Mechanizing first-order logic: Unification

Joris Roos

University of Wisconsin-Madison Sommerakademie Leysin 2018

August 16, 2018

Joris Roos







イロト イヨト イヨト イヨ

æ



2 Davis-Putnam



Joris Roos

< E

Image: A mathematical states and the states and

æ

Recall that we are studying the satisfiability of FOL formulas.

Image: Image:

э

Theorem

A quantifier-free formula F is satisfiable if and only if every finite set of ground instances is satisfiable.

Theorem

A quantifier-free formula F is satisfiable if and only if every finite set of ground instances is satisfiable.

Ground instances are propositional formulas obtained from substituting ground terms for free variables.

Theorem

A quantifier-free formula F is satisfiable if and only if every finite set of ground instances is satisfiable.

Ground instances are propositional formulas obtained from substituting ground terms for free variables.

Ground terms are terms made up only of function symbols and constant symbols of the language.

Theorem

A quantifier-free formula F is satisfiable if and only if every finite set of ground instances is satisfiable.

Ground instances are propositional formulas obtained from substituting ground terms for free variables.

Ground terms are terms made up only of function symbols and constant symbols of the language.

1 Initialize $H = \top$.

- Initialize $H = \top$.
- **②** Generate next ground instance G (a propositional formula).

- Initialize $H = \top$.
- **②** Generate next ground instance G (a propositional formula).
- **Set** $H := H \land G.$

- Initialize $H = \top$.
- **2** Generate next ground instance G (a propositional formula).
- **Set** $H := H \land G.$
- Test if *H* is satisfiable (e.g. by converting to DNF).

- Initialize $H = \top$.
- **2** Generate next ground instance G (a propositional formula).
- $I := H \wedge G.$
- Test if *H* is satisfiable (e.g. by converting to DNF).
 - If yes, go to (2).

- **1** Initialize $H = \top$.
- **2** Generate next ground instance G (a propositional formula).
- $I := H \wedge G.$
- Test if *H* is satisfiable (e.g. by converting to DNF).
 - If yes, go to (2).
 - If not, we are done.

- **1** Initialize $H = \top$.
- **2** Generate next ground instance G (a propositional formula).
- $I := H \wedge G.$
- Test if *H* is satisfiable (e.g. by converting to DNF).
 - If yes, go to (2).
 - If not, we are done.

If this terminates, then we proved that F is not satisfiable.

- **1** Initialize $H = \top$.
- **2** Generate next ground instance G (a propositional formula).
- $I := H \wedge G.$
- Test if *H* is satisfiable (e.g. by converting to DNF).
 - If yes, go to (2).
 - If not, we are done.

If this terminates, then we proved that F is not satisfiable.

э

Use a better SAT procedure.

- Use a better SAT procedure. For example:
 - Use of DNF leads to combinatorial explosion because we keep joining formulas by $\wedge.$

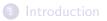
- Use a better SAT procedure. For example:
 - Use of DNF leads to combinatorial explosion because we keep joining formulas by $\wedge.$
 - CNF/clause form is more natural (each step just adds a clause).

- Use a better SAT procedure. For example:
 - Use of DNF leads to combinatorial explosion because we keep joining formulas by $\wedge.$
 - CNF/clause form is more natural (each step just adds a clause).
 - Efficient algorithms to solve SAT for CNF formulas: Davis-Putnam, DPLL, ...

- Use a better SAT procedure. For example:
 - Use of DNF leads to combinatorial explosion because we keep joining formulas by $\wedge.$
 - CNF/clause form is more natural (each step just adds a clause).
 - Efficient algorithms to solve SAT for CNF formulas: Davis-Putnam, DPLL, ...
- Substitute "clever" ground terms instead of a brute-force exhaustive search.

- Use a better SAT procedure. For example:
 - Use of DNF leads to combinatorial explosion because we keep joining formulas by $\wedge.$
 - CNF/clause form is more natural (each step just adds a clause).
 - Efficient algorithms to solve SAT for CNF formulas: Davis-Putnam, DPLL, ...
- Substitute "clever" ground terms instead of a brute-force exhaustive search.

