

Satisfiability Modulo Theories

Lecture 3: FOL Proof Systems

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Outline

- Semantic arguments for FOL
- PCNF and Clausal Form
- First-order Resolution

Proofs in first-order logic

Proof systems for FOL are usually **extensions** of those for PL

For example, we can extend the **semantic arguments system** by

- replacing the truth assignment v with an interpretation $\mathcal{I}$ and

- adding proof rules for quantifiers

- adding proof rules for equality (for FOL **with** equality)

Semantic arguments for FOL: propositional rules

$$(a) \frac{\mathcal{I} \models \neg \alpha}{\mathcal{I} \not\models \alpha}$$

$$(b) \frac{\mathcal{I} \not\models \neg \alpha}{\mathcal{I} \models \alpha}$$

$$(c) \frac{\mathcal{I} \models \alpha \wedge \beta}{\mathcal{I} \models \alpha, \mathcal{I} \models \beta}$$

$$(d) \frac{\mathcal{I} \not\models \alpha \wedge \beta}{\mathcal{I} \not\models \alpha \mid \mathcal{I} \not\models \beta}$$

$$(e) \frac{\mathcal{I} \models \alpha \vee \beta}{\mathcal{I} \models \alpha \mid \mathcal{I} \models \beta}$$

$$(f) \frac{\mathcal{I} \not\models \alpha \vee \beta}{\mathcal{I} \not\models \alpha, \mathcal{I} \not\models \beta}$$

$$(g) \frac{\mathcal{I} \models \alpha \implies \beta}{\mathcal{I} \not\models \alpha \mid \mathcal{I} \models \beta}$$

$$(h) \frac{\mathcal{I} \not\models \alpha \implies \beta}{\mathcal{I} \models \alpha, \mathcal{I} \not\models \beta}$$

$$(i) \frac{\mathcal{I} \models \alpha \quad \mathcal{I} \not\models \alpha}{\mathcal{I} \models \perp}$$

$$(k) \frac{\mathcal{I} \models \alpha \iff \beta}{\mathcal{I} \models \alpha, \mathcal{I} \models \beta \mid \mathcal{I} \not\models \alpha, \mathcal{I} \not\models \beta}$$

$$(j) \frac{\mathcal{I} \not\models \alpha \iff \beta}{\mathcal{I} \not\models \alpha, \mathcal{I} \models \beta \mid \mathcal{I} \models \alpha, \mathcal{I} \not\models \beta}$$

Semantic arguments for FOL: quantifier rules

Notation: if v is a variable, ε is a term/formula, and t is a term, $\varepsilon[v \leftarrow t]$ denotes
the term/formula obtained from ε by replacing every free occurrence of v
in ε by t

Semantic arguments for FOL: quantifier rules

Examples:

$$x[x \leftarrow S(\mathbf{y})] = S(\mathbf{y})$$

$$(x + y)[x \leftarrow \mathbf{y}] = \mathbf{y} + y$$

$$x[x \leftarrow S(\mathbf{x})] = S(\mathbf{x})$$

$$(x \dot{=} y)[x \leftarrow \mathbf{0}] = \mathbf{0} \dot{=} y$$

$$x[x \leftarrow \mathbf{y}] = \mathbf{y}$$

$$(x \dot{=} x)[x \leftarrow S(\mathbf{x})] = S(\mathbf{x}) \dot{=} S(\mathbf{x})$$

$$(x \dot{=} y \vee x < y)[x \leftarrow S(\mathbf{0})] = S(\mathbf{0}) \dot{=} y \vee S(\mathbf{0}) < y$$

$$(x \dot{=} y \vee \forall x. x < y)[x \leftarrow S(\mathbf{y})] = S(\mathbf{y}) \dot{=} y \vee \forall x. x < y$$

