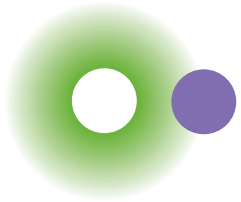


---

# Automated Theorem Proving

Peter Baumgartner



NICTA

`Peter.Baumgartner@nicta.com.au`

`http://users.rise.anu.edu.au/~baumgart/`

Slides partially based on material by Alexander Fuchs, Harald Ganzinger, John Slaney, Viorica Sofronie-Stockermans and Uwe Waldmann

# Purpose of This Lecture

---

## Overview of Automated Theorem Proving (ATP)

- Emphasis on automated proof methods for **first-order logic**
- More “breadth” than “depth”

## Standard techniques covered

- Normal forms of formulas
- Herbrand interpretations
- Resolution calculus, unification
- Instance-based methods
- Model computation
- Theory reasoning: Satisfiability Modulo Theories

---

## **Part 1: What is Automated Theorem Proving?**

# First-Order Theorem Proving in Relation to ...

---

... **Calculation**: Compute function value at given point:

Problem:  $2^2 = ?$        $3^2 = ?$        $4^2 = ?$

“Easy” (often polynomial)

... **Constraint Solving**: Given:

🟡 Problem:  $x^2 = a$  where  $x \in [1 \dots b]$   
( $x$  variable,  $a$ ,  $b$  parameters)

🟡 Instance:  $a = 16$ ,  $b = 10$

Find values for variables such that problem instance is satisfied

“Difficult” (often exponential, but restriction to **finite** domains)

**First-Order Theorem Proving**: Given:

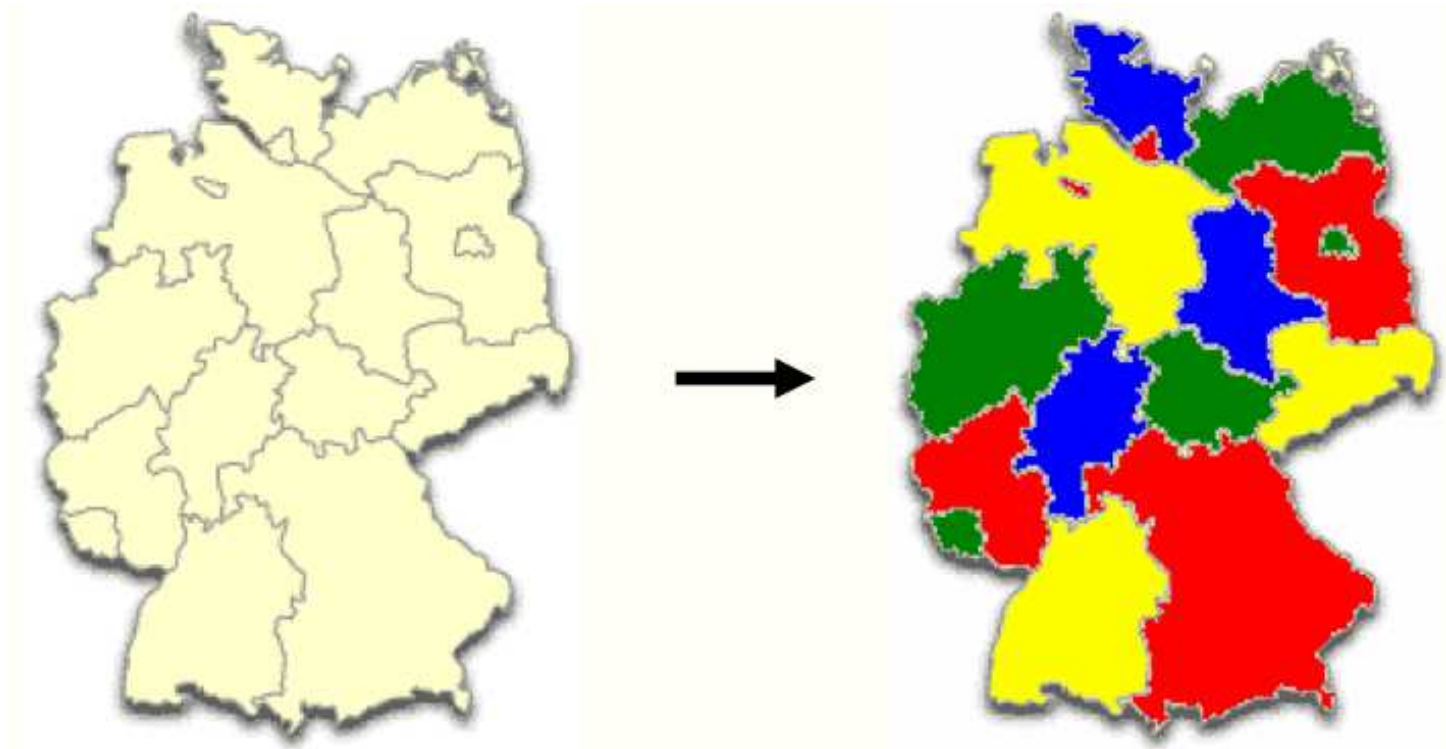
Problem:  $\exists x (x^2 = a \wedge x \in [1 \dots b])$

Is it satisfiable? unsatisfiable? valid?

“Very difficult” (often undecidable)

# Logical Analysis Example: Three Coloring Problem

---



**Problem:** Given a map. Can it be colored using only three colors, where neighbouring countries are colored differently?

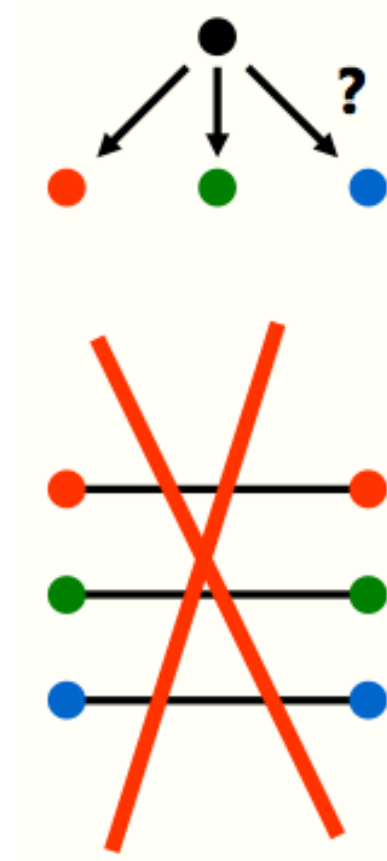
# Three Coloring Problem - Graph Theory Abstraction

---

Problem Instance



Problem Specification



The Rôle of Theorem Proving?

