

## 2. First-Order Logic

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# Outline

- 1 Syntax
- 2 Semantics
- 3 Satisfiability and Validity
- 4 Substitution
- 5 Normal Forms
- 6 Decidability and Complexity
- 7 Sound and Complete

# 1 Syntax

## Function

An  $n$ -ary function  $f$  takes  $n$  terms as arguments. We represent generic FOL functions by symbols  $f$ ,  $g$ ,  $h$ ,  $f_1$ ,  $f_2$ , etc. A constant can also be viewed as a 0-ary function.

## Example 1

The following are all terms:

- $a$ , a constant (or 0-ary function);
- $x$ , a variable;
- $f(a)$ , a unary function  $f$  applied to a constant;
- $g(x, b)$ , a binary function  $g$  applied to a variable  $x$  and a constant  $b$ ;
- $f(g(x, f(b)))$ .

# 1 Syntax

## Predicate

The propositional variables of PL are generalized to **predicates**. An  $n$ -ary predicate takes  $n$  terms as arguments. An FOL propositional variable is a 0-ary predicate.

## Atom & Literal

An **atom** is  $\top$ ,  $\perp$ , or an  $n$ -ary predicate applied to  $n$  terms. A **literal** is an atom or its negation.

## Example 2

The following are all literals:

- 1  $P$ , a propositional variable (or 0-ary predicate);
- 2  $p(f(x), g(x, f(x)))$ , a binary predicate applied to two terms;
- 3  $\neg p(f(x), g(x, f(x)))$ .

# 1 Syntax

## FOL formula

An FOL formula may be :

- 1 a literal;
- 2 application of a logical connective ( $\neg, \wedge, \vee, \rightarrow, \leftrightarrow$ ) to a formula or formulae;
- 3 application of a quantifier to a formula
  - existential quantifier  $\exists$ . The formula  $\exists x. F[x]$ , read “there exists an  $x$  such that  $F[x]$ ”;
  - universal quantifier  $\forall$ . The formula  $\forall x. F[x]$ , read “for all  $x$ ,  $F[x]$ ”.

## Quantified variable & Scope

In  $\forall x. F[x]$  (or  $\exists x. F[x]$ ),  $x$  is the **quantifier variable**, and  $F[x]$  is the **scope** of the quantifier  $\forall x$  (or  $\exists x$ ). (the scope of the quantified variable  $x$  itself)

## Example 3

In

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

the scope of  $x$  is  $F$ , and the scope of  $y$  is  $G$ . This formula is read: "for all  $x$ , if  $p(f(x), x)$  then there exists a  $y$  such that  $p(f(g(x, y)), g(x, y))$  and  $q(x, f(x))$ ".

# 1 Syntax

## Bound variable

A variable is **bound** in formula  $F[x]$  if there is an occurrence of  $x$  in the scope of a binding quantifier  $\forall x$  or  $\exists x$ . Denote by  $\text{bound}(F)$  the set of bound variables of a formula  $F$ .

## Free variable

A variable is **free** in formula  $F[x]$  if there is an occurrence of  $x$  that is not bound by any quantifier. Denote by  $\text{free}(F)$  the set of free variables of a formula  $F$ .

*Is it possible that  $\text{free}(F) \cap \text{bound}(F) \neq \emptyset$ ?*

# 1 Syntax

## Example 4

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

$x$  only occurs bound, while  $y$  appears both free (in the antecedent) and bound (in the consequent). Thus,  $\text{free}(F) = \{y\}$  and  $\text{bound}(F) = \{x, y\}$ .

## Closed formula

A formula  $F$  is **closed** if it does not contain any free variables.

## Closure

If  $\text{free}(F) = \{x_1, \dots, x_n\}$ , then its **universal closure** is

$$\forall x_1. \dots \forall x_n. F \text{ or } \forall * . F,$$

and **existential closure** is

$$\exists x_1. \dots \forall x_n. F \text{ or } \exists * . F.$$



## Subformulae

The subformulae of an FOL formula are defined according to an extension of the PL definition of subformula:

- the only subformula of  $p(t_1, \dots, t_n)$ , where the  $t_i$  are terms, is  $p(t_1, \dots, t_n)$ ;
- the subformulae of  $\neg F$  are  $\neg F$  and the subformulae of  $F$ ;
- the subformulae of  $F_1 \wedge F_2$ ,  $F_1 \vee F_2$ ,  $F_1 \rightarrow F_2$ ,  $F_1 \leftrightarrow F_2$  are the formula itself and the subformulae of  $F_1$  and  $F_2$ ;
- the subformulae of  $\exists x. F$  and  $\forall x. F$  are the formula itself and the subformulae of  $F$ .

The **strict subformulae** of a formula excludes the formula itself.

## Subterms

The subterms of an FOL term are defined as follows:

- the only subterm of constant  $a$  or variable  $x$  is  $a$  or  $x$  itself, respectively;
- and the subterms of  $f(t_1, \dots, t_n)$  are the term itself and the subterms of  $t_1, \dots, t_n$ .

The **strict subterms** of a term excludes the term itself.

## Example 5

In

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

the subformulae of  $F$  are

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

The subterms of  $g(f(x), f(h(f(x))))$  are

$$g(f(x), f(h(f(x))))), f(x), f(h(f(x))), h(f(x)), x.$$

# 1 Syntax

Translations of English sentences into FOL:

- ① Every dog has its day.

$$\forall x. \text{dog}(x) \rightarrow \exists y. \text{day}(y) \wedge \text{itsDay}(x, y);$$

- ② Some dogs have more days than others.

$$\exists x, y. \text{dog}(x) \wedge \text{dog}(y) \wedge \#days(x) > \#days(y)$$

- ③ All cats have more days than dogs.

$$\forall x, y. \text{dog}(x) \wedge \text{cat}(y) \rightarrow \#days(y) > \#days(x)$$

- ④ Fido is a dog. Furrball is a cat. Fido has fewer days than does Furrball.

$$\text{dog}(\text{Fido}) \wedge \text{cat}(\text{Furrball}) \wedge \#days(\text{Fido}) < \#days(\text{Furrball})$$

- ⑤ Fermat's Last Theorem.

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

→

$$\forall x, y, z. \text{integer}(x) \wedge \text{integer}(y) \wedge \text{integer}(z) \wedge x > 0 \wedge y > 0 \wedge z > 0$$

→

$$x^n + y^n \neq z^n$$

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## 2 Semantics

- Formulae of FOL evaluate to the truth values **true** and **false** as in PL.
- Terms of FOL formulae evaluate to values from a specified domain.
- We extend the concept of interpretations to this more complex setting and then define the semantics of FOL in terms of interpretations.