One approach is unification.







Joris Roos

3

• • • • • • • •

æ

We start with a formula in CNF represented as a list of clauses and want to decide if it is satisfiable.

We start with a formula in CNF represented as a list of clauses and want to decide if it is satisfiable.

This is done by iteratively applying three rules that do not change satisfiability.

We start with a formula in CNF represented as a list of clauses and want to decide if it is satisfiable.

This is done by iteratively applying three rules that do not change satisfiability.

We always assume that no clause contains both a literal and its negation, since $P \lor \neg P$ is a tautology.

• remove every clause containing P

- remove every clause containing P
- remove every occurrence of $\neg P$ in other clauses

- remove every clause containing P
- remove every occurrence of $\neg P$ in other clauses

If some literal P occurs either only unnegated or only negated, then remove every clause containing P.

Rule 3 is based on the following deduction rule: suppose we have two clauses of the form $% \left({{\left[{{n_{\rm{s}}} \right]} \right]_{\rm{s}}} \right)$

 $P \lor A, \neg P \lor B$

Rule 3 is based on the following deduction rule: suppose we have two clauses of the form $% \left({{\left[{{n_{\rm{s}}} \right]} \right]_{\rm{s}}} \right)$

 $P \lor A, \neg P \lor B$

where A, B are clauses and P a literal.

Rule 3 is based on the following deduction rule: suppose we have two clauses of the form $% \left({{\left[{{n_{\rm{s}}} \right]} \right]_{\rm{s}}} \right)$

 $P \lor A, \neg P \lor B$

where A, B are clauses and P a literal. Then we can deduce the *resolvent clause*

 $A \lor B$

Let P be a literal and suppose we have clauses

$$P \lor A_1, \ldots, P \lor A_n$$

for A_i clauses (not containing $P, \neg P$)

Let P be a literal and suppose we have clauses

$$P \lor A_1, \ldots, P \lor A_n$$

for A_i clauses (not containing $P, \neg P$) and clauses

$$\neg P \lor B_1, \ldots, \neg P \lor B_m$$

for B_i clauses (not containing $P, \neg P$),

Let P be a literal and suppose we have clauses

$$P \lor A_1, \ldots, P \lor A_n$$

for A_i clauses (not containing $P, \neg P$) and clauses

$$\neg P \lor B_1, \ldots, \neg P \lor B_m$$

for B_i clauses (not containing $P, \neg P$), then we replace these by the clauses

$$A_i \vee B_j$$

for i = 1, ..., n, j = 1, ..., m (and remove tautologies). This does not change satisfiability.

• Each rule reduces the number of literals.

э

< □ > < 同 >

- Each rule reduces the number of literals.
- If there is a nonempty clause, then one of the rules applies.

- Each rule reduces the number of literals.
- If there is a nonempty clause, then one of the rules applies.
- Consequently, we can keep applying the rules (we prefer Rules 1 and 2 when possible) and the procedure will terminate.

- Each rule reduces the number of literals.
- If there is a nonempty clause, then one of the rules applies.
- Consequently, we can keep applying the rules (we prefer Rules 1 and 2 when possible) and the procedure will terminate.
- Much faster than truth tables.

- Each rule reduces the number of literals.
- If there is a nonempty clause, then one of the rules applies.
- Consequently, we can keep applying the rules (we prefer Rules 1 and 2 when possible) and the procedure will terminate.
- Much faster than truth tables.
- This drastically improves our naive FOL theorem prover by avoiding combinatorial explosion owing to DNF.

- Each rule reduces the number of literals.
- If there is a nonempty clause, then one of the rules applies.
- Consequently, we can keep applying the rules (we prefer Rules 1 and 2 when possible) and the procedure will terminate.
- Much faster than truth tables.
- This drastically improves our naive FOL theorem prover by avoiding combinatorial explosion owing to DNF.
- Catch: Rule 3 may drastically increase the number of clauses.

