

CS156: The Calculus of Computation

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Chapter 2: First-Order Logic (FOL)

First-Order Logic (FOL)

Also called Predicate Logic or Predicate Calculus

FOL Syntax

<u>variables</u>	x, y, z, \dots
<u>constants</u>	a, b, c, \dots
<u>functions</u>	f, g, h, \dots
<u>terms</u>	variables, constants or n-ary function applied to n terms as arguments $a, x, f(a), g(x, b), f(g(x, f(b))), f(g(x, f(b, y)))$??
<u>predicates</u>	p, q, r, \dots
<u>atom</u>	\top, \perp , or an n-ary predicate applied to n terms
<u>literal</u>	atom or its negation $p(f(x), g(x, f(x))), \neg p(f(x), g(x, f(x)))$

Note: 0-ary functions: constants

0-ary predicates (propositional variables): P, Q, R, \dots

quantifiers

existential quantifier $\exists x. F[x]$

"there exists an x such that $F[x]$ "

Note: the dot notation ($\exists x., \forall x.$) means the scope of the quantifier should extend as far as possible.

universal quantifier $\forall x. F[x]$

"for all $x, F[x]$ "

FOL formula

literal,

application of logical connectives ($\neg, \vee, \wedge, \rightarrow, \leftrightarrow$) to formulae,
or application of a quantifier to a formula

Example: FOL formula

$$\forall x. p(f(x), x) \rightarrow (\exists y. \underbrace{p(f(g(x, y)), g(x, y))}_{G}) \wedge q(x, f(x))$$

F

The scope of $\forall x$ is F .

The scope of $\exists y$ is G .

The formula reads:

"for all x ,

if $p(f(x), x)$

then there exists a y such that $p(f(g(x, y)), g(x, y))$

and $q(x, f(x))$ "

FOL Semantics

An interpretation $I : (D_I, \alpha_I)$ consists of:

► Domain D_I

non-empty set of values or objects

cardinality $|D_I|$ deck of cards (finite)
integers (countably infinite)
reals (uncountably infinite)

► Assignment α_I

- each variable x assigned value $x_I \in D_I$
- each n -ary function f assigned

$$f_I : D_I^n \rightarrow D_I$$

In particular, each constant a (0-ary function) assigned value $a_I \in D_I$

- each n -ary predicate p assigned

$$p_I : D_I^n \rightarrow \{\text{true}, \text{false}\}$$

In particular, each propositional variable P (0-ary predicate) assigned truth value (true, false)



Example: $F : p(f(x, y), z) \rightarrow p(y, g(z, x))$

Interpretation $I : (D_I, \alpha_I)$ with

$$D_I = \mathbb{Z} = \{\dots, -2, -1, 0, 1, 2, \dots\}$$

$$\alpha_I : \left\{ \begin{array}{l} f \mapsto +, g \mapsto -, p \mapsto >, \\ x \mapsto 13, y \mapsto 42, z \mapsto 1 \end{array} \right\}$$

Therefore, we can write

$$F_I : 13 + 42 > 1 \rightarrow 42 > 1 - 13.$$

F is true under I .



Semantics: Quantifiers

An x -variant of interpretation $I : (D_I, \alpha_I)$ is an interpretation $J : (D_J, \alpha_J)$ such that

► $D_I = D_J$

► $\alpha_I[y] = \alpha_J[y]$ for all symbols y , except possibly x

That is, I and J agree on everything except possibly the value of x .

Denote by $J : I \triangleleft \{x \mapsto v\}$ the x -variant of I in which $\alpha_J[x] = v$ for some $v \in D_I$. Then

► $I \models \forall x. F$ iff for all $v \in D_I$, $I \triangleleft \{x \mapsto v\} \models F$

► $I \models \exists x. F$ iff there exists $v \in D_I$, s.t. $I \triangleleft \{x \mapsto v\} \models F$



Example: Consider

$$F : \exists x. f(x) = g(x)$$

and the interpretation

$$I : (D : \{\circ, \bullet\}, \alpha_I)$$

in which

$$\alpha_I : \{f(\circ) \mapsto \circ, f(\bullet) \mapsto \bullet, g(\circ) \mapsto \bullet, g(\bullet) \mapsto \circ\}.$$

The truth value of F under I is false; i.e., $I[F] = \text{false}$.