Semantic arguments for FOL: quantifier rules

Quantifier rules

$$(m) \frac{\mathcal{I} \models \forall v:\sigma. \alpha}{\mathcal{I} \models \alpha[v \leftarrow t]} \text{ for any term } t \text{ of sort } \sigma$$

$$(n) \frac{\mathcal{I} \not\models \exists v:\sigma. \alpha}{\mathcal{I} \not\models \alpha[v \leftarrow t]} \text{ for any term } t \text{ of sort } \sigma$$

$$(o) \frac{\mathcal{I} \models \exists v:\sigma. \alpha}{\mathcal{I} \models \alpha[v \leftarrow k]} \text{ for a **fresh** variable } k \text{ of sort } \sigma$$

$$(p) \frac{\mathcal{I} \not\models \forall v:\sigma. \alpha}{\mathcal{I} \not\models \alpha[v \leftarrow k]} \text{ for a **fresh** variable } k \text{ of sort } \sigma$$

Proof by deduction: Example 1

Prove that $\exists x. P(x) \implies \exists y. P(y)$ is valid

1. $\mathcal{I} \not\models \exists x. P(x) \implies \exists y. P(y)$
2. $\mathcal{I} \models \exists x. P(x)$ by (h) on 1
3. $\mathcal{I} \not\models \exists y. P(y)$ by (h) on 1
4. $\mathcal{I} \models P(x_0)$ by (o) on 2
5. $\mathcal{I} \not\models P(x_0)$ by (n) on 3
6. $\mathcal{I} \models \perp$ by (i) on 4, 5

Proof by deduction: Example 2

Prove that $\forall x. (P(x) \implies \exists y. P(y))$ is valid

1. $\mathcal{I} \not\models \forall x. (P(x) \implies \exists y. P(y))$
2. $\mathcal{I} \not\models P(x_0) \implies \exists y. P(y)$
by (p) on 1
3. $\mathcal{I} \models P(x_0)$ by (h) on 2
4. $\mathcal{I} \not\models \exists y. P(y)$ by (h) on 2
5. $\mathcal{I} \not\models P(x_0)$ by (n) on 4
6. $\mathcal{I} \models \perp$ by (i) on 3, 5

Proof by deduction: Example 3

Consider signature Σ with $\Sigma^S = \{ A \}$, $\Sigma^F = \{ Q \}$, $\text{rank}(Q) = \langle A, A, \text{Bool} \rangle$, and all vars of sort A

Prove that $\exists x. \forall y. Q(x, y) \implies \forall y. \exists x. Q(x, y)$ is valid

1. $\mathcal{I} \not\models \exists x. \forall y. Q(x, y) \implies \forall y. \exists x. Q(x, y)$
2. $\mathcal{I} \models \exists x. \forall y. Q(x, y)$ by (h) on 1
3. $\mathcal{I} \not\models \forall y. \exists x. Q(x, y)$ by (h) on 1
4. $\mathcal{I} \models \forall y. Q(x_0, y)$ by (o) on 2
5. $\mathcal{I} \not\models \exists x. Q(x, y_0)$ by (p) on 3
6. $\mathcal{I} \models Q(x_0, y_0)$ by (m) on 4
7. $\mathcal{I} \not\models Q(x_0, y_0)$ by (n) on 5
8. $\mathcal{I} \models \perp$ by (i) on 6,7

Refutation Soundness and Completeness

Theorem 1 (Soundness):

For all Σ -formulas α , if there is a closed derivation tree with root $\mathcal{I} \not\models \alpha$ then α is valid

Theorem 2 (Completeness):

For all Σ -formulas α **without equality**, if α is valid, then there is a closed derivation tree with root $\mathcal{I} \not\models \alpha$

Termination?

Does the semantic argument method describe a decision procedure then?

No, for an **invalid** formula, the semantic argument proof system might **not terminate**

Intuition: Consider the invalid formula $\forall x. q(x, x)$

1. $\mathcal{I} \not\models \forall x. q(x, x)$
2. $\mathcal{I} \not\models q(x_0, x_0)$ by (m) on 1
3. $\mathcal{I} \not\models q(x_1, x_1)$ by (m) on 1
4. $\mathcal{I} \not\models q(x_2, x_2)$ by (m) on 1
5. ...