- Each rule reduces the number of literals.
- If there is a nonempty clause, then one of the rules applies.
- Consequently, we can keep applying the rules (we prefer Rules 1 and 2 when possible) and the procedure will terminate.
- Much faster than truth tables.
- This drastically improves our naive FOL theorem prover by avoiding combinatorial explosion owing to DNF.
- Catch: Rule 3 may drastically increase the number of clauses.
- Improvement: Davis-Putnam-Logeman-Loveland (DPLL)

$[[P, Q, \neg R, \neg S], [\neg P, \neg Q, S], [P, \neg Q, T], [R]]$

イロト イヨト イヨト イヨト

3

$$[[P, Q, \neg R, \neg S], [\neg P, \neg Q, S], [P, \neg Q, T], [R]]$$

Apply Rule 1:

$$[[P, Q, \neg S], [\neg P, \neg Q, S], [P, \neg Q, T]]$$

3

< □ > < □ > < □ > < □ > < □ >

$$[[P, Q, \neg R, \neg S], [\neg P, \neg Q, S], [P, \neg Q, T], [R]]$$

Apply Rule 1:

$$[[P,Q,\neg S],[\neg P,\neg Q,S],[P,\neg Q,T]]$$

Apply Rule 2:

$$[[P, Q, \neg S], [\neg P, \neg Q, S]]$$

3

イロト イヨト イヨト イヨト

$$[[P, Q, \neg R, \neg S], [\neg P, \neg Q, S], [P, \neg Q, T], [R]]$$
Apply Rule 1:

$$[[P, Q, \neg S], [\neg P, \neg Q, S], [P, \neg Q, T]]$$
Apply Rule 2:

$$[[P, Q, \neg S], [\neg P, \neg Q, S]]$$
Apply Rule 3:

$$[[Q, \neg S, \neg Q, S]]$$

2

・ロト ・ 日 ト ・ 日 ト ・ 日 ト

$$[[P, Q, \neg R, \neg S], [\neg P, \neg Q, S], [P, \neg Q, T], [R]]$$

Apply Rule 1:
$$[[P, Q, \neg S], [\neg P, \neg Q, S], [P, \neg Q, T]]$$

Apply Rule 2:
$$[[P, Q, \neg S], [\neg P, \neg Q, S]]$$

Apply Rule 3:
$$[[Q, \neg S, \neg Q, S]]$$

Remove tautology:
$$[]$$

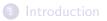
2

▲□▶ ▲圖▶ ▲国▶ ▲国▶

$$[[P, Q, \neg R, \neg S], [\neg P, \neg Q, S], [P, \neg Q, T], [R]]$$
Apply Rule 1:
$$[[P, Q, \neg S], [\neg P, \neg Q, S], [P, \neg Q, T]]$$
Apply Rule 2:
$$[[P, Q, \neg S], [\neg P, \neg Q, S]]$$
Apply Rule 3:
$$[[Q, \neg S, \neg Q, S]]$$
Remove tautology:
$$[]$$

No clauses left, so formula is satisfiable.

э







Joris Roos

< E

• • • • • • • •

æ

 $[[P(x,f(y))],[Q(x,y),\neg P(g(z),w)]]$

 $[[P(x,f(y))],[Q(x,y),\neg P(g(z),w)]]$

Substitute $x \mapsto g(z)$ and $w \mapsto f(y)$.

э

 $[[P(x, f(y))], [Q(x, y), \neg P(g(z), w)]]$

Substitute $x \mapsto g(z)$ and $w \mapsto f(y)$.

 $[[P(g(z), f(y))], [Q(g(z), y), \neg P(g(z), f(y))]$

э

 $[[P(x, f(y))], [Q(x, y), \neg P(g(z), w)]]$

Substitute $x \mapsto g(z)$ and $w \mapsto f(y)$.

 $[[P(g(z), f(y))], [Q(g(z), y), \neg P(g(z), f(y))]$

Then by resolution we may add the clause

Q(g(z), y)

 $[[P(x, f(y))], [Q(x, y), \neg P(g(z), w)]]$

Substitute $x \mapsto g(z)$ and $w \mapsto f(y)$.