Satisfiability and Validity I

F is satisfiable iff there exists I s.t. $I \models F$

F is valid iff for all I , $I \models F$

F is valid iff $\neg F$ is unsatisfiable

Semantic rules: given an interpretation I with domain D_I ,

$$\frac{I \models \forall x. F[x]}{I \triangleleft \{x \mapsto v\} \models F[x]} \quad \text{for any } v \in D_I$$

$$\frac{I \not\models \forall x. F[x]}{I \triangleleft \{x \mapsto v\} \not\models F[x]} \quad \text{for a fresh } v \in D_I$$

$$\frac{I \models \exists x. F[x]}{I \triangleleft \{x \mapsto v\} \models F[x]} \quad \text{for a fresh } v \in D_I$$

$$\frac{I \not\models \exists x. F[x]}{I \triangleleft \{x \mapsto v\} \not\models F[x]} \quad \text{for any } v \in D_I$$



Contradiction rule

A contradiction exists if two variants of the original interpretation I disagree on the truth value of an n -ary predicate p for a given tuple of domain values:

$$J : I \triangleleft \dots \models p(s_1, \dots, s_n)$$

$$K : I \triangleleft \dots \not\models p(t_1, \dots, t_n) \quad \text{for } i \in \{1, \dots, n\}, \alpha_J[s_i] = \alpha_K[t_i]$$

$$\frac{}{I \models \perp}$$

Intuition: The variants J and K are constructed only through the rules for quantification. Hence, the truth value of p on the given tuple of domain values is already established by I . Therefore, the disagreement between J and K on the truth value of p indicates a problem with I .



Example: Is

$$F : (\forall x. p(x)) \leftrightarrow (\neg \exists x. \neg p(x))$$

valid?

Suppose not. Then there is an I such that $I \not\models F$ (assumption).

First case:

$$1a. \quad I \not\models (\forall x. p(x)) \\ \rightarrow (\neg \exists x. \neg p(x)) \quad \text{assumption and } \leftrightarrow$$

$$2a. \quad I \models \forall x. p(x) \quad 1a \text{ and } \rightarrow$$

$$3a. \quad I \not\models \neg \exists x. \neg p(x) \quad 1a \text{ and } \rightarrow$$

$$4a. \quad I \models \exists x. \neg p(x) \quad 3a \text{ and } \neg$$

$$5a. \quad I \triangleleft \{x \mapsto v\} \models \neg p(x) \quad 4a \text{ and } \exists, v \in D_I \text{ fresh}$$

$$6a. \quad I \triangleleft \{x \mapsto v\} \not\models p(x) \quad 5a \text{ and } \neg$$

$$7a. \quad I \triangleleft \{x \mapsto v\} \models p(x) \quad 2a \text{ and } \forall$$

6a and 7a are contradictory.



Example (continued):

Second case:

$$1b. \quad I \not\models (\neg \exists x. \neg p(x)) \\ \rightarrow (\forall x. p(x)) \quad \text{assumption and } \leftrightarrow$$

$$2b. \quad I \not\models \forall x. p(x) \quad 1b \text{ and } \rightarrow$$

$$3b. \quad I \models \neg \exists x. \neg p(x) \quad 1b \text{ and } \rightarrow$$

$$4b. \quad I \triangleleft \{x \mapsto v\} \not\models p(x) \quad 2b \text{ and } \forall, v \in D_I \text{ fresh}$$

$$5b. \quad I \not\models \exists x. \neg p(x) \quad 3b \text{ and } \neg$$

$$6b. \quad I \triangleleft \{x \mapsto v\} \not\models \neg p(x) \quad 5b \text{ and } \exists$$

$$7b. \quad I \triangleleft \{x \mapsto v\} \models p(x) \quad 6b \text{ and } \neg$$

4b and 7b are contradictory.

Both cases end in contradictions for arbitrary I . Thus F is valid.



Example: Prove

$$F : p(a) \rightarrow \exists x. p(x)$$

is valid.