# Three Coloring Problem - Formalization

---

Every node has at least one color

$$\forall N (\text{red}(N) \vee \text{green}(N) \vee \text{blue}(N))$$

Every node has at most one color

$$\begin{aligned} \forall N ((\text{red}(N) \rightarrow \neg \text{green}(N)) \wedge \\ (\text{red}(N) \rightarrow \neg \text{blue}(N)) \wedge \\ (\text{blue}(N) \rightarrow \neg \text{green}(N))) \end{aligned}$$

Adjacent nodes have different color

$$\begin{aligned} \forall M, N (\text{edge}(M, N) \rightarrow (\neg(\text{red}(M) \wedge \text{red}(N)) \wedge \\ \neg(\text{green}(M) \wedge \text{green}(N)) \wedge \\ \neg(\text{blue}(M) \wedge \text{blue}(N)))) \end{aligned}$$

# Three Coloring Problem - Solving Problem Instances ...

---

... with a constraint solver:

Let constraint solver find value(s) for variable(s) such that problem instance is satisfied

<b>Here:</b>	Variables:	Colors of nodes in graph
	Values:	Red, green or blue
	Problem instance:	Specific graph to be colored

... with a theorem prover

Let the theorem prover prove that the three coloring formula (see previous slide) + specific graph (as a formula) is satisfiable

- To solve problem instances a constraint solver is usually much more efficient than a theorem prover (e.g. use a SAT solver)
- Theorem provers are not even guaranteed to terminate, in general

<b>Other tasks where theorem proving is more appropriate?</b>
---



# Three Coloring Problem: The Rôle of Theorem Proving

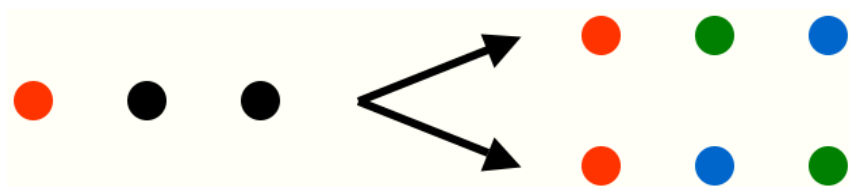
---

## Functional dependency

- Blue coloring depends functionally on the red and green coloring



- Blue coloring does not functionally depend on the red coloring



**Theorem proving:** Prove a formula is valid. Here:

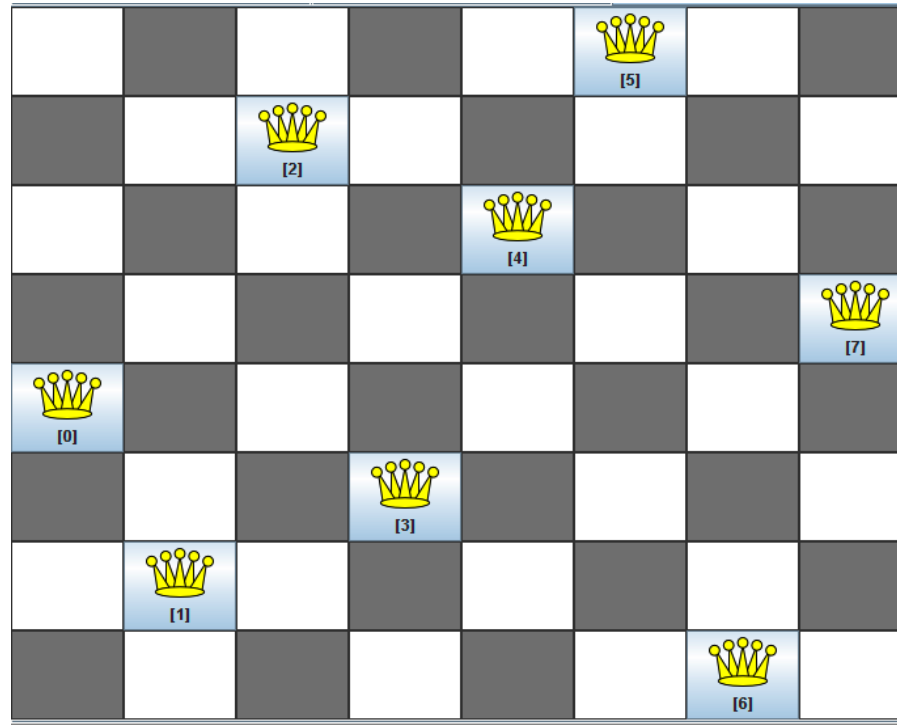
Is “the blue coloring is functionally dependent on the red/green and green coloring” (as a formula) valid, i.e. holds for all possible graphs?

I.e. analysis wrt. **all** instances  $\Rightarrow$  theorem proving is adequate

<b>Theorem Prover Demo</b>
----------------------------

## Another Example: Proving Symmetries

---



The n-queens problem has “variable symmetries”: mirroring preserves solutions.

Can add a constraint “queen on first row must be left of queen on last row”.

<b>Theorem Prover Demo</b>
----------------------------

---

## **Part 2: Methods in Automated Theorem Proving**

# How to Build a (First-Order) Theorem Prover

---

1. Fix an **input language** for formulas
2. Fix a **semantics** to define what the formulas mean  
Will be always “classical” here
3. Determine the desired **services** from the theorem prover  
(The questions we would like the prover be able to answer)
4. Design a **calculus** for the logic and the services  
Calculus: high-level description of the “logical analysis” algorithm  
This includes redundancy criteria for formulas and inferences
5. Prove the calculus is **correct** (sound and complete) wrt. the logic and the services, if possible
6. Design a **proof procedure** for the calculus
7. Implement the proof procedure (research topic of its own)

Go through the **red** issues in the rest of this talk

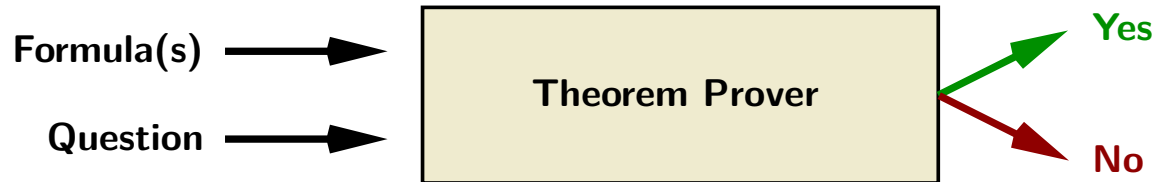
# How to Build a (First-Order) Theorem Prover