### FOL interpretation $\mathcal{I}$

- The **domain**  $D_{\mathcal{I}}$  of  $\mathcal{I}$ : a nonempty set of values or objects, such as integers, real numbers, dogs, people, or merely abstract objects;
- $|D_{\mathcal{I}}|$  denotes the **cardinality** or size, of  $D_{\mathcal{I}}$ .
- The **assignment**  $\alpha_{\mathcal{I}}$  maps constant, variable, function, and predicate symbols to elements, functions, and predicates over  $D_{\mathcal{I}}$ ;
- An **interpretation**  $\mathcal{I} : (D_{\mathcal{I}}, \alpha_{\mathcal{I}})$  is a pair consisting of a domain and an assignment.

### Assignment $\alpha_{\mathcal{I}}$

- Each **variable** symbol  $x$  is assigned a value  $x_{\mathcal{I}}$  from  $D_{\mathcal{I}}$ ;
- Each  $n$ -ary **function** symbol  $f$  is assigned an  $n$ -ary function

$$f_{\mathcal{I}} : D_{\mathcal{I}}^n \rightarrow D_{\mathcal{I}}$$

that maps  $n$  elements of  $D_{\mathcal{I}}$  to an element of  $D_{\mathcal{I}}$ ;

- Each  $n$ -ary **predicate** symbol  $p$  is assigned an  $n$ -ary predicate

$$p_{\mathcal{I}} : D_{\mathcal{I}}^n \rightarrow \{\text{true}, \text{false}\}$$

that maps  $n$  elements of  $D_{\mathcal{I}}$  to a truth value;

- Each **constant** (0-ary function symbol) is assigned a value from  $D_{\mathcal{I}}$ ;
- Each **propositional variable** (0-ary predicate symbol) is assigned a truth value.

### Example 6

The formula

$$F : x + y > z \rightarrow y > z - x$$

contains the binary function symbols  $+$  and  $-$ , the binary predicate symbol  $>$ , and the variables  $x$ ,  $y$ , and  $z$ . The domain is the integers,  $\mathbb{Z}$ :

$$D_{\mathcal{I}} = \mathbb{Z} = \{\dots, -2, -1, 0, 1, 2, \dots\}.$$

We thus have interpretation  $\mathcal{I} : (\mathbb{Z}, \alpha_{\mathcal{I}})$ , where:

$$\alpha_{\mathcal{I}} : \{+ \mapsto +_{\mathbb{Z}}, - \mapsto -_{\mathbb{Z}}, > \mapsto >_{\mathbb{Z}}, x \mapsto 10, y \mapsto 8, z \mapsto 17, \dots\}$$

The elision (...) reminds us that, as always,  $\alpha_{\mathcal{I}}$  provides values for the countably infinitely many other constant, function, and predicate symbols.



## 2 Semantics

- Given an FOL formula  $F$  and interpretation  $\mathcal{I} : (D_{\mathcal{I}}, \alpha_{\mathcal{I}})$ , we want to compute if  $F$  evaluates to **true** (or **false**) under interpretation  $\mathcal{I}$ ,  $\mathcal{I} \models F$  (or  $\mathcal{I} \not\models F$ ).

### Semantics

- truth symbols:  $\mathcal{I} \models \top$ ,  $\mathcal{I} \not\models \perp$ ;
- $\alpha_{\mathcal{I}}$  gives meaning  $\alpha_{\mathcal{I}}[x]$ ,  $\alpha_{\mathcal{I}}[c]$ , and  $\alpha_{\mathcal{I}}[f]$  to variables  $x$ , constants  $c$ , and functions  $f$ ;
- $\alpha_{\mathcal{I}}[f(t_1, \dots, t_n)] = \alpha_{\mathcal{I}}[f](\alpha_{\mathcal{I}}[t_1], \dots, \alpha_{\mathcal{I}}[t_n])$ ;
- $\alpha_{\mathcal{I}}[p(t_1, \dots, t_n)] = \alpha_{\mathcal{I}}[p](\alpha_{\mathcal{I}}[t_1], \dots, \alpha_{\mathcal{I}}[t_n])$ ;
- $\mathcal{I} \models p(t_1, \dots, t_n)$  iff  $\alpha_{\mathcal{I}}[p(t_1, \dots, t_n)] = \text{true}$ ;
- The logical connectives are handled in FOL in precisely the same way as in PL.

### Example 7

Recall the formula

$$F : x + y > z \rightarrow y > z - x$$

the interpretation  $\mathcal{I} : (\mathbb{Z}, \alpha_{\mathcal{I}})$ , where

$$\alpha_{\mathcal{I}} : \{+ \mapsto +_{\mathbb{Z}}, - \mapsto -_{\mathbb{Z}}, > \mapsto >_{\mathbb{Z}}, x \mapsto 10, y \mapsto 8, z \mapsto 17\}.$$

Compute the truth value of  $F$  under  $\mathcal{I}$  as follows:

1.  $\mathcal{I} \models x + y > z$       since  $\alpha_{\mathcal{I}}[x + y > z] = 10 + 8 > 17$
2.  $\mathcal{I} \models y > z - x$       since  $\alpha_{\mathcal{I}}[y > z - x] = 8 > 17 - 10$
3.  $\mathcal{I} \models F$       by 1, 2, and the semantics of  $\rightarrow$

## 2 Semantics

### $x$ -variant

An  $x$ -variant of an interpretation  $\mathcal{I} : (\mathbb{Z}, \alpha_{\mathcal{I}})$  as an interpretation  $\mathcal{J} : (\mathbb{Z}, \alpha_{\mathcal{J}})$  such that

- $D_{\mathcal{I}} = D_{\mathcal{J}}$ ;
- and  $\alpha_{\mathcal{I}}[y] = \alpha_{\mathcal{J}}[y]$  for all constant, free variable, function, and predicate symbols  $y$ , except possibly  $x$ .

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

### Semantics

For quantifiers,

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

$\mathcal{I} \models \exists x. F$  there exists  $v \in D_{\mathcal{I}}$ , such that  $\mathcal{I} \triangleleft \{x \mapsto v\} \models F$

### Example 8

Consider the formula

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

and the interpretation  $\mathcal{I} : (D : \{\circ, \bullet\}, \alpha_{\mathcal{I}})$  in which

$$\alpha_{\mathcal{I}} : \{f(\circ) \mapsto \circ, f(\bullet) \mapsto \bullet, g(\circ) \mapsto \bullet, g(\bullet) \mapsto \circ\}.$$

Compute the truth value of  $F$  under  $\mathcal{I}$  as follows:

1.  $\mathcal{I} \not\models \{x \mapsto v\} \models f(x) = g(x)$  for  $v \in D$
2.  $\mathcal{I} \not\models \exists x. f(x) = g(x)$  since  $v \in D$  is arbitrary

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### 3 Satisfiability and Validity

- 1 Formula  $F$  is said to be **satisfiable** iff there exists an interpretation  $\mathcal{I}$  such that  $\mathcal{I} \models F$ ;
- 2 Formula  $F$  is said to be **valid** iff for all interpretations  $\mathcal{I}$ ,  $\mathcal{I} \models F$ ;
- 3 Satisfiability and validity are **dual**:  $F$  is valid iff  $\neg F$  is unsatisfiable.