There is **no strategy** that guarantees termination in **all cases** of invalid formulas

This shortcoming is **not specific** to this proof system

FOL is only *semi-decidable*: you **can** always **show validity** but **not invalidity**

Prenex Normal Form (PNF)

For AR purposes, it is useful in FOL too impose **syntactic restrictions** on formulas
A Σ -formula α is in *prenex normal form* (PNF) if it has the form

$$Q_1 x_1. \cdots Q_n x_n. \beta$$

where each Q_i is a quantifier and β is a **quantifier-free formula**

Formula α above is in *prenex conjunctive normal form* (PCNF) if, **in addition**,
 β is in **conjunctive normal form**^a

Example: The formula below is in PCNF

$$\forall y. \exists z. \left(\overbrace{\left(\underbrace{p(f(y))}_{A_1} \vee \underbrace{q(z)}_{A_2} \right)}^{C_1} \wedge \left(\overbrace{\neg \underbrace{q(z)}_{A_2} \vee \underbrace{q(x)}_{A_3}}^{C_2} \right) \right)$$

^aIf we treat every atomic formula of β as if it was a propositional variable

Clausal Form

A Σ -formula is in *clausal form* if

1. it is in **PCNF**
2. it is **closed** (i.e., it has no free variables)
3. all of its quantifiers are **universal**

Exercise: Which of the following formulas are clausal form?

$$\forall y. \exists z. (p(f(y)) \wedge \neg q(y, z)) \quad \text{✗}$$

$$\forall y. \forall z. (p(f(y)) \wedge \neg q(x, z)) \quad \text{✗}$$

$$\forall y. \forall z. (p(f(y)) \wedge \neg q(y, z)) \quad \text{✓}$$

Clausal Form: transformation

Theorem 3 (Skolem's Theorem):

Any *sentence* can be transformed to an **equi-satisfiable** formula in **clausal form**.

The high level transformation strategy is the following:

Sentence $\longrightarrow$ PNF $\longrightarrow$ PCNF $\longrightarrow$ Clausal Form

Running example: $(\forall x.(p(x) \implies q(x))) \implies (\forall x.p(x) \implies \forall x.q(x))$

I: Transforming into PNF

Any sentence can be transformed into a *logically equivalent* formula in PNF in 4 steps.

Example Formula

$$(\forall x. (p(x) \implies q(x))) \implies (\forall x. p(x) \implies \forall x. q(x))$$

Step 1: Rename Bound Variables

Rename bounded variables apart so that:

1. Bounded variables are disjoint from free variables
2. Different quantifiers use different bound variables

$$(\forall x. (p(x) \implies q(x))) \implies (\forall y. p(y) \implies \forall z. q(z))$$

Step 2: Eliminate Implications

Eliminate all occurrences of $\implies$ and $\iff$ using the rewrites:

- $\alpha_1 \iff \alpha_2 \longrightarrow (\alpha_1 \implies \alpha_2) \wedge (\alpha_2 \implies \alpha_1)$
- $\alpha_1 \implies \alpha_2 \longrightarrow \neg\alpha_1 \vee \alpha_2$

$$\neg(\forall x. (\neg p(x) \vee q(x))) \vee (\neg\forall y. p(y) \vee \forall z. q(z))$$

Step 3: Push Negations Inward

Use the rewrites:

- $\neg(\alpha \wedge \beta) \longrightarrow \neg\alpha \vee \neg\beta, \quad \neg(\alpha \vee \beta) \longrightarrow \neg\alpha \wedge \neg\beta$
- $\neg\forall v. \alpha \longrightarrow \exists v. \neg\alpha, \quad \neg\exists v. \alpha \longrightarrow \forall v. \neg\alpha$
- $\neg\neg\alpha \longrightarrow \alpha$

$$\exists x. (p(x) \wedge \neg q(x)) \vee (\exists y. \neg p(y) \vee \forall z. q(z))$$

Step 4: Move Quantifiers Outward

Move all quantifiers leftwards using the rewrites:

- $\alpha \bowtie Qv.\beta \longrightarrow Qv.(\alpha \bowtie \beta)$ (ok if v not free in α)
- $(Qv.\alpha) \bowtie \beta \longrightarrow Qv.(\alpha \bowtie \beta)$ (ok if v not free in β)

where $Q \in \{\forall, \exists\}$ and $\bowtie \in \{\wedge, \vee\}$

$$\exists x. \forall z. \exists y. ((p(x) \wedge \neg q(x)) \vee (\neg p(y) \vee q(z)))$$