Assume otherwise; i.e., F is false under interpretation $I : (D_I, \alpha_I)$:

1. $I \not\models F$ assumption
2. $I \models p(a)$ 1 and \rightarrow
3. $I \not\models \exists x. p(x)$ 1 and \rightarrow
4. $I \models \{x \mapsto \alpha_I[a]\} \models p(x)$ 3 and \exists

2 and 4 are contradictory. Thus, F is valid.

Translations of English Sentences (famous theorems) into FOL

- ▶ The length of one side of a triangle is less than the sum of the lengths of the other two sides

$$\forall x, y, z. \text{triangle}(x, y, z) \rightarrow \text{length}(x) < \text{length}(y) + \text{length}(z)$$

- ▶ Fermat's Last Theorem.

$$\forall n. \text{integer}(n) \wedge n > 2$$

$$\rightarrow \forall x, y, z.$$

$$\text{integer}(x) \wedge \text{integer}(y) \wedge \text{integer}(z)$$

$$\wedge x > 0 \wedge y > 0 \wedge z > 0$$

$$\rightarrow \exp(x, n) + \exp(y, n) \neq \exp(z, n)$$

Example: Show that

$$F : (\forall x. p(x, x)) \rightarrow (\exists x. \forall y. p(x, y))$$

is invalid.

Find interpretation I such that F is false under I .

Choose $D_I = \{0, 1\}$

$p_I = \{(0, 0), (1, 1)\}$ i.e., $p_I(0, 0)$ and $p_I(1, 1)$ are true
 $p_I(0, 1)$ and $p_I(1, 0)$ are false

$I[\forall x. p(x, x)] = \text{true}$ and $I[\exists x. \forall y. p(x, y)] = \text{false}$.

We found a falsifying interpretation for F , therefore F is invalid.

Is $F : (\forall x. p(x, x)) \rightarrow (\forall x. \exists y. p(x, y))$ valid?

Substitution

Suppose we want to replace one term with another in a formula; e.g., we want to rewrite

$$F : \forall y. (p(x, y) \rightarrow p(y, x))$$

as follows:

$$G : \forall y. (p(a, y) \rightarrow p(y, a)).$$

We call the mapping from x to a a substitution denoted as

$$\sigma : \{x \mapsto a\}.$$

We write $F\sigma$ for the formula G .

Another convenient notation is $F[x]$ for a formula containing the variable x and $F[a]$ for $F\sigma$.

Substitution

Definition (Substitution)

A substitution is a mapping from terms to terms; e.g.,

$$\sigma : \{t_1 \mapsto s_1, \dots, t_n \mapsto s_n\}.$$

By $F\sigma$ we denote the application of σ to formula F ; i.e., the formula F where all occurrences of t_1, \dots, t_n are replaced by s_1, \dots, s_n .

For a formula named $F[x]$ we write $F[t]$ as shorthand for $F[x]\{x \mapsto t\}$.

Renaming

Replace x in $\forall x$ by x' and all free occurrences¹ of x in $G[x]$, the scope of $\forall x$, by x' :

$$\forall x. G[x] \quad \Leftrightarrow \quad \forall x'. G[x'].$$

Same for $\exists x$:

$$\exists x. G[x] \quad \Leftrightarrow \quad \exists x'. G[x'],$$

where x' is a fresh variable.

Example (renaming):

$$\begin{array}{c} (\forall x. p(x) \rightarrow \exists x. q(x)) \wedge r(x) \\ \uparrow \forall x \qquad \uparrow \exists x \qquad \uparrow \text{free} \end{array}$$

replace by the equivalent formula

$$(\forall y. p(y) \rightarrow \exists z. q(z)) \wedge r(x)$$

¹Note: these occurrences are free in $G[x]$, not in $\forall x. G[x]$.

Safe Substitution I

Care has to be taken in the presence of quantifiers:

$$\begin{array}{c} F[x] : \exists y. y = \text{Succ}(x) \\ \uparrow \text{free} \end{array}$$

What is $F[y]$?