For arguing the validity of FOL formulae, we extend the semantic argument method from PL to FOL.

#### Extended Semantic Argument Method

According to the semantics of universal quantification, from  $\mathcal{I} \models \forall x. F$ , deduce  $\mathcal{I} \triangleleft \{x \mapsto v\} \models F$  for any  $v \in D_{\mathcal{I}}$ .

$$\frac{\mathcal{I} \models \forall x. F}{\mathcal{I} \triangleleft \{x \mapsto v\} \models F} \text{ for any } v \in D_{\mathcal{I}}$$

In practice, we usually apply this rule using a domain element  $v$  that was introduced earlier in the proof.

## 3 Satisfiability and Validity

### Extended Semantic Argument Method

Similarly, from the semantics of existential quantification, from  $\mathcal{I} \models \exists x. F$ , deduce  $\mathcal{I} \triangleleft \{x \mapsto v\} \models F$  for any  $v \in D_{\mathcal{I}}$ . used in the proof.

$$\frac{\mathcal{I} \models \exists x. F}{\mathcal{I} \triangleleft \{x \mapsto v\} \models F} \text{ for any } v \in D_{\mathcal{I}}$$

Again, we usually apply this rule using a domain element  $v$  that was introduced earlier in the proof.

### 3 Satisfiability and Validity

#### Extended Semantic Argument Method

According to the semantics of existential quantification, from  $\mathcal{I} \models \exists x. F$ , deduce  $\mathcal{I} \triangleleft \{x \mapsto v\} \models F$  for some  $v \in D_{\mathcal{I}}$  that has **not** been previously used in the proof.

$$\frac{\mathcal{I} \models \exists x. F}{\mathcal{I} \triangleleft \{x \mapsto v\} \models F} \text{ for a fresh } v \in D_{\mathcal{I}}$$

#### Extended Semantic Argument Method

Similarly, from the semantics of universal quantification, from  $\mathcal{I} \models \forall x. F$ , deduce  $\mathcal{I} \triangleleft \{x \mapsto v\} \not\models F$  for some  $v \in D_{\mathcal{I}}$  that has **not** been previously used in the proof.

$$\frac{\mathcal{I} \not\models \forall x. F}{\mathcal{I} \triangleleft \{x \mapsto v\} \not\models F} \text{ for a fresh } v \in D_{\mathcal{I}}$$



## 3 Satisfiability and Validity

### Extended Semantic Argument Method

A contradiction exists if two variants of the original interpretation  $\mathcal{I}$  disagree on the truth value of an  $n$ -ary predicate  $p$  for a given tuple of domain values.

$$\frac{J : \mathcal{I} \triangleleft \dots \models p(s_1, \dots, s_n) \quad K : \mathcal{I} \triangleleft \dots \not\models p(t_1, \dots, t_n)}{\mathcal{I} \models \perp} \quad \text{for } i \in \{1, \dots, n\}, \alpha_J[s_i] = \alpha_K[t_i]$$

## 3 Satisfiability and Validity

### Example 9

We prove that

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

is valid. Suppose not; and  $\mathcal{I} \not\models F$ :

1.  $\mathcal{I} \not\models F$  assumption
2.  $\mathcal{I} \models \forall x. p(x)$  1 and semantics of  $\rightarrow$
3.  $\mathcal{I} \not\models \forall y. p(y)$  1 and semantics of  $\rightarrow$
4.  $\mathcal{I} \triangleleft \{y \mapsto v\} \not\models p(y)$  3 and semantics of  $\forall$ , for some  $v \in D_{\mathcal{I}}$
5.  $\mathcal{I} \triangleleft \{x \mapsto v\} \models p(x)$  2 and semantics of  $\forall$

under  $\mathcal{I}$ ,  $p(v)$  is **false** by 4 and **true** by 5. Thus,  $F$  is valid.

## 3 Satisfiability and Validity

### Example 10

Consider the following relation between universal and existential quantification:

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

Suppose not. Then there is an interpretation  $\mathcal{I}$  such that  $\mathcal{I} \not\models F$ .  
In the first case (forward  $\rightarrow$ ),

1.  $\mathcal{I} \models \forall x. p(x)$  assumption
2.  $\mathcal{I} \not\models \neg \exists x. \neg p(x)$  assumption
3.  $\mathcal{I} \models \exists x. \neg p(x)$  2 and  $\neg$
4.  $\mathcal{I} \triangleleft \{x \mapsto v\} \models \neg p(x)$  3 and  $\exists$ , for some  $v \in D_{\mathcal{I}}$
5.  $\mathcal{I} \triangleleft \{x \mapsto v\} \models p(x)$  1 and  $\forall$

### 3 Satisfiability and Validity

Continue Example 10. For the second case (backward  $\leftarrow$ ),

1.  $\mathcal{I} \not\models \forall x. p(x)$  assumption
2.  $\mathcal{I} \models \neg \exists x. \neg p(x)$  assumption
3.  $\mathcal{I} \triangleleft \{x \mapsto v\} \not\models p(x)$  1 and  $\forall$ , for some  $v \in D_{\mathcal{I}}$
4.  $\mathcal{I} \not\models \exists x. \neg p(x)$  2 and  $\neg$
5.  $\mathcal{I} \triangleleft \{x \mapsto v\} \not\models \neg p(x)$  4 and  $\exists$
6.  $\mathcal{I} \triangleleft \{x \mapsto v\} \models p(x)$  5 and  $\neg$

Both cases end in contradictions for arbitrary interpretation  $\mathcal{I}$ ,  $F$  is valid.

### 3 Satisfiability and Validity

#### Example 11

To prove that

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

is valid, assume otherwise and derive a contradiction.

- |    |                                                                                    |                     |
|----|------------------------------------------------------------------------------------|---------------------|
| 1. | $\mathcal{I} \not\models F$                                                        | assumption          |
| 2. | $\mathcal{I} \models p(a)$                                                         | 1 and $\rightarrow$ |
| 3. | $\mathcal{I} \not\models \exists x. p(x)$                                          | 1 and $\rightarrow$ |
| 4. | $\mathcal{I} \triangleleft \{x \mapsto \alpha_{\mathcal{I}}[a]\} \not\models p(x)$ | 3 and $\exists$     |
| 5. | $\mathcal{I} \models \perp$                                                        | 2, 4                |

Because lines 2 and 4 are contradictory, F is valid.

