3	
5	$y_0 = z_0$	$\wedge e$ 3	
6	$x_0 = z_0$	$= e$ 4, 5	
7	$(x_0 = y_0) \wedge (y_0 = z_0) \Rightarrow (x_0 = z_0)$	$\Rightarrow i$ 3 – 6	
8	$\forall y. (x_0 = y) \wedge (y = z_0) \Rightarrow (x_0 = z_0)$	$\forall i$ 2 – 7	
9	$\forall x, y. (x = y) \wedge (y = z) \Rightarrow (x = z)$	$\forall i$ 1 – 8	

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## Theory of Equality

### - Leibniz's Law

- The substitution inference rule is related to Leibniz's Law.
- **Leibniz's Law:**  
if  $t_1 = t_2$  is a theorem, then so is  $P[t_1 / x] \Leftrightarrow P[t_2 / x]$
- Leibniz's Law is generally referred to as the ability to substitute "equals for equals".

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## Leibniz

Gottfried Wilhelm von Leibniz (1646-1716)

- The founder of differential and integral calculus.
- Another of Leibniz's lifelong aims was to collate all human knowledge.



*"[He was] one of the last great polymaths - not in the frivolous sense of having a wide general knowledge, but in the deeper sense of one who is a citizen of the whole world of intellectual inquiry."*

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## Theory of Equality

### - Example

- From our natural deduction rules, we can derive Leibniz's Law:

$$t_1 = t_2 \vdash_{ND} P(t_1) \Leftrightarrow P(t_2)$$

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## Theory of Equality

### - Equality: Semantics

- The semantics of the equality symbol is equality on the objects of the domain.
- In ALL interpretations it means the same thing.
- **Normal interpretations** are interpretations in which the symbol = is interpreted as designating the equality relation on the domain.
- We will restrict ourselves to normal interpretations from now on.

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## Theory of Equality

### - Extensional Equality

- Equality in the domain is **extensional**, meaning it is equality in meaning rather than form.
- This is in contrast to **intensional** equality which is equality in form rather than meaning.
- In logic, we are interested in whether two terms represent the same object, not whether they are the same symbols.
- If two terms are intensionally equal then they are also extensionally equal, but not necessarily the other way around.

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## Theory of Equality

### - Equality: Counterexamples

- Show the following argument is not valid:  
 $\exists x.P(x) \wedge Q(x), P(A), A = B \vDash Q(B)$
- where  $A, B$  are constants

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## Theory of Arithmetic

- Another commonly used theory is that of arithmetic.
- It was formalized by Dedekind in 1879 and also by Peano in 1889.
- It is generally referred to as **Peano's Axioms**.
- The model of the system is the natural numbers with the constants 0 and 1, the functions +, \*, and the relation <.

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## Peano's Axioms

P1:	$\forall x.\forall y.(x + y = y + x)$	Commutativity of +
P2:	$\forall x.\forall y.(x * y = y * x)$	Commutativity of *
P3:	$\forall x.\forall y.\forall z.x + (y + z) = (x + y) + z$	Associativity of +
P4:	$\forall x.\forall y.\forall z.x * (y * z) = (x * y) * z$	Associativity of *
P5:	$\forall x.\forall y.\forall z.x * (y + z) = (x * y) + (x * z)$	Distributivity
P6:	$\forall x.x + 0 = x$	Property of 0
P7:	$\forall x.x * 1 = x$	Property of 1
P8:	$\forall x.\neg(x + 1 = 0)$	0 is not a successor
P9:	$\forall x.\forall y.x + 1 = y + 1 \Rightarrow x = y$	
P10:	$\forall x.\forall y.x < y \Leftrightarrow \exists z.\neg(z = 0) \wedge y = x + z$	Property of <
P11:	$P[0/x] \wedge (\forall y.P[y/x] \Rightarrow P[y + 1/x]) \Rightarrow \forall x.P$	Induction Scheme

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## Intuitionistic Logic

- “A proof that something exists is constructive if it provides a method for actually constructing it.”
- In **intuitionistic logic**, only constructive proofs are allowed.
- Therefore, they disallow proofs by contradiction. To show  $\phi$ , you can't just show  $\neg\phi$  is impossible.
- They also disallow the law of the excluded middle arguing that you have to actually show one of  $\phi$  or  $\neg\phi$  before you can conclude  $\phi \vee \neg\phi$
- Intuitionistic logic was invented by Brouwer. Theorem provers that use intuitionistic logic are Nuprl, Coq, Elf, and Lego.
- In this course, we will only be studying classical logic.

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## Summary

- Predicate Logic (motivation, syntax and terminology, semantics, axiom systems, natural deduction)
- Equality, Arithmetic
- Mechanical theorem proving