II: Transforming into PCNF

Transforming a PNF to a **logically equivalent** PCNF is straightforward

We apply the **distributive laws** from propositional logic

$$\exists x. \forall z. \exists y. ((p(x) \wedge \neg q(x)) \vee (\neg p(y) \vee q(z)))$$

becomes

$$\exists x. \forall z. \exists y. ((p(x) \vee \neg p(y) \vee q(z)) \wedge (\neg q(x) \vee \neg p(y) \vee q(z)))$$

This formula contains **existentials** and is therefore **not yet in clausal form**

III: Transforming into Clausal Form (Skolemization)

$$\exists x. \forall z. \exists y. ((p(x) \vee \neg p(y) \vee q(z)) \wedge (\neg q(x) \vee \neg p(y) \vee q(z)))$$

For every **existential quantifier** $\exists v$ in the PCNF, let $u_1, \dots, u_n$ be the **universally quantified** variables **preceding** $\exists v$,

1. introduce a **fresh** function symbol f_v with arity n and $\langle \text{sort}(u_1), \dots, \text{sort}(u_n), \text{sort}(v) \rangle$
2. delete $\exists v$ and replace every occurrence of v by $f_v(u_1, \dots, u_n)$

For the formula above, introduce **nullary** function (i.e., a constant) symbol f_x and **unary** function symbol f_y for $\exists x$ and $\exists y$, respectively

$$\forall z. ((p(f_x) \vee \neg p(f_y(z)) \vee q(z)) \wedge (\neg q(f_x) \vee \neg p(f_y(z)) \vee q(z)))$$

The functions f_v are called *Skolem functions* and the process of replacing existential quantifiers by functions is called *Skolemization*

Note: Technically, the resulting formula is no longer a Σ -formula, but a Σ_E -formula, where $\Sigma_E^S = \Sigma^S$ and $\Sigma_E^F = \Sigma^F \cup \bigcup_v \{ f_v \}$

Clausal forms as clause sets

As with propositional logic, we can write a formula in **clausal form unambiguously** as a set of clauses

Example:

$$\forall z. ((p(f(z)) \vee \neg p(g(z)) \vee q(z)) \wedge (\neg q(f(z)) \vee \neg p(g(z)) \vee q(z)))$$

can be written as

$$\Delta := \{ \{p(f(z)), \neg p(g(z)), q(z)\}, \{\neg q(f(z)), \neg p(g(z)), q(z)\} \}$$

where all variables are implicitly universally quantified

Traditionally, theorem provers for FOL use the latter version of the clausal form

A resolution-based proof system for PL

Recall: The satisfiability proof system consisting of the rules below is **sound**, **complete** and **terminating** for clause sets in PL

$$\text{Resolve} \frac{C_1, C_2 \in \Delta \quad p \in C_1 \quad \neg p \in C_2 \quad C = (C_1 \setminus \{p\}) \cup (C_2 \setminus \{\neg p\}) \quad C \notin \Delta \cup \Phi}{\Delta := \Delta \cup \{C\}}$$

$$\text{Clash} \frac{C \in \Delta \quad p, \neg p \in C}{\Delta := \Delta \setminus \{C\} \quad \Phi := \Phi \cup \{C\}}$$

$$\text{Unsat} \frac{\{\} \in \Delta}{\text{UNSAT}}$$

$$\text{Sat} \frac{\text{No other rules apply}}{\text{SAT}}$$

Can we **extend** this proof system to **FOL**?

A resolution-based proof system for FOL?

$$\text{Resolve} \frac{C_1, C_2 \in \Delta \quad p \in C_1 \quad \neg p \in C_2 \quad C = (C_1 \setminus \{p\}) \cup (C_2 \setminus \{\neg p\}) \quad C \notin \Delta \cup \Phi}{\Delta := \Delta \cup \{C\}}$$

$$\text{Clash} \frac{C \in \Delta \quad p, \neg p \in C}{\Delta := \Delta \setminus \{C\} \quad \Phi := \Phi \cup \{C\}}$$

$$\text{Unsat} \frac{\{\} \in \Delta}{\text{UNSAT}}$$

$$\text{Sat} \frac{\text{No other rules apply}}{\text{SAT}}$$

Consider the FOL clause set below where x, z are variables and a is a constant symbol

$$\Delta := \{ \{ \neg P(z), Q(z) \}, \{ P(a) \}, \{ \neg Q(x) \} \}$$

Note that Δ is equivalent to $\forall z. (P(z) \implies Q(z)) \wedge P(a) \wedge \forall x. \neg Q(x)$, which is unsatisfiable