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## 4 Substitution

### Renaming

If variable  $x$  is **quantified** in  $F$  so that  $F$  has the form  $F[\forall x. G[x]]$ , then the **renaming** of  $x$  to fresh variable  $x'$  produces the formula  $F[\forall x'. G[x']]$ .

By the semantics of universal/existential quantification, the original and final formulae are equivalent.

### Example 12

Renaming the bound variable  $x$  to fresh variable  $x'$  in

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

produces

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

## Substitution

A substitution is a map from FOL formulae to FOL formulae:

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

- 1 As in PL,  $\text{domain}(\sigma) = \{F_1, \dots, F_n\}$  and  $\text{range}(\sigma) = \{G_1, \dots, G_n\}$ ;
- 2  $F\sigma$ : application of  $\sigma$  to  $F$ , replacing each occurrence of  $F_i$  in  $F$  by  $G_i$  **simultaneously**;
- 3 If  $F_j, F_k \in \text{domain}(\sigma)$ , and  $F_k$  is a strict subformula of  $F_j$ , replace occurrences of  $F_j$  by  $G_j$ .



## 4 Substitution

### Example 13

Consider formula

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

and substitution

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

Then

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

### Example 14

Consider formula

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

and substitution

$$\sigma : \{\exists y. p(x, y) \mapsto p(x, a)\} ,$$

where  $a$  is a constant. Then  $F\sigma = ?$ .

## 4 Substitution

### Example 13

Consider formula

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

and substitution

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

Then

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

### Example 14

Consider formula

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

and substitution

$$\sigma : \{\exists y. p(x, y) \mapsto p(x, a)\} ,$$

where  $a$  is a constant. Then  $F\sigma = ?$ .  $F$ . The scope of the quantifier  $\exists y$  in  $F$  is  $p(x, y) \wedge p(y, x)$  not just  $p(x, y)$ .

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## 4.1 Safe Substitution

### Free Variables of Substitution

Define for a substitution  $\sigma$  its set of free variables:

$$V_\sigma = \bigcup_i (\text{free}(F_i) \cup \text{free}(G_i)) .$$

$V_\sigma$  consists of the free variables of all formulae  $F_i$  and  $G_i$  of the domain and range of  $\sigma$ .

### Safe Substitution

Compute the safe substitution  $F\sigma$  of formula  $F$  as follows:

- 1 For each **quantified variable**  $x$  in  $F$  such that  $x \in V_\sigma$ , rename  $x$  to a fresh variable to produce  $F'$ ;
- 2 Compute  $F'\sigma$ .

## 4.1 Safe Substitution

### Example 15

Consider again formula

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

and substitution

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

To compute the safe substitution  $F\sigma$ , first compute free variables

$$\begin{aligned} V\sigma &= \text{free}(x) \cup \text{free}(g(x)) \cup \text{free}(y) \cup \text{free}(f(x)) \\ &\quad \cup \text{free}(q(f(y), x)) \cup \text{free}(\exists x. h(x, y)) \\ &= \{x, y\} \end{aligned}$$

Then

- 1 As  $x \in V\sigma$ , after renaming,  $F' : (\forall x'. p(x', y)) \rightarrow q(f(y), x)$ ;
- 2  $F'\sigma : (\forall x'. p(x', f(x))) \rightarrow \exists x. h(x, y)$ .

## 4.1 Safe Substitution

### Example 16

Consider formula

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

in which the quantified variable has a different name than any free variable of  $F$  or the substitution

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

The safe substitution is the unrestricted substitution

$$F\sigma : (\forall z. p(z, f(y))) \rightarrow \exists w. h(w, y) .$$

### Proposition 17 (Substitution of Equivalent Formulae)

*Consider substitution*

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

*such that for each  $i$ ,  $F_i \Leftrightarrow G_i$ . Then  $F \Leftrightarrow F\sigma$  when  $F\sigma$  is computed as a safe substitution.*

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## 4.2 Schema Substitution

### Formula Schema

A formula schema  $H$ , e.g.,  $(\forall x. F) \leftrightarrow (\neg \exists x. \neg F)$ :

- 1 contains at least one **placeholder**  $F_1, F_2, \dots$ ;
- 2 may have **side conditions** that specify that certain variables do not occur free in the placeholders.

### Schema Substitution

Consider a substitution  $\sigma$  mapping placeholders to FOL formulae. A schema substitution is an (unrestricted) application of  $\sigma$  to a formula schema.

A schema substitution is **legal** only if the substitution  $\sigma$  **obeys** the side conditions of the formula schema.



## 4.2 Schema Substitution

### Example 18

Recall from Example 10 that

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

is valid. Rewrite the formula using placeholders:

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

$H$  is a formula schema. The validity of

$$G : (\forall x. \exists y. q(x, y)) \leftrightarrow (\neg \exists x. \neg \exists y. q(x, y))$$

is derivable from  $H$  by the schema substitution  $H\sigma$  (syntactically identical to  $G$ ) by:

$$\sigma : \{F \mapsto \exists y. q(x, y)\} .$$

## 4.2 Schema Substitution

### Example 19

Consider the formula schema with side condition

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

If we disregard the side condition, then  $H$  is an invalid formula schema as, for example,

$$G_1 : (\forall x. p(x)) \leftrightarrow p(x) ,$$

obtained from  $H$  by schema substitution

$$\sigma : \{F \mapsto p(x)\} ,$$

is invalid. However,  $\sigma$  is disallowed by the side condition. A legal schema substitution can be:

$$\sigma : \{F \mapsto \exists y. p(z, y)\} ,$$

which obeys  $H$ 's side condition.

## 4.2 Schema Substitution

### Example 20

To prove the validity of

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

consider the two directions of  $\leftrightarrow$ . First ( $\rightarrow$ ),

1.  $\mathcal{I} \models \forall x. F$                       assumption
2.  $\mathcal{I} \models F$                               assumption
3.  $\mathcal{I} \models F$                               1,  $\forall$ , since  $x \notin \text{free}(F)$
4.  $\mathcal{I} \models \perp$                               2, 3

Second ( $\leftarrow$ ), similar to the first case. Thus,  $H$  is a valid formula schema.

## 4.2 Schema Substitution

### Proposition 21 (Formula Schema)

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

The valid PL formula

$$(P \rightarrow Q) \leftrightarrow (\neg P \vee Q)$$

can be treated as a valid formula schema:

$$(F_1 \rightarrow F_2) \leftrightarrow (\neg F_1 \vee F_2) .$$

In general, valid propositional templates are valid formulae schemata.