---

1. Fix an **input language** for formulas
2. Fix a **semantics** to define what the formulas mean  
Will be always “classical” here
3. Determine the desired **services** from the theorem prover  
(The questions we would like the prover be able to answer)
4. Design a **calculus** for the logic and the services  
Calculus: high-level description of the “logical analysis” algorithm  
This includes redundancy criteria for formulas and inferences
5. Prove the calculus is **correct** (sound and complete) wrt. the logic and the services, if possible
6. Design a **proof procedure** for the calculus
7. Implement the proof procedure (research topic of its own)

# Languages and Services — Propositional SAT

---



**Formula:** Propositional logic formula  $\phi$

**Question:** Is  $\phi$  satisfiable?

(Minimal model? Maximal consistent subsets? )

**Theorem Prover:** Based on BDD, **DPLL**, or stochastic local search

**Issue:** the formula  $\phi$  can be **BIG**

# DPLL as a Semantic Tree Method

---

$$(1) A \vee B \quad (2) C \vee \neg A \quad (3) D \vee \neg C \vee \neg A \quad (4) \neg D \vee \neg B$$

$\langle \text{empty tree} \rangle$

$$\{\} \not\models A \vee B$$

$$\{\} \models C \vee \neg A$$

$$\{\} \models D \vee \neg C \vee \neg A$$

$$\{\} \models \neg D \vee \neg B$$

- A Branch stands for an interpretation
- **Purpose of splitting:** satisfy a clause that is currently falsified
- Close branch if some clause is plainly falsified by it ( $\star$ )

# DPLL as a Semantic Tree Method

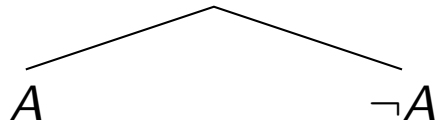
---

$$(1) A \vee B$$

$$(2) C \vee \neg A$$

$$(3) D \vee \neg C \vee \neg A$$

$$(4) \neg D \vee \neg B$$



$$\{A\} \models A \vee B$$

$$\{A\} \not\models C \vee \neg A$$

$$\{A\} \models D \vee \neg C \vee \neg A$$

$$\{A\} \models \neg D \vee \neg B$$

- A Branch stands for an interpretation
- **Purpose of splitting:** satisfy a clause that is currently falsified
- Close branch if some clause is plainly falsified by it (★)



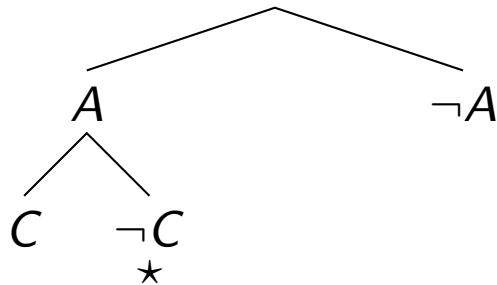
# DPLL as a Semantic Tree Method

(1)  $A \vee B$

(2)  $C \vee \neg A$

(3)  $D \vee \neg C \vee \neg A$

(4)  $\neg D \vee \neg B$



$\{A, C\} \models A \vee B$

$\{A, C\} \models C \vee \neg A$

$\{A, C\} \not\models D \vee \neg C \vee \neg A$

$\{A, C\} \models \neg D \vee \neg B$

- A Branch stands for an interpretation
- **Purpose of splitting:** satisfy a clause that is currently falsified
- Close branch if some clause is plainly falsified by it (★)

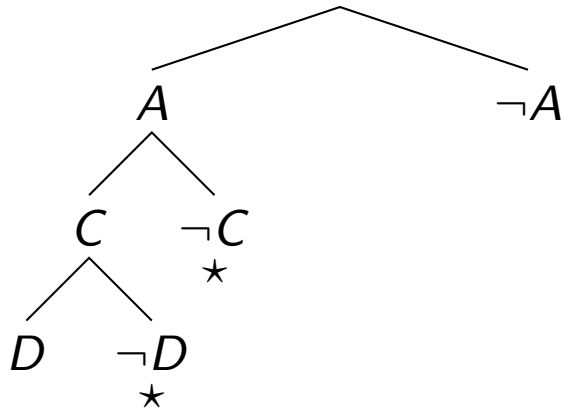
# DPLL as a Semantic Tree Method

(1)  $A \vee B$

(2)  $C \vee \neg A$

(3)  $D \vee \neg C \vee \neg A$

(4)  $\neg D \vee \neg B$



$\{A, C, D\} \models A \vee B$

$\{A, C, D\} \models C \vee \neg A$

$\{A, C, D\} \models D \vee \neg C \vee \neg A$

$\{A, C, D\} \models \neg D \vee \neg B$

Model  $\{A, C, D\}$  found.

- A Branch stands for an interpretation
- **Purpose of splitting:** satisfy a clause that is currently falsified
- Close branch if some clause is plainly falsified by it (★)

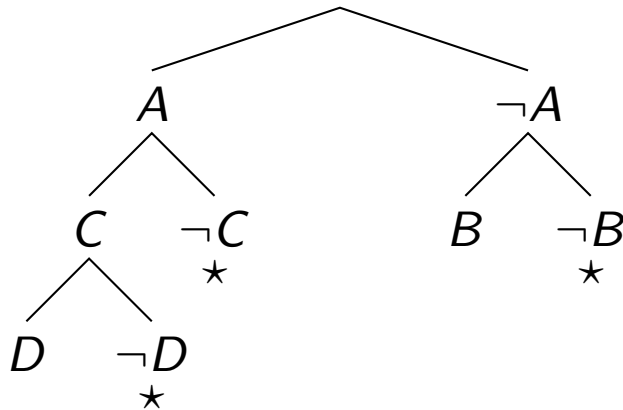
# DPLL as a Semantic Tree Method

(1)  $A \vee B$

(2)  $C \vee \neg A$

(3)  $D \vee \neg C \vee \neg A$

(4)  $\neg D \vee \neg B$



$\{B\} \models A \vee B$

$\{B\} \models C \vee \neg A$

$\{B\} \models D \vee \neg C \vee \neg A$

$\{B\} \models \neg D \vee \neg B$

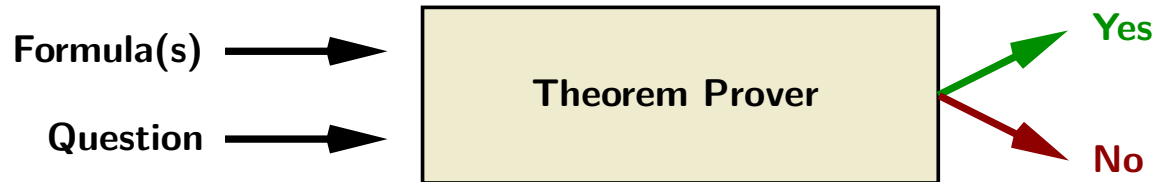
Model  $\{B\}$  found.