We need to rename bound variables occurring in the substitution:

$$F'[x] : \exists y'. y' = \text{Succ}(x)$$

Bound variable renaming does not change the models of a formula:

$$(\exists y. y = \text{Succ}(x)) \Leftrightarrow (\exists y'. y' = \text{Succ}(x))$$

Then under safe substitution

$$F'[y] : \exists y'. y' = \text{Succ}(y)$$

Safe Substitution II

Example: Consider the following formula and substitution:

$$\begin{array}{c} F : (\forall x. p(x,y)) \rightarrow q(f(y), x) \\ \uparrow \text{free} \qquad \uparrow \text{free} \uparrow \end{array}$$

Note that the only bound variable in F is the x in $p(x,y)$. The variables x and y are free everywhere else.

$$\sigma : \{y \mapsto f(x), f(y) \mapsto h(x,y), x \mapsto g(x)\}.$$

What is $F\sigma$? Use safe substitution!

1. Rename the bound x with a fresh name x' :

$$F' : (\forall x'. p(x',y)) \rightarrow q(f(y), x)$$

2. $F\sigma : (\forall x'. p(x', f(x))) \rightarrow q(h(x,y), g(x))$

Safe Substitution III

Proposition (Substitution of Equivalent Formulae)

$$\sigma : \{F_1 \mapsto G_1, \dots, F_n \mapsto G_n\}$$

s.t. for each i , $F_i \Leftrightarrow G_i$

If $F\sigma$ is a safe substitution, then $F \Leftrightarrow F\sigma$.

Semantic Tableaux (with Substitution)

We assume that there are infinitely many constant symbols.

The following rules are used for quantifiers:

$$\frac{I \models \forall x. F[x]}{I \models F[t]} \quad \text{for any term } t$$

$$\frac{I \not\models \forall x. F[x]}{I \not\models F[a]} \quad \text{for a fresh constant } a$$

$$\frac{I \models \exists x. F[x]}{I \models F[a]} \quad \text{for a fresh constant } a$$

$$\frac{I \not\models \exists x. F[x]}{I \not\models F[t]} \quad \text{for any term } t$$

The contradiction rule is similar to that of propositional logic:

$$\frac{I \models p(t_1, \dots, t_n) \\ I \not\models p(t_1, \dots, t_n)}{I \models \perp}$$

Example: Show that

$F : (\exists x. \forall y. p(x, y)) \rightarrow (\forall x. \exists y. p(y, x))$ is valid.

Rename to $F' : (\exists x. \forall y. p(x, y)) \rightarrow (\forall x'. \exists y'. p(y', x'))$.

Assume otherwise.

1. $I \not\models F'$	assumption
2. $I \models \exists x. \forall y. p(x, y)$	1 and \rightarrow
3. $I \not\models \forall x'. \exists y'. p(y', x')$	1 and \rightarrow
4. $I \models \forall y. p(a, y)$	2, \exists (a fresh)
5. $I \not\models \exists y'. p(y', b)$	3, \forall (b fresh)
6. $I \models p(a, b)$	4, \forall ($t := b$)
7. $I \not\models p(a, b)$	5, \exists ($t := a$)
8. $I \models \perp$	6, 7 contradictory

Thus, the formula is valid.

Example: Is $F : \exists x, y. (p(x, y) \rightarrow (p(y, x) \rightarrow \forall z. p(z, z)))$ valid?

Assume I falsifies F and apply semantic argument:

- $I \not\models \exists x, y. (p(x, y) \rightarrow (p(y, x) \rightarrow \forall z. p(z, z)))$
assumption
- $I \not\models (p(t_1, t_2) \rightarrow (p(t_2, t_1) \rightarrow \forall z. p(z, z)))$
1, \exists , temporary $x \mapsto t_1, y \mapsto t_2$

3. $I \models p(t_1, t_2)$	2 and \rightarrow
4. $I \not\models p(t_2, t_1) \rightarrow \forall z. p(z, z)$	2 and \rightarrow
5. $I \models p(t_2, t_1)$	4, \rightarrow
6. $I \not\models \forall z. p(z, z)$	4, \rightarrow
7. $I \not\models p(a, a)$	6, \forall , fresh $z \mapsto a$
8. $I \models p(a, a)$	5, $t_1 \mapsto a, t_2 \mapsto a$
9. $I \models \perp$	7, 8, contradiction

Contradiction. So, F is valid

Example: Is $F : (\forall x, y. p(x, y) \rightarrow p(y, x)) \rightarrow \forall z. p(z, z)$ valid?