However, no rules above apply to Δ . We need another rule to deal with variables

A resolution-based proof system for FOL

$$\begin{array}{ll} \textbf{Resolve} & \frac{C_1, C_2 \in \Delta \quad p \in C_1 \quad \neg p \in C_2 \quad C = (C_1 \setminus \{p\}) \cup (C_2 \setminus \{\neg p\}) \quad C \notin \Delta \cup \Phi}{\Delta := \Delta \cup \{C\}} \\[10pt] \textbf{Clash} & \frac{C \in \Delta \quad p, \neg p \in C}{\Delta := \Delta \setminus \{C\} \quad \Phi := \Phi \cup \{C\}} \qquad \textbf{Inst} \quad \frac{C \in \Delta \quad v \in \mathcal{FV}(C) \quad \text{sort}(t) = \text{sort}(v)}{\Delta := \Delta \cup \{C[v \leftarrow t]\}} \\[10pt] \textbf{Unsat} & \frac{\{\} \in \Delta}{\text{UNSAT}} \qquad \textbf{Sat} \quad \frac{\text{No other rules apply}}{\text{SAT}} \end{array}$$

A resolution-based proof system for FOL

Example: $C_1 : \{\neg P(z), Q(z)\}$ $C_2 : \{P(a)\}$ $C_3 : \{\neg Q(x)\}$

Φ	Δ	
$\{ \}$	$\{ C_1, C_2, C_3 \}$	
$\{ \}$	$\{ C_1, C_2, C_3, C_4 : \{\neg P(a), Q(a)\} \}$	by Inst on C_1 with $z \leftarrow a$
$\{ \}$	$\{ C_1, C_2, C_3, C_4, C_5 : \{Q(a)\} \}$	by Resolve on C_2, C_4
$\{ \}$	$\{ C_1, C_2, C_3, C_4, C_5, C_6 : \{\neg Q(a)\} \}$	by Inst on C_3 with $x \leftarrow a$
$\{ \}$	$\{ C_1, C_2, C_3, C_4, C_5, C_6, C_7 : \{ \} \}$	by Resolve on C_5, C_6
	UNSAT	by Unsat on C_7

A resolution-based proof system for FOL

This system is **refutation-sound and complete** for FOL clause sets **without equality**:

If a clause set Δ_0 is unsatisfiable, there is a derivation of **UNSAT** from Δ_0

The system is also **solution-sound**:

There is a derivation of **SAT** from Δ_0 only if Δ_0 is satisfiable

The system is **not**, and cannot be, **terminating**:

if Δ_0 is satisfiable, it is possible for **Sat** to never apply

Note: This proof system is challenging to implement efficiently because **Inst** is not constrained enough

A resolution-based proof system for FOL

Automated theorem provers for FOL use instead a more sophisticated **Resolve** rule

where two literals in different clauses are instantiated directly, and only as needed, to make them complementary (see ML Chap. 10)

Example: $\{P(x, y), Q(a, f(y))\}, \{\neg Q(z, f(b)), R(g(z))\}$ resolve to $\{P(x, b), R(g(a))\}$

Problem: How do we prove the unsatisfiability of these clause sets?

$\{\{x \doteq y\}, \{\neg(y \doteq x)\}\}$ $\{\{x \doteq y\}, \{y \doteq z\}, \{\neg(x \doteq z)\}\}$ $\{\{x \doteq y\}, \{\neg(f(x) \doteq f(y))\}\}$

We need specialized rules for equality reasoning!

A resolution-based proof system for FOL

Another Problem: How to we prove the unsatisfiability of these clause sets?

$$\{ \{x < x\} \}$$

$$\{ \{x < y\}, \{y < z\}, \{\neg(x < z)\} \}$$

$$\{ \{ \neg(x + y \doteq y + x) \} \}$$

$$\{ \{ \neg(x + 0 \doteq x) \} \}$$

The thing is: each of these clause set is actually satisfiable in FOL!