- A Branch stands for an interpretation
- **Purpose of splitting:** satisfy a clause that is currently falsified
- Close branch if some clause is plainly falsified by it (★)

DPLL is the basis of most efficient SAT solvers today

# Languages and Services — Description Logics

---



**Formula:** Description Logic TBox + ABox (restricted FOL)

**TBox:** Terminology

**ABox:** Assertions

$\text{Professor} \sqcap \exists \text{supervises} . \text{Student} \sqsubseteq \text{BusyPerson}$ $p : \text{Professor} \quad (p, s) : \text{supervises}$
---

**Question:** Is TBox + ABox satisfiable?

(Does  $C$  subsume  $D$ ?, Concept hierarchy?)

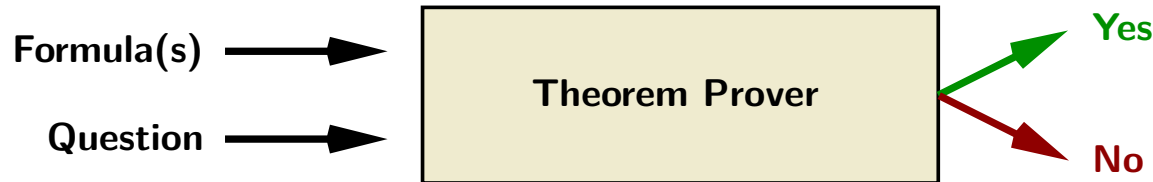
**Theorem Prover:** Tableaux algorithms (predominantly)

**Issue:** Push expressivity of DLs while preserving decidability

See overview lecture by Maurice Pagnucco on “Knowledge Representation and Reasoning”

# Languages and Services — Satisfiability Modulo Theories (SM)

---



**Formula:** Usually **variable-free** first-order logic formula  $\phi$   
Equality  $\doteq$ , combination of theories, free symbols

**Question:** Is  $\phi$  valid? (satisfiable? entailed by another formula?)

$$\models_{\text{NUL}} \forall l (c = 5 \rightarrow \text{car}(\text{cons}(3 + c, l)) \doteq 8)$$

**Theorem Prover:** DPLL(T), translation into SAT, first-order provers

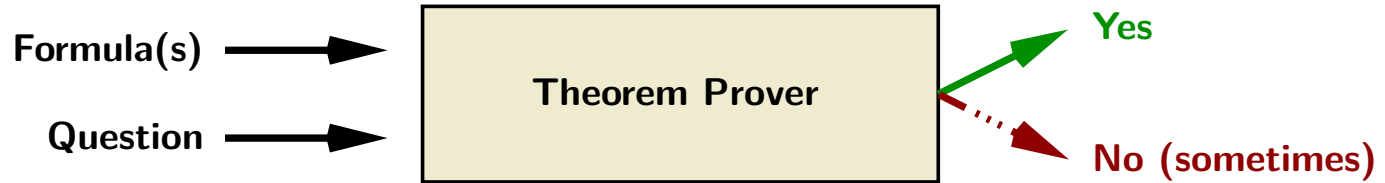
**Issue:** essentially undecidable for non-variable free fragment

$$P(0) \wedge (\forall x P(x) \rightarrow P(x + 1)) \models_{\mathbb{N}} \forall x P(x)$$

Design a “good” prover anyways (ongoing research)

# Languages and Services — “Full” First-Order Logic

---



**Formula:** First-order logic formula  $\phi$  (e.g. the three-coloring spec above)  
Usually with equality  $\doteq$

**Question:** Is  $\phi$  formula valid? (satisfiable?, entailed by another formula?)

**Theorem Prover:** Superposition (Resolution), Instance-based methods

## Issues

- Efficient treatment of equality
- Decision procedure for sub-languages or useful reductions?  
Can do e.g. DL reasoning? Model checking? Logic programming?
- Built-in inference rules for arrays, lists, arithmetics (still open research)

# How to Build a (First-Order) Theorem Prover

---

1. Fix an **input language** for formulas
2. Fix a **semantics** to define what the formulas mean  
Will be always “classical” here
3. Determine the desired **services** from the theorem prover  
(The questions we would like the prover be able to answer)
4. Design a **calculus** for the logic and the services  
Calculus: high-level description of the “logical analysis” algorithm  
This includes redundancy criteria for formulas and inferences
5. Prove the calculus is **correct** (sound and complete) wrt. the logic and the services, if possible
6. Design a **proof procedure** for the calculus
7. Implement the proof procedure (research topic of its own)

# Semantics

---

“The function  $f$  is continuous”, expressed in (first-order) predicate logic:

$$\forall \varepsilon (0 < \varepsilon \rightarrow \forall a \exists \delta (0 < \delta \wedge \forall x (|x - a| < \delta \rightarrow |f(x) - f(a)| < \varepsilon)))$$

## Underlying Language

Variables  $\varepsilon, a, \delta, x$

Function symbols  $0, | - |, - - -, f(-)$

Terms are well-formed expressions over variables and function symbols

Predicate symbols  $- < -, - = -$

Atoms are applications of predicate symbols to terms

Boolean connectives  $\wedge, \vee, \rightarrow, \neg$

Quantifiers  $\forall, \exists$

The function symbols and predicate symbols comprise a signature  $\Sigma$



# Semantics

---

“The function  $f$  is continuous”, expressed in (first-order) predicate logic:

$$\forall \varepsilon (0 < \varepsilon \rightarrow \forall a \exists \delta (0 < \delta \wedge \forall x (|x - a| < \delta \rightarrow |f(x) - f(a)| < \varepsilon)))$$

## “Meaning” of Language Elements – $\Sigma$ -Algebras

Universe (aka Domain): Set  $U$

Variables  $\mapsto$  values in  $U$  (mapping is called “assignment”)

Function symbols  $\mapsto$  (total) functions over  $U$

Predicate symbols  $\mapsto$  relations over  $U$

Boolean connectives  $\mapsto$  the usual boolean functions

Quantifiers  $\mapsto$  “for all ... holds”, “there is a ..., such that”