Assume I falsifies F' and apply semantic argument:

- $I \not\models (\forall x, y. p(x, y) \rightarrow p(y, x)) \rightarrow \forall z. p(z, z)$
assumption
- $I \models \forall x, y. p(x, y) \rightarrow p(y, x)$
1, \rightarrow
- $I \not\models \forall z. p(z, z)$
1, \rightarrow
- $I \not\models p(a, a)$
3, \forall , fresh $z \mapsto a$
- $I \models p(a, a) \rightarrow p(a, a)$
2, \forall , any $x \mapsto a, y \mapsto a$

We branch on 5 ...

- 6a. $I \models p(a, a)$ 5, \rightarrow
 7a. $I \models \perp$ 4, 6a

- 6b. $I \not\models p(a, a)$ 5, \rightarrow
 7b. No contradiction for this branch

Falsifying interpretation: Domain: $D = \{0, 1\}$ and
 $P_I(0, 0) = P_I(0, 1) = P_I(1, 0) = P_I(1, 1) = \text{false}$.
 Since $P_I(0, 0)$ and $P_I(1, 1)$ are false, $\forall z. p(z, z)$ is false,
 $\forall x, y. p(x, y) \rightarrow p(y, x)$ is true.
 F is invalid

Formula Schemata

Formula

$$(\forall x. p(x)) \leftrightarrow (\neg \exists x. \neg p(x))$$

Formula Schema

$$H_1 : (\forall x. F) \leftrightarrow (\neg \exists x. \neg F)$$

↑ place holder

Formula Schema (with side condition)

$$H_2 : (\forall x. F) \leftrightarrow F \quad \text{provided } x \notin \text{free}(F)$$

Valid Formula Schema

H is valid iff it is valid for any FOL formula F_i obeying the side conditions.

Example: H_1 and H_2 are valid.

Substitution σ of H

$$\sigma : \{F_1 \mapsto G_1, \dots, F_n \mapsto G_n\}$$

mapping place holders F_i of H to FOL formulae G_i ,
obeying the side conditions of H

Proposition (Formula Schema)

If H is a valid formula schema, and
 σ is a substitution obeying H 's side conditions,
then $H\sigma$ is also valid.

Example:

$H : (\forall x. F) \leftrightarrow F$ provided $x \notin \text{free}(F)$ is valid.

$\sigma : \{F \mapsto p(y)\}$ obeys the side condition.

Therefore $H\sigma : \forall x. p(y) \leftrightarrow p(y)$ is valid.

Proving Validity of Formula Schemata I

Example: Prove validity of

$$H : (\forall x. F) \leftrightarrow F \text{ provided } x \notin \text{free}(F).$$

Proof by contradiction. Consider the two directions of \leftrightarrow .

► First case

- | | | |
|----|--------------------------|--|
| 1. | $I \models \forall x. F$ | assumption |
| 2. | $I \not\models F$ | assumption |
| 3. | $I \models F$ | 1, \forall , since $x \notin \text{free}(F)$ |
| 4. | $I \models \perp$ | 2, 3 |

Proving Validity of Formula Schemata II

► Second Case

- | | | |
|----|-------------------------------|--|
| 1. | $I \not\models \forall x. F$ | assumption |
| 2. | $I \models F$ | assumption |
| 3. | $I \models \exists x. \neg F$ | 1 and \neg |
| 4. | $I \models \neg F$ | 3, \exists , since $x \notin \text{free}(F)$ |
| 5. | $I \models \perp$ | 2, 4 |

Hence, H is a valid formula schema.

Normal Forms

1. Negation Normal Forms (NNF)

Apply the additional equivalences (left-to-right)

$$\neg \forall x. F[x] \Leftrightarrow \exists x. \neg F[x]$$

$$\neg \exists x. F[x] \Leftrightarrow \forall x. \neg F[x]$$

when converting PL formulae into NNF.

Example: $G : \forall x. (\exists y. p(x, y) \wedge p(x, z)) \rightarrow \exists w. p(x, w)$.