# Outline

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- 6 Decidability and Complexity
- 7 Sound and Complete

## 5 Normal Forms

- The normal forms of PL extend to FOL;
- An FOL formula  $F$  can be transformed into negation normal form (NNF) by using the procedure in PL augmented with these two equivalences:

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

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

## 5 Normal Forms

### Example 22

Find a formula in NNF that is equivalent to

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

Each formula below is equivalent to  $G$  and is obtained from the previous one through an application of an equivalence.

$$1. \forall x. (\exists y. p(x, y) \wedge p(x, z)) \rightarrow \exists w. p(x, w)$$

$$\downarrow F_1 \rightarrow F_2 \Leftrightarrow \neg F_1 \vee F_2$$

$$2. \forall x. \neg(\exists y. p(x, y) \wedge p(x, z)) \vee \exists w. p(x, w)$$

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

$$3. \forall x. (\forall y. \neg(p(x, y) \wedge p(x, z))) \vee \exists w. p(x, w)$$

$$\downarrow \neg(F_1 \wedge F_2) \Leftrightarrow \neg F_1 \vee \neg F_2$$

$$4. \forall x. (\forall y. \neg p(x, y) \vee \neg p(x, z)) \vee \exists w. p(x, w)$$

## 5 Normal Forms

### Prenex Normal Form (PNF)

A formula is in prenex normal form (PNF) if all of its quantifiers appear at the beginning of the formula:

$$Q_1x_1. \dots Q_nx_n. F[x_1, \dots, x_n] ,$$

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

### Example 23

FOL formula in PNF:

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

- An FOL formula is in CNF (or DNF) if it is in PNF and its main quantifier-free subformula is in CNF (or DNF).



### Translation of FOL Formula into PNF

To compute an equivalent PNF  $F'$  of FOL formula  $F$ ,

- 1 Convert  $F$  into NNF formula  $F_1$ .
- 2 When multiple quantified variables have the same name, rename them to fresh variables, resulting in  $F_2$ .
- 3 Remove all quantifiers from  $F_2$  to produce quantifier-free formula  $F_3$ .
- 4 Add the quantifiers before  $F_3$ ,

$$F_4 : Q_1x_1. \dots Q_nx_n. F_3 ,$$

where the  $Q_i$  are the quantifiers such that if  $Q_j$  is in the scope of  $Q_i$  in  $F_1$ , then  $i < j$ .

## Example 24

Find a PNF equivalent of

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

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:

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

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  $F_3$ :

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

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### Satisfiability as a Language

Let  $L_{PL}$  be the set of all satisfiable formulae. That is, the word  $w \in L_{PL}$  iff

- 1  $w$  is a syntactically well-formed formulae;
- 2 and when  $w$  is viewed as a PL formula  $F$ ,  $F$  is satisfiable.

Then the formal decision problem (satisfiability of formulae) is:

given a word  $w$ , is  $w \in L_{PL}$ ?

Satisfiability of FOL formulae can be similarly formalized as a language question: given a word  $w$ , is  $w \in L_{FOL}$ ?

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# 6.1 Decidability

## Decidable

A language  $L$  is **decidable** if there exists a procedure that, given a word  $w$ ,

- 1 eventually **halts**;
- 2 and **answers** yes if  $w \in L$ ;
- 3 and **answers** no if  $w \notin L$ .

Other terms for “decidable” are **recursive** and **Turing-decidable**.

- A procedure for a decidable language is called an **algorithm**
- Satisfiability of PL formulae is decidable: the truth-table method is a decision procedure
- A language is **undecidable** if it is not decidable
- Church and Turing showed that  $L_{FOL}$  is undecidable

# 6.1 Decidability

## Semi-Decidable

A language  $L$  is **semi-decidable** if there exists a procedure that, given a word  $w$ ,

- 1 halts and **answers** yes **iff**  $w \in L$ ;
- 2 halts and **answers** no **if**  $w \notin L$ ;
- 3 or **does not halt if**  $w \notin L$ .

Other terms for “semi-decidable” are **partially decidable**, **recursively enumerable**, and **Turing-recognizable**.

- Unlike a decidable language, the procedure is only guaranteed to halt if  $w \in L$
- The terms “Turing-decidable” and “Turing-recognizable” arise from Alan Turing’s classic formalization of procedures as Turing machines

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### Polynomial-Time Decidable

A language  $L$  is **polynomial-time decidable**, or in **PTIME** (also, in **P**), if there exists a procedure that, given  $w$ ,

- 1 answers *yes* when  $w \in L$ ;
- 2 answers *no* when  $w \notin L$ ;
- 3 and halts in a number of steps that is at most **proportionate** to some **polynomial** of the **size** of  $w$ .

- Determining if the word  $w$  is a well-formed FOL formula is polynomial-time decidable (standard parsing methods).

## 6.2 Complexity

### Nondeterministic-Polynomial-Time Decidable

A language  $L$  is **nondeterministic-polynomial-time decidable**, or in **NPTIME** (also, in **NP**), if there exists a **nondeterministic** procedure that, given  $w$ ,

- 1 **guesses** a **witness**  $W$  to the fact that  $w \in L$  that is at most proportionate in size to some **polynomial** of the size of  $w$ ;
- 2 **checks** in time at most proportionate to some **polynomial** of the size of  $w$  that  $W$  really is a witness to  $w \in L$ ;
- 3 and **answers** yes if the check succeeds and *no* otherwise.

$L_{PL}$  is in NP, nondeterministic procedure for deciding satisfiable:

- 1 parse the input  $w$  as formula  $F$  (return no if  $w$  is not a well-formed PL formula);
- 2 guess an interpretation  $I$ , which is linear in the size of  $w$ ;
- 3 check that  $I \models F$ .

## 6.2 Complexity

### co-NP

A language  $L$  is in **co-NP** if its **complement** language  $L$  is in NP.

- Unsatisfiability of PL formulae is in co-NP as satisfiability is in NP
- It is not known if unsatisfiability of PL formulae is in NP
- A satisfiable PL formula has a polynomial size witness of its satisfiability

### NP-hard

A language  $L$  is **NP-hard** if every instance  $v \in L'$  of every other NP decidable language  $L'$  can be **reduced** to deciding an instance  $w_{L'}^v \in L$ . Moreover, the size of  $w_{L'}^v$  must be at most proportionate to some polynomial of the size of  $v$ .

## 6.2 Complexity

### NP-complete

A language  $L$  is **NP-complete** if it is in NP and is NP-hard.