Terms  $\mapsto$  values in  $U$

Formulas  $\mapsto$  Boolean (Truth-) values

# Semantics - $\Sigma$ -Algebra Example

---

Let  $\Sigma_{PA}$  be the standard signature of Peano Arithmetic

The standard interpretation  $\mathbb{N}$  for Peano Arithmetic then is:

$$U_{\mathbb{N}} = \{0, 1, 2, \dots\}$$

$$0_{\mathbb{N}} = 0$$

$$s_{\mathbb{N}} : n \mapsto n + 1$$

$$+_{\mathbb{N}} : (n, m) \mapsto n + m$$

$$*_{\mathbb{N}} : (n, m) \mapsto n * m$$

$$\leq_{\mathbb{N}} = \{(n, m) \mid n \text{ less than or equal to } m\}$$

$$<_{\mathbb{N}} = \{(n, m) \mid n \text{ less than } m\}$$

Note that  $\mathbb{N}$  is just one out of **many possible**  $\Sigma_{PA}$ -interpretations

# Semantics - $\Sigma$ -Algebra Example

---

## Evaluation of terms and formulas

Under the interpretation  $\mathbb{N}$  and the assignment  $\beta : x \mapsto 1, y \mapsto 3$  we obtain

$$(\mathbb{N}, \beta)(s(x) + s(0)) = 3$$

$$(\mathbb{N}, \beta)(x + y \doteq s(y)) = \text{True}$$

$$(\mathbb{N}, \beta)(\forall z \, z \leq y) = \text{False}$$

$$(\mathbb{N}, \beta)(\forall x \exists y \, x < y) = \text{True}$$

$$\mathbb{N}(\forall x \exists y \, x < y) = \text{True} \quad (\text{Short notation when } \beta \text{ irrelevant})$$

## Important Basic Notion: Model

If  $\phi$  is a closed formula, then, instead of  $I(\phi) = \text{True}$  one writes

$$I \models \phi \quad (\text{"}I \text{ is a model of } \phi\text{"})$$

E.g.  $\mathbb{N} \models \forall x \exists y \, x < y$

**Standard reasoning services can now be expressed semantically**

# Services Semantically

---

E.g. “entailment”:

Axioms over  $\mathbb{R} \wedge \text{continuous}(f) \wedge \text{continuous}(g) \models \text{continuous}(f + g) ?$

## Services

**Model( $I, \phi$ ):**  $I \models \phi ?$  (Is  $I$  a model for  $\phi$ ?)

**Validity( $\phi$ ):**  $\models \phi ?$  ( $I \models \phi$  for every interpretation?)

**Satisfiability( $\phi$ ):**  $\phi$  satisfiable? ( $I \models \phi$  for some interpretation?)

**Entailment( $\phi, \psi$ ):**  $\phi \models \psi ?$  (does  $\phi$  entail  $\psi$ ?, i.e.  
for every interpretation  $I$ : if  $I \models \phi$  then  $I \models \psi$ ?)

**Solve( $I, \phi$ ):** find an assignment  $\beta$  such that  $I, \beta \models \phi$

**Solve( $\phi$ ):** find an interpretation and assignment  $\beta$  such that  $I, \beta \models \phi$

Additional complication: fix interpretation of some symbols (as in  $\mathbb{N}$  above)

**What if theorem prover’s native service is only “Is  $\phi$   
unsatisfiable?” ?**

# Semantics - Reduction to Unsatisfiability

---

- Suppose we want to prove an entailment  $\phi \models \psi$
- Equivalently, prove  $\models \phi \rightarrow \psi$ , i.e. that  $\phi \rightarrow \psi$  is valid
- Equivalently, prove that  $\neg(\phi \rightarrow \psi)$  is not satisfiable (unsatisfiable)
- Equivalently, prove that  $\phi \wedge \neg\psi$  is unsatisfiable

**Basis for (predominant) refutational theorem proving**

Dual problem, much harder: to disprove an entailment  $\phi \models \psi$  find a model of  $\phi \wedge \neg\psi$

**One motivation for (finite) model generation procedures**

# How to Build a (First-Order) Theorem Prover

---

1. Fix an **input language** for formulas
2. Fix a **semantics** to define what the formulas mean  
Will be always “classical” here
3. Determine the desired **services** from the theorem prover  
(The questions we would like the prover be able to answer)
4. Design a **calculus** for the logic and the services  
Calculus: high-level description of the “logical analysis” algorithm  
This includes redundancy criteria for formulas and inferences
5. Prove the calculus is **correct** (sound and complete) wrt. the logic and the services, if possible
6. Design a **proof procedure** for the calculus
7. Implement the proof procedure (research topic of its own)

# Calculus - Normal Forms

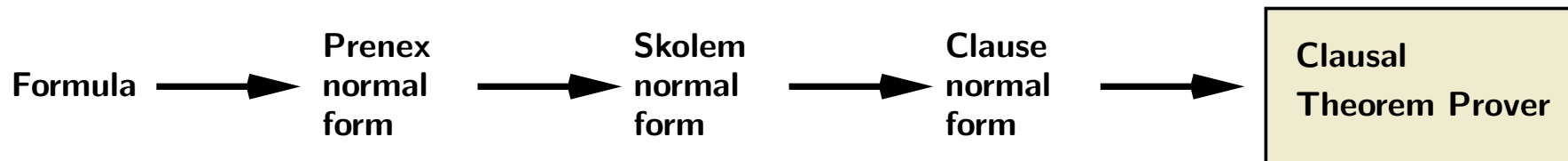
---

Most first-order theorem provers take formulas in **clause normal form**

## Why Normal Forms?

- Reduction of logical concepts (operators, quantifiers)
- Reduction of syntactical structure (nesting of subformulas)
- Can be exploited for efficient data structures and control

## Translation into Clause Normal Form



**Prop:** the given formula and its clause normal form are equi-satisfiable

# Prenex Normal Form

---

**Prenex formulas** have the form

$$Q_1 x_1 \dots Q_n x_n F,$$

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

Computing prenex normal form by the rewrite relation  $\Rightarrow_P$ :

$$(F \leftrightarrow G) \Rightarrow_P (F \rightarrow G) \wedge (G \rightarrow F)$$

$$\neg Q x F \Rightarrow_P \overline{Q} x \neg F \quad (\neg Q)$$

$$(Q x F \rho G) \Rightarrow_P Q y (F[y/x] \rho G), \text{ } y \text{ fresh, } \rho \in \{\wedge, \vee\}$$

$$(Q x F \rightarrow G) \Rightarrow_P \overline{Q} y (F[y/x] \rightarrow G), \text{ } y \text{ fresh}$$

$$(F \rho Q x G) \Rightarrow_P Q y (F \rho G[y/x]), \text{ } y \text{ fresh, } \rho \in \{\wedge, \vee, \rightarrow\}$$

Here  $\overline{Q}$  denotes the quantifier **dual** to  $Q$ , i.e.,  $\overline{\forall} = \exists$  and  $\overline{\exists} = \forall$ .