 $[[P(g(z), f(y))], [Q(g(z), y), \neg P(g(z), f(y))]$

Then by resolution we may add the clause

Q(g(z), y)

(This is still a FOL formula with free variables!)

An instantiation σ is a map assigning a term to each variable symbol.

Image: A matrix and a matrix

æ

An *instantiation* σ is a map assigning a term to each variable symbol.

(By structural induction we can uniquely extend σ to a map on the set of terms which we also denote by σ .)

An *instantiation* σ is a map assigning a term to each variable symbol.

(By structural induction we can uniquely extend σ to a map on the set of terms which we also denote by σ .)

Definition

Let S be a set of pairs of terms. An instantiation σ is a *unifier* of S if

$$\sigma(s) = \sigma(t)$$

for all $(s, t) \in S$.

If σ, σ' are instantiations, we say that σ is more general than σ' if there exists an instantiation δ such that $\sigma' = \delta \circ \sigma$.

If σ, σ' are instantiations, we say that σ is more general than σ' if there exists an instantiation δ such that $\sigma' = \delta \circ \sigma$.

Definition

If σ, σ' are instantiations, we say that σ is more general than σ' if there exists an instantiation δ such that $\sigma' = \delta \circ \sigma$.

Definition

A unifier is called a *most general unifier* (MGU) if it is more general than every other unifier.

• A MGU is a unifier that is "as simple as possible".

If σ, σ' are instantiations, we say that σ is more general than σ' if there exists an instantiation δ such that $\sigma' = \delta \circ \sigma$.

Definition

- A MGU is a unifier that is "as simple as possible".
- If a unifier exists, then a MGU exists and there is an algorithm to compute it.

If σ, σ' are instantiations, we say that σ is more general than σ' if there exists an instantiation δ such that $\sigma' = \delta \circ \sigma$.

Definition

- A MGU is a unifier that is "as simple as possible".
- If a unifier exists, then a MGU exists and there is an algorithm to compute it.
- MGUs are not necessarily unique.

If σ, σ' are instantiations, we say that σ is more general than σ' if there exists an instantiation δ such that $\sigma' = \delta \circ \sigma$.

Definition

- A MGU is a unifier that is "as simple as possible".
- If a unifier exists, then a MGU exists and there is an algorithm to compute it.
- MGUs are not necessarily unique.

Example 1. Let $S = \{(x + 1, y)\}$

< E

æ

Example 1. Let $S = \{(x + 1, y)\}$ Then $\sigma : y \mapsto x + 1$ is a MGU.

э

Example 1. Let $S = \{(x + 1, y)\}$ Then $\sigma : y \mapsto x + 1$ is a MGU. $\sigma' : x \mapsto 1, y \mapsto 1 + 1$ is a unifier, but not a MGU. **Example 1.** Let $S = \{(x + 1, y)\}$ Then $\sigma : y \mapsto x + 1$ is a MGU. $\sigma' : x \mapsto 1, y \mapsto 1 + 1$ is a unifier, but not a MGU.

Example 2. Let $S = \{(x, f(x))\}$.

Example 1. Let $S = \{(x + 1, y)\}$ Then $\sigma : y \mapsto x + 1$ is a MGU. $\sigma' : x \mapsto 1, y \mapsto 1 + 1$ is a unifier, but not a MGU.

Example 2. Let $S = \{(x, f(x))\}$. Then S has no unifiers.

- We can use this to build an improved FOL theorem prover by combining unification with resolution.
- We keep forming (unified) resolvents of clauses until we derive the empty clause.

We keep forming (unified) resolvents of clauses until we derive the empty clause.

One can show that this always terminates if the original formula was not satisfiable.

We keep forming (unified) resolvents of clauses until we derive the empty clause.

One can show that this always terminates if the original formula was not satisfiable.

(Example on the board)

We keep forming (unified) resolvents of clauses until we derive the empty clause.

One can show that this always terminates if the original formula was not satisfiable.

(Example on the board)

- Tableaux
- Subsumption and replacement
- Linear resolution
- Model elimination
- • •

э



John Harrison. *Handbook of Practical Logic and Automated Reasoning.* (Cambridge, 2009)

Image: Image:

æ