- $L_{PL}$  is NP-complete.  $L_{PL}$  (also called **SAT**) was the first language shown to be NP-complete
- The Cook-Levin theorem shows that all NP-languages  $L$  can be reduced to  $L_{PL}$

## 6.2 Complexity

### Standard Notation

- ①  $O(f(n))$ : the set of all functions of at most order  $f(n)$ , a function  $g(n)$  is of at most order  $f(n)$  if there exist a scalar  $c \geq 0$  and an integer  $n_0 \geq 0$  such that

$$\forall n \geq n_0. g(n) \leq cf(n) .$$

- ②  $\Omega(f(n))$ : the set of all functions of at least order  $f(n)$ , a function  $g(n)$  is of at least order  $f(n)$  if there exist a scalar  $c \geq 0$  and an integer  $n_0 \geq 0$  such that

$$\forall n \geq n_0. g(n) \geq cf(n) .$$

- ③  $\Theta(f(n))$ : the set of all functions of precisely order  $f(n)$ .

$$\Theta(f(n)) = O(f(n)) \cap \Omega(f(n))$$

## 6.2 Complexity

### Example 25

- 1  $3n^2 + n \in O(n^2)$ ;
- 2  $3n^2 + n \in \Omega(n^2)$ ;
- 3  $3n^2 + n \in \Theta(n^2)$ ;
- 4  $\frac{1}{99}n^2 + n \in \Omega(n^2)$ ;
- 5  $3n^2 + n \in O(2^n)$ ;
- 6  $3n^2 + n \in \Omega(n)$ ;
- 7  $3n^2 + n \notin \Omega(2^n)$ ;
- 8  $3n^2 + n \notin \Theta(2^n)$ ;
- 9  $2^n \in \Omega(n^3)$ ;
- 10  $2^n \notin O(n^3)$ .

### Complexity of Decision Problem

A decision problem  $D$  has time complexity:

- 1  $O(f(n))$   
if there exists an algorithm  $P$  for  $D$  and a function  $g(n) \in O(f(n))$  such that  $P$  runs in time at most  $g(n)$  on input of size  $n$
- 2  $\Omega(f(n))$   
if there exists a function  $g(n) \in \Omega(f(n))$  such that all algorithms  $P$  for  $D$  runs in time at least  $g(n)$  on input of size  $n$ .
- 3  $\Theta(f(n))$   
if it has time complexities  $\Omega(f(n))$  and  $O(f(n))$ .

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## 7 Sound and Complete

Semantic Argument Method: To show FOL formula  $F$  is valid, assume  $\mathcal{I} \not\models F$ , and derive a contradiction  $\mathcal{I} \models \perp$  in all branches.

### Theorem 26 (Sound)

*If every branch of a semantic argument proof of  $\mathcal{I} \not\models F$  closes (i.e., reaches  $\mathcal{I} \models \perp$ ), then  $F$  is valid*

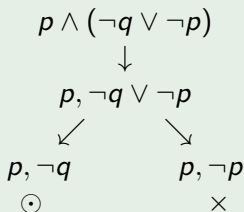
### Theorem 27 (Complete)

*Each valid formula  $F$  has a semantic argument proof in which every branch is closed (i.e., reaches  $\mathcal{I} \models \perp$ ).*

## 7.1 Semantic Tableaux

### Example 28

Consider the formula  $F : p \wedge (\neg q \vee \neg p)$ . The semantic tableau of  $F$  is



- The initial formula labels the root of the tree, each node has one or two child
- A leaf labeled by a set of literals containing a complementary pair of literals is marked  $\times$
- A leaf labeled by a set not containing a complementary pair is marked  $\odot$

## 7.1 Semantic Tableaux

A concise presentation of the rules for creating a semantic tableau can be given if formulas are classified according to their principal operator

### Classification of $\alpha$ -formulae and $\beta$ -formulae

For  $\alpha$ -formulae:  $\alpha$ -formulae are conjunctive and are satisfiable only if both subformulae  $\alpha_1$  and  $\alpha_2$  are satisfied:

$\alpha$	$\alpha_1$	$\alpha_2$
$\neg\neg A_1$	$A_1$	
$A_1 \wedge A_2$	$A_1$	$A_2$
$\neg(A_1 \vee A_2)$	$\neg A_1$	$\neg A_2$
$\neg(A_1 \rightarrow A_2)$	$A_1$	$\neg A_2$
$A_1 \leftrightarrow A_2$	$A_1 \rightarrow A_2$	$A_2 \rightarrow A_1$

## 7.1 Semantic Tableaux

A concise presentation of the rules for creating a semantic tableau can be given if formulas are classified according to their principal operator

### Classification of $\alpha$ -formulae and $\beta$ -formulae

For  $\beta$ -formulae:  $\beta$ -formulae are disjunctive and are satisfied even if only one of the subformulae  $\beta_1$  or  $\beta_2$  is satisfiable:

$\beta$	$\beta_1$	$\beta_2$
$\neg(B_1 \wedge B_2)$	$\neg B_1$	$\neg B_2$
$B_1 \vee B_2$	$B_1$	$B_2$
$B_1 \rightarrow B_2$	$\neg B_1$	$B_2$
$\neg(B_1 \leftrightarrow B_2)$	$\neg(B_1 \rightarrow B_2)$	$\neg(B_2 \rightarrow B_1)$

## 7.1 Semantic Tableaux

### Algorithm of Construction of a semantic tableau

**Input:** A formula  $\phi$  of propositional logic

**Output:** A semantic tableau  $\mathcal{T}$  for  $\phi$  all of whose leaves are marked.

Initially,  $\mathcal{T}$  is a tree consisting of a single root node labeled with the singleton set  $\{\phi\}$ . This node is not marked.

Repeat the following step as long as possible: Choose an unmarked leaf  $\ell$  labeled with a set of formulas  $U(\ell)$  and apply construction rules.

# 7.1 Semantic Tableaux

## Algorithm of Construction of a semantic tableau

Construction rules:

- $U(\ell)$  is a set of literals. Mark the leaf closed  $\times$  if it contains a complementary pair of literals. If not, mark the leaf open  $\odot$ .
- $U(\ell)$  is not a set of literals. Choose a formula in  $U(\ell)$  which is not a literal. Classify the formula as an  $\alpha$ -formula  $A$  or as a  $\beta$ -formula  $B$  :

- $A$  is an  $\alpha$ -formula. Create a new node  $\ell'$  as a child of  $\ell$  and label  $\ell'$  with:

$$U(\ell') = (U(\ell) - \{A\}) \cup \{A_1, A_2\}.$$

- $B$  is an  $\beta$ -formula. Create a new node  $\ell'$  and  $\ell''$  as children of  $\ell$ . Label  $\ell'$  with:

$$U(\ell') = (U(\ell) - \{B\}) \cup \{B_1\},$$

and label  $\ell''$  with:

$$U(\ell'') = (U(\ell) - \{B\}) \cup \{B_2\}.$$

## 7.1 Semantic Tableau

### Definition 29 (Completed Tableau, Closed, Open)

A tableau whose construction has terminated is a **completed** tableau. A completed tableau is **closed** if all its leaves are marked closed. Otherwise (if some leaf is marked open), it is **open**.