## In the Example

---

$$\forall \varepsilon (0 < \varepsilon \rightarrow \forall a \exists \delta (0 < \delta \wedge \forall x (|x - a| < \delta \rightarrow |f(x) - f(a)| < \varepsilon)))$$

$$\Rightarrow_P$$

$$\forall \varepsilon \forall a (0 < \varepsilon \rightarrow \exists \delta (0 < \delta \wedge \forall x (|x - a| < \delta \rightarrow |f(x) - f(a)| < \varepsilon)))$$

$$\Rightarrow_P$$

$$\forall \varepsilon \forall a \exists \delta (0 < \varepsilon \rightarrow 0 < \delta \wedge \forall x (|x - a| < \delta \rightarrow |f(x) - f(a)| < \varepsilon))$$

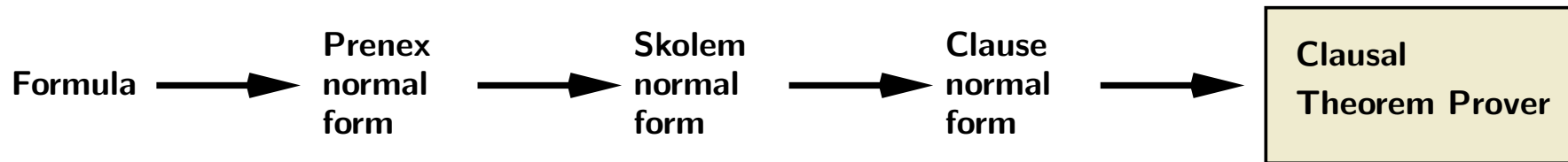
$$\Rightarrow_P$$

$$\forall \varepsilon \forall a \exists \delta (0 < \varepsilon \rightarrow \forall x (0 < \delta \wedge |x - a| < \delta \rightarrow |f(x) - f(a)| < \varepsilon))$$

$$\Rightarrow_P$$

$$\forall \varepsilon \forall a \exists \delta \forall x (0 < \varepsilon \rightarrow (0 < \delta \wedge (|x - a| < \delta \rightarrow |f(x) - f(a)| < \varepsilon)))$$

# Skolem Normal Form



**Intuition:** replacement of  $\exists y$  by a concrete choice function computing  $y$  from all the arguments  $y$  depends on.

Transformation  $\Rightarrow_S$

$$\forall x_1, \dots, x_n \exists y F \Rightarrow_S \forall x_1, \dots, x_n F[f(x_1, \dots, x_n)/y]$$

where  $f/n$  is a new function symbol (**Skolem function**).

## In the Example

$$\forall \varepsilon \forall a \exists \delta \forall x (0 < \varepsilon \rightarrow 0 < \delta \wedge (|x - a| < \delta \rightarrow |f(x) - f(a)| < \varepsilon))$$

$$\Rightarrow_S$$

$$\forall \varepsilon \forall a \forall x (0 < \varepsilon \rightarrow 0 < d(\varepsilon, a) \wedge (|x - a| < d(\varepsilon, a) \rightarrow |f(x) - f(a)| < \varepsilon))$$

# Clausal Normal Form (Conjunctive Normal Form)

---

Rules to convert the matrix of the formula in Skolem normal form into a conjunction of disjunctions:

$$\begin{array}{ll} (F \leftrightarrow G) & \Rightarrow_K (F \rightarrow G) \wedge (G \rightarrow F) \\ (F \rightarrow G) & \Rightarrow_K (\neg F \vee G) \\ \neg(F \vee G) & \Rightarrow_K (\neg F \wedge \neg G) \\ \neg(F \wedge G) & \Rightarrow_K (\neg F \vee \neg G) \\ \neg\neg F & \Rightarrow_K F \\ (F \wedge G) \vee H & \Rightarrow_K (F \vee H) \wedge (G \vee H) \\ (F \wedge \top) & \Rightarrow_K F \\ (F \wedge \perp) & \Rightarrow_K \perp \\ (F \vee \top) & \Rightarrow_K \top \\ (F \vee \perp) & \Rightarrow_K F \end{array}$$

They are to be applied modulo associativity and commutativity of  $\wedge$  and  $\vee$

## In the Example

---

$$\forall \varepsilon \forall a \forall x (0 < \varepsilon \rightarrow 0 < d(\varepsilon, a) \wedge (|x - a| < d(\varepsilon, a) \rightarrow |f(x) - f(a)| < \varepsilon))$$

$$\Rightarrow_K$$

$$0 < d(\varepsilon, a) \vee \neg(0 < \varepsilon)$$

$$\neg(|x - a| < d(\varepsilon, a)) \vee |f(x) - f(a)| < \varepsilon \vee \neg(0 < \varepsilon)$$

**Note:** The universal quantifiers for the variables  $\varepsilon$ ,  $a$  and  $x$ , as well as the conjunction symbol  $\wedge$  between the clauses are not written, for convenience

# The Complete Picture

---

$$F \Rightarrow_P^* Q_1 y_1 \dots Q_n y_n G \quad (G \text{ quantifier-free})$$

$$\Rightarrow_S^* \forall x_1, \dots, x_m H \quad (m \leq n, H \text{ quantifier-free})$$

$$\Rightarrow_K^* \underbrace{\underbrace{\forall x_1, \dots, x_m}_{\text{leave out}} \bigwedge_{i=1}^k \underbrace{\bigvee_{j=1}^{n_i} L_{ij}}_{\text{clauses } C_i}}_{F'}$$

$N = \{C_1, \dots, C_k\}$  is called the **clausal (normal) form** (CNF) of  $F$

**Note:** the variables in the clauses are implicitly universally quantified

**Instead of showing that  $F$  is unsatisfiable, the proof problem from now is to show that  $N$  is unsatisfiable**

Can do better than “searching through all interpretations”

**Theorem:**  $N$  is satisfiable iff it has a Herbrand model

# Herbrand Interpretations

---

A **Herbrand interpretation** (over a given signature  $\Sigma$ ) is a  $\Sigma$ -algebra  $\mathcal{A}$  such that