- | | |
|----|---|
| 1. | $\forall x. (\exists y. p(x, y) \wedge p(x, z)) \rightarrow \exists w. p(x, w)$ |
| 2. | $\forall x. \neg(\exists y. p(x, y) \wedge p(x, z)) \vee \exists w. p(x, w)$ |
| | $F_1 \rightarrow F_2 \Leftrightarrow \neg F_1 \vee F_2$ |
| 3. | $\forall x. (\forall y. \neg(p(x, y) \wedge p(x, z))) \vee \exists w. p(x, w)$ |
| | $\neg \exists x. F[x] \Leftrightarrow \forall x. \neg F[x]$ |
| 4. | $G' : \forall x. (\forall y. \neg p(x, y) \vee \neg p(x, z)) \vee \exists w. p(x, w)$ |

G' in NNF and $G' \Leftrightarrow G$.

2. Prenex Normal Form (PNF)

All quantifiers appear at the beginning of the formula

$$Q_1 x_1 \cdots Q_n x_n. F[x_1, \dots, x_n]$$

where $Q_i \in \{\forall, \exists\}$ and F is quantifier-free.

Every FOL formula F can be transformed to formula F' in PNF

s.t. $F' \Leftrightarrow F$:

- ▶ Write F in NNF,
- ▶ rename quantified variables to fresh names, and
- ▶ move all quantifiers to the front. Be careful!

Example: Find equivalent PNF of

$$F : \forall x. \neg(\exists y. p(x, y) \wedge p(x, z)) \vee \exists y. p(x, y)$$

↑ to the end of the formula

1. Write F in NNF

$$F_1 : \forall x. (\forall y. \neg p(x, y) \vee \neg p(x, z)) \vee \exists y. p(x, y)$$

2. Rename quantified variables to fresh names

$$F_2 : \forall x. (\forall y. \neg p(x, y) \vee \neg p(x, z)) \vee \exists w. p(x, w)$$

↑ Both are in the scope of $\forall x$!

3. Remove all quantifiers to produce quantifier-free formula

$$F_3 : \neg p(x, y) \vee \neg p(x, z) \vee p(x, w)$$

4. Add the quantifiers before F_3

$$F_4 : \forall x. \forall y. \exists w. \neg p(x, y) \vee \neg p(x, z) \vee p(x, w)$$

Alternately,

$$F'_4 : \forall x. \exists w. \forall y. \neg p(x, y) \vee \neg p(x, z) \vee p(x, w)$$

Note: In F_2 , $\forall y$ is in the scope of $\forall x$, therefore the order of quantifiers must be $\cdots \forall x \cdots \forall y \cdots$.

Also, $\exists w$ is in the scope of $\forall x$, therefore the order of the quantifiers must be $\cdots \forall x \cdots \exists w \cdots$

$$F_4 \Leftrightarrow F \text{ and } F'_4 \Leftrightarrow F$$

Note: However, possibly, $G \Leftrightarrow F$ and $G' \Leftrightarrow F$, for

$$G : \forall y. \exists w. \forall x. \neg p(x, y) \vee \neg p(x, z) \vee p(x, w)$$

$$G' : \exists w. \forall x. \forall y. \cdots$$

Decidability of FOL

- ▶ FOL is undecidable (Turing & Church)

There does not exist an algorithm for deciding if a FOL formula F is {valid, satisfiable}; i.e., that always halts and says "yes" if F is {valid, satisfiable} or "no" if F is {invalid, unsatisfiable}.

- ▶ FOL is semi-decidable

There is a procedure that always halts and says "yes" if F is {valid, unsatisfiable}, but may not halt if F is {invalid, satisfiable}.

On the other hand,

- ▶ PL is decidable

There does exist an algorithm for deciding if a PL formula F is {valid, satisfiable}; e.g., the truth-table procedure.

Semantic Argument Method

To show FOL formula F is valid, assume $I \not\models F$ and derive a contradiction $I \models \perp$ in all branches

- ▶ Method is sound

If every branch of a semantic argument proof reaches $I \models \perp$, then F is valid

- ▶ Method is complete

Each valid formula F has a semantic argument proof in which every branch reaches $I \models \perp$