### Theorem 30

*The construction of a tableau for any formula  $\phi$  **terminates**. When the construction terminates, all the leaves are marked  $\times$  or  $\odot$ .*

- A branch can always be extended if its leaf is labeled with a set of formulas that is not a set of literals.

## 7.2 Proof of Soundness and Completeness

### Theorem 31 (Soundness and Completeness)

*Let  $\mathcal{T}$  be a completed tableau for a formula  $A$ .  $A$  is unsatisfiable if and only if  $\mathcal{T}$  is closed.*

### Corollary 32

*Formula  $A$  is satisfiable if and only if  $\mathcal{T}$  is open.*

*Proof:*  $A$  is satisfiable iff (by definition)  $A$  is not unsatisfiable iff  $\mathcal{T}$  is not closed iff (by definition)  $\mathcal{T}$  is open.

### Corollary 33

*Formula  $A$  is valid if and only if the tableau for  $\neg A$  closes.*

*Proof:*  $A$  is valid iff  $\neg A$  is unsatisfiable iff the tableau for  $\neg A$  closes.



## 7.2.1 Proof of Soundness

- More general theorem: if  $\mathcal{T}_n$ , the subtree rooted at node  $n$  of  $\mathcal{T}$ , closes then the **set of formulas  $U(n)$  labeling  $n$**  is unsatisfiable
- For simplicity, use  $A_1 \wedge A_2$  and  $B_1 \vee B_2$  as representatives of the classes of  $\alpha$ - and  $\beta$ -formulas

*Proof:* The proof is by induction on the height  $h_n$  of the node  $n$  in  $\mathcal{T}_n$

- Base Case:  $h_n = 0$ , and assume that  $\mathcal{T}_n$  closes.  
( $h_n = 0$ )  $\Rightarrow$   $n$  is a leaf  $\Rightarrow U(n)$  contains complementary pair  $\Rightarrow$  unsatisfiable.
- Inductive Step: let  $n$  be a node such that  $h_n > 0$  in  $\mathcal{T}_n$ .  
Show that:  $\mathcal{T}_n$  is closed  $\Rightarrow U(n)$  is unsatisfiable.  
**Assume:** for any node  $m$  of height  $h_m < h_n$ , if  $\mathcal{T}_m$  closes, then  $U(m)$  is unsatisfiable.

## 7.2.1 Proof of Soundness

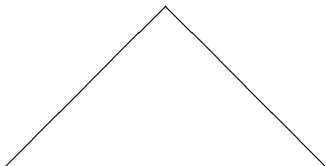
Since  $h_n > 0$ , the rule for some  $\alpha$ - or  $\beta$ -formula was used to create the children of  $n$ :

$$n : \{A_1 \wedge A_2\} \cup U_0$$



$$n' : \{A_1, A_2\} \cup U_0$$

$$n : \{B_1 \vee B_2\} \cup U_0$$



$$n' : \{B_1\} \cup U_0$$

$$n'' : \{B_2\} \cup U_0$$

Two Cases:

- 1  $U(n) = \{A_1 \wedge A_2\} \cup U_0$  and  $U(n') = \{A_1, A_2\} \cup U_0$  for some (possibly empty) set of formulas  $U_0$
- 2  $U(n) = \{B_1 \vee B_2\} \cup U_0$ ,  $U(n') = \{B_1\} \cup U_0$ , and  $U(n'') = \{B_2\} \cup U_0$  for some (possibly empty) set of formulas  $U_0$

## 7.2.1 Proof of Soundness

**First Case:** Clearly,  $\mathcal{T}_{n'}$  is also a closed tableau and since  $h_{n'} = h_n - 1$ , by the inductive hypothesis  $U(n') = \{A_1, A_2\} \cup U_0$  is unsatisfiable.

Let  $\mathcal{I}$  be an arbitrary interpretation.

- 1  $\mathcal{I} \not\models A_0$  for some formula  $A_0 \in U_0$ . But  $U_0 \subset U(n)$  so  $U(n)$  is also unsatisfiable
- 2 Otherwise,  $\mathcal{I} \models A_0$  for all  $A_0 \in U_0$  so  $\mathcal{I} \not\models A_1$  or  $\mathcal{I} \not\models A_2$ .  
Suppose that

$$\mathcal{I} \not\models A_1 .$$

By the definition of the semantics of  $\wedge$ , this implies that

$$\mathcal{I} \not\models A_1 \wedge A_2 .$$

Since  $A_1 \wedge A_2 \in U(n)$ ,  $U(n)$  is unsatisfiable. A similar argument holds if  $\mathcal{I} \not\models A_2$ .

## 7.2.1 Proof of Soundness

**Second Case:** Clearly,  $\mathcal{T}_{n'}$  and  $\mathcal{T}_{n''}$  are also closed tableaux and since  $h_{n'} \leq h_n - 1$  and  $h_{n''} \leq h_n - 1$ , by the inductive hypothesis  $U(n') = \{B_1\} \cup U_0$  and  $U(n'') = \{B_2\} \cup U_0$  are both unsatisfiable. Let  $\mathcal{I}$  be an arbitrary interpretation.

- 1  $\mathcal{I} \not\models B_0$  for some formula  $B_0 \in U_0$ . But  $U_0 \subset U(n)$  so  $U(n)$  is also unsatisfiable
- 2 Otherwise,  $\mathcal{I} \models B_0$  for all  $B_0 \in U_0$  so
  - $\mathcal{I} \not\models B_1$  since  $U(n')$  is unsatisfiable ,
  - $\mathcal{I} \not\models B_2$  since  $U(n'')$  is unsatisfiable.