- The universe is the set  $T_\Sigma$  of ground terms over  $\Sigma$  (a **ground term** is a term without any variables ):

$$U_{\mathcal{A}} = T_\Sigma$$

- Every function symbol from  $\Sigma$  is “mapped to itself”:

$$f_{\mathcal{A}} : (s_1, \dots, s_n) \mapsto f(s_1, \dots, s_n), \text{ where } f \text{ is } n\text{-ary function symbol in } \Sigma$$

## Example

- $\Sigma_{Pres} = (\{0/0, s/1, +/2\}, \{</2, \leq/2\})$



$$U_{\mathcal{A}} = \{0, s(0), s(s(0)), \dots, 0 + 0, s(0) + 0, \dots, s(0 + 0), s(s(0) + 0), \dots\}$$

- $0 \mapsto 0, s(0) \mapsto s(0), s(s(0)) \mapsto s(s(0)), \dots, 0 + 0 \mapsto 0 + 0, \dots$

# Herbrand Interpretations

---

Only interpretations  $p_{\mathcal{A}}$  of predicate symbols  $p \in \Sigma$  is undetermined in a Herbrand interpretation

- $p_{\mathcal{A}}$  represented as the set of ground atoms

$$\{p(s_1, \dots, s_n) \mid (s_1, \dots, s_n) \in p_{\mathcal{A}} \text{ where } p \in \Sigma \text{ is } n\text{-ary predicate symbol}\}$$

- Whole interpretation represented as  $\bigcup_{p \in \Sigma} p_{\mathcal{A}}$

## Example

- $\Sigma_{Pres} = (\{0/0, s/1, +/2\}, \{</2, \leq/2\})$  (from above)

- $\mathbb{N}$  as Herbrand interpretation over  $\Sigma_{Pres}$

$$I = \{ \begin{array}{l} 0 \leq 0, 0 \leq s(0), 0 \leq s(s(0)), \dots, \\ 0 + 0 \leq 0, 0 + 0 \leq s(0), \dots, \\ \dots, (s(0) + 0) + s(0) \leq s(0) + (s(0) + s(0)), \dots \end{array} \}$$

# Herbrand's Theorem

---

## Proposition

A Skolem normal form  $\forall\phi$  is unsatisfiable iff it has no Herbrand model

## Theorem (Skolem-Herbrand-Theorem)

$\forall\phi$  has no Herbrand model iff some finite set of ground instances  $\{\phi\gamma_1, \dots, \phi\gamma_n\}$  is unsatisfiable

Applied to clause logic:

## Theorem (Skolem-Herbrand-Theorem)

A set  $N$  of  $\Sigma$ -clauses is unsatisfiable iff some finite set of ground instances of clauses from  $N$  is unsatisfiable

Leads immediately to theorem prover “Gilmore’s Method”
--



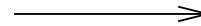
# Gilmore's Method - Based on Herbrand's Theorem

---

**Preprocessing:**

Given Formula

$$\forall x \exists y P(y, x) \\ \wedge \forall z \neg P(z, a)$$



Clause Form

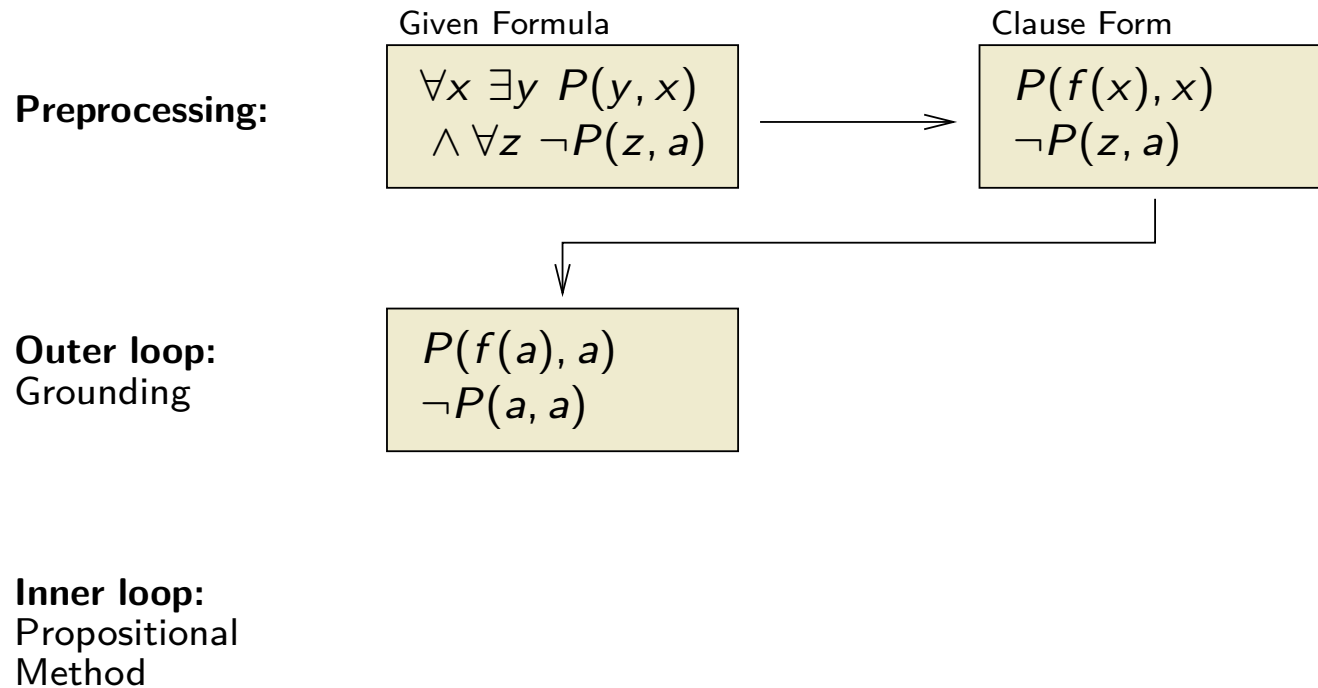
$$P(f(x), x) \\ \neg P(z, a)$$

**Outer loop:**  
Grounding

**Inner loop:**  
Propositional  
Method

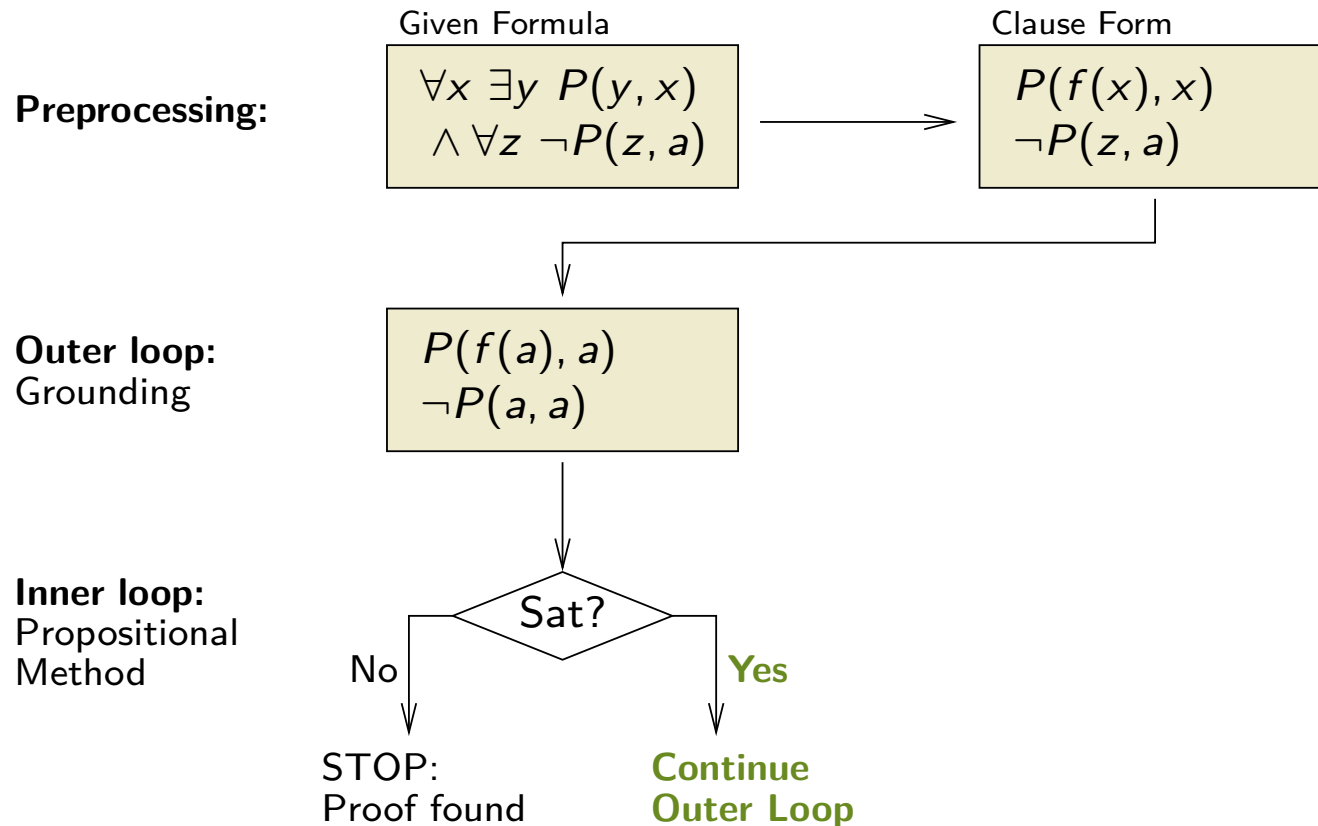
# Gilmore's Method - Based on Herbrand's Theorem

---



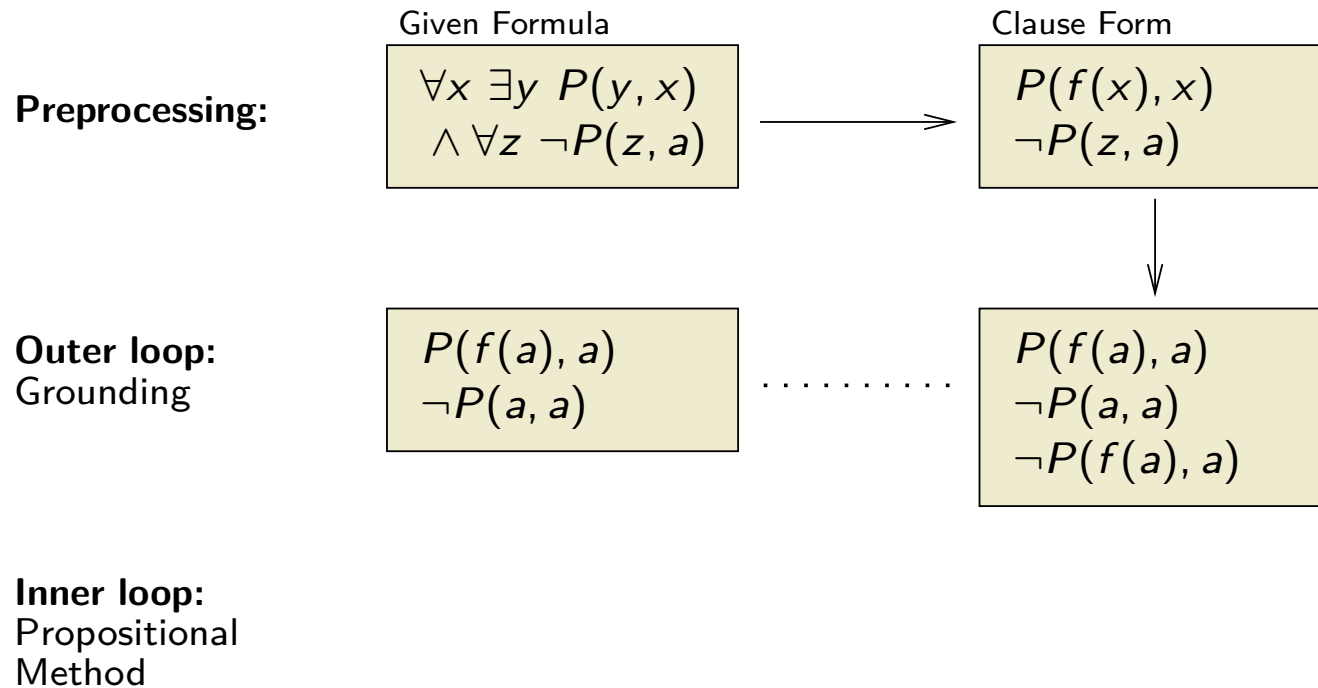
# Gilmore's Method - Based on Herbrand's Theorem

---