However, they are **unsatisfiable in the theory of arithmetic**

We need proof systems for **satisfiability modulo theories**

First-order resolution

$$\frac{I \in C_1 \quad \neg I \in C_2 \quad C_1, C_2 \in \Delta}{\Delta \cup \{(C_1 - \{I\}) \cup (C_2 - \{\neg I\})\}} \text{ (prop. resolution)}$$

where I is a literal (i.e., an atomic formula or its negation).

Now consider $\Delta := \{ \{ \neg P z, Q z \}, \{ P a \}, \{ \neg Q a \} \}$, where z is a *universally quantified* variable, and a is a constant.

Is $P z$ equal to $P a$? No, but they are equal if $z = a$

We can *instantiate* the literals to make them equal and then perform *resolution*

First-order resolution: Unification

A substitution θ is a map from *variables* to *well-sorted terms* (of matching sorts)

Note: we assume the *terms* do not contain any variables

We write $t\theta$ for the result we get by replacing variables in t according to θ

Example: Let $\theta := \{z \mapsto a\}$, then $(p(g(z, z)))\theta = p(g(a, a))$

We use $\{l_1, \dots, l_n\}\theta$ to represent $\{l_1\theta, \dots, l_n\theta\}$

A substitution θ is a *unifier* of two terms s and t if $t\theta = s\theta$

Can there be more than one *unifier* of two terms? *Yes. Consider $p(x)$ and $p(f(y))$ we can have $x = f(a)$, $y = a$, $x = f(f(a))$, $y = f(a)$ etc.*

Can there be no *unifier* of two terms? *Yes. Consider $p(x)$ and $q(y)$*

First-order resolution

Now we can write first-order resolution as

$$\frac{l_1 \in C_1 \quad \neg l_2 \in C_2 \quad C_1, C_2 \in \Delta \quad \theta \text{ is a unifier of } l_1, l_2}{\Delta \cup \{(C_1 - \{l_1\}) \cup (C_2 - \{\neg l_2\})\}\theta} \text{ (First-order resolution)}$$

Example: $\{\neg P z, Q z\}, \{P a\}, \{\neg Q a\}$

First-order resolution

Now we can write first-order resolution as

$$\frac{l_1 \in C_1 \quad \neg l_2 \in C_2 \quad C_1, C_2 \in \Delta \quad \theta \text{ is a unifier of } l_1, l_2}{\Delta \cup \{(C_1 - \{l_1\}) \cup (C_2 - \{\neg l_2\})\}\theta} \text{ (First-order resolution)}$$

Example

$$\frac{\{\neg P z, Q z\}, \{P a\}, \{\neg Q a\}}{\{\neg P z, Q z\}, \{P a\}, \{\neg Q a\}, \{Q a\}} (\theta := \{z \mapsto a\} \text{ unifies } P z \text{ and } P a)$$

First-order resolution

Now we can write first-order resolution as

$$\frac{l_1 \in C_1 \quad \neg l_2 \in C_2 \quad C_1, C_2 \in \Delta \quad \theta \text{ is a unifier of } l_1, l_2}{\Delta \cup \{(C_1 - \{l_1\}) \cup (C_2 - \{\neg l_2\})\}\theta} \text{ (First-order resolution)}$$

Example

$$\frac{\frac{\{\neg P z, Q z\}, \{P a\}, \{\neg Q a\}}{\{\neg P z, Q z\}, \{P a\}, \{\neg Q a\}, \{Q a\}} \text{ } (\theta := \{z \mapsto a\} \text{ unifies } P z \text{ and } \{P a\})}{\{\neg P z, Q z\}, \{P a\}, \{\neg Q a\}, \{Q a\}, \{\}} \text{ (Resolve } \{\neg Q a\}, \{Q a\})$$

Therefore, $\alpha := \forall z. ((\neg P z \vee Q z) \wedge P a \wedge \neg Q a)$ is *unsatisfiable*.

What do we know about $\neg\alpha$?

$\neg\alpha$ is *valid*.

First-order resolution

This suggests a strategy to *prove* the validity of a Σ -formula α :

1. Negate the formula;
2. Transform into Clausal Form;
3. Apply *first-order resolution* until an empty clause is derived (*might not terminate!*)