By the definition of the semantics of  $\vee$ , this implies that

$$\mathcal{I} \not\models B_1 \vee B_2 .$$

Since  $B_1 \vee A_2 \in U(n)$ ,  $U(n)$  is unsatisfiable. □

## 7.2.2 Proof of Completeness

### Completeness

The theorem to be proved is:

*If  $A$  is unsatisfiable then every tableau for  $A$  closes.*

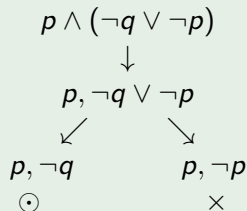
Rather than prove the above, we prove the contrapositive:

*If **some** tableau for  $A$  is **open**, then  $A$  is **satisfiable**.*

### Example 34

The tableau for formula

$F = p \wedge (\neg q \vee \neg p)$  is:



$\mathcal{I} : \{p \mapsto \top, q \mapsto \perp\}$  satisfies  $F$

### Implication and Contrapositive

$$P \rightarrow Q \Leftrightarrow \neg P \vee Q \Leftrightarrow \neg\neg Q \vee \neg P \Leftrightarrow \neg Q \rightarrow \neg P$$

## 7.2.2 Proof of Completeness

There are four steps in the proof:

- 1 Define a property of sets of formulas;
- 2 Show that the union of the formulas labeling nodes in an open branch has this property;
- 3 Prove that any set having this property is satisfiable;
- 4 Note that the formula labeling the root is in the set.

## 7.2.2 Proof of Completeness

### Step-1: Define a property of sets of formulas;

#### Definition 35 (Hintikka set)

Let  $U$  be a set of formulas.  $U$  is a **Hintikka set** iff:

- 1 For all atoms  $p$  appearing in a formula of  $U$ , either  $p \notin U$  or  $\neg p \notin U$ .
- 2 If  $A \in U$  is an  $\alpha$ -formula, then  $A_1 \in U$  and  $A_2 \in U$ .
- 3 If  $B \in U$  is a  $\beta$ -formula, then  $B_1 \in U$  or  $B_2 \in U$ .

#### Example 36

We claim that  $U = \{p, p \vee (\neg q \wedge \neg p)\}$  is a Hintikka set.

- 1 Condition (1) obviously holds since there is only one literal  $p$  in  $U$  and  $\neg p \notin U$ .
- 2 Condition (2) is vacuous.
- 3 For Condition (3),  $B = p \vee (q \wedge \neg q) \in U$  is a  $\beta$ -formula and  $B_1 = p \in U$ .

## 7.2.2 Proof of Completeness

**Step-2: Show that the union of the formulas labeling nodes in an open branch has this property;**

### Theorem 37

*Let  $\ell$  be an open leaf in a completed tableau  $\mathcal{T}$ . Let  $U = \bigcup_i U(i)$ , where  $i$  runs over the set of nodes on the branch from the root to  $\ell$ . Then  $U$  is a Hintikka set.*

*Proof:*

- If a literal  $p$  or  $\neg p$  appears for the first time in  $U(n)$  for some  $n$ , the literal will be copied into  $U(k)$  for all nodes  $k$  on the branch from  $n$  to  $\ell$ .
- This means that all literals in  $U$  appear in  $U(\ell)$ .
- Since the branch is open, no complementary pair of literals appears in  $U(\ell)$ , so Condition (1) holds for  $U$ .



## 7.2.2 Proof of Completeness

*Continue Proof:*

- Suppose that  $A \in U$  is an  $\alpha$ -formula.
- Since the tableau is completed,  $A$  was the formula selected for decomposing at some node  $n$  in the branch from the root to  $\ell$ .
- Then  $\{A_1, A_2\} \subseteq U(n') \subseteq U$ , so Condition (2) holds.
  
- Suppose that  $B \in U$  is a  $\beta$ -formula
- Since the tableau is completed,  $B$  was the formula selected for decomposing at some node  $n$  in the branch from the root to  $\ell$ .
- Then either  $B_1 \in U(n') \subseteq U$  or  $B_2 \in U(n') \subseteq U$ , so Condition (3) holds.



## 7.2.2 Proof of Completeness

**Step-3: Prove that any set having this property is satisfiable;**

### Theorem 38 (Hintikka's Lemma)

*Let  $U$  be a Hintikka set. Then  $U$  is satisfiable.*

*Proof:* We define an interpretation and then show that the interpretation is a model of  $U$ . Let  $\mathcal{P}_U$  be set of all **atoms** appearing in all formulas of  $U$ . **Define an interpretation**  $\mathcal{I} : \mathcal{P}_U \rightarrow \{\top, \perp\}$  as follows:

$$\begin{array}{ll} \mathcal{I} \models p & \text{if } p \in U, \\ \mathcal{I} \not\models p & \text{if } \neg p \in U, \\ \mathcal{I} \models p & \text{if } p \notin U \text{ and } \neg p \notin U. \end{array}$$

Since  $U$  is a Hintikka set, by Condition (1), every atom in  $\mathcal{P}_U$  is given exactly one value.

## 7.2.2 Proof of Completeness

*Continue Proof:* We show by structural induction that for any  $A \in U$ ,  $\mathcal{I} \models A$ :

- If  $A$  is an atom  $p$ , then  $\mathcal{I} \models A$  because  $\mathcal{I} \models p$  since atom  $p \in U$ .
- If  $A$  is a negated atom  $\neg p$ , then since  $\neg p \in U$ ,  $\mathcal{I} \not\models p$ , so  $\mathcal{I} \models A$ .
- If  $A$  is an  $\alpha$ -formula, by Condition (2)  $A_1 \in U$  and  $A_2 \in U$ . By the inductive hypothesis,  $\mathcal{I} \models A_1$  and  $\mathcal{I} \models A_2$ , so  $\mathcal{I} \models A$  by definition of the conjunctive operators.
- If  $A$  is  $\beta$ -formula  $B$ , by Condition (3)  $B_1 \in U$  or  $B_2 \in U$ . By the inductive hypothesis,  $\mathcal{I} \models B_1$  or  $\mathcal{I} \models B_2$ , so  $\mathcal{I} \models A$  by definition of the disjunctive operators.



## 7.2.2 Proof of Completeness

**Step-4: Note that the formula labeling the root is in the set.**

*Proof of Completeness:*

- Let  $\mathcal{T}$  be a completed open tableau for  $A$ .
- Then  $U$ , the union of the labels of the nodes on an open branch, is a Hintikka set by Theorem 37.
- Theorem 38 shows an interpretation  $\mathcal{I}$  can be found such that  $U$  is simultaneously satisfiable in  $\mathcal{I}$ .
- $A$ , the formula labeling the root, is an element of  $U$  so  $\mathcal{I} \models A$ .



# Summary

- ① How one constructs an FOL formula. Variables, terms, function symbols, predicate symbols, atoms, literals, logical connectives, quantifiers
- ② What an FOL formula means. Truth values true and false. Interpretations: domain and assignments
- ③ Whether an FOL formula evaluates to true under any or all interpretations. Semantic argument method
- ④ Substitution, which is a tool for manipulating formulae and making general claims. Safe and schema substitutions. Substitution of equivalent formulae. Valid schemata
- ⑤ A normal form is a set of syntactically restricted formulae such that every FOL formula is equivalent to some member of the set
- ⑥ A review of decidability, complexity theory and meta-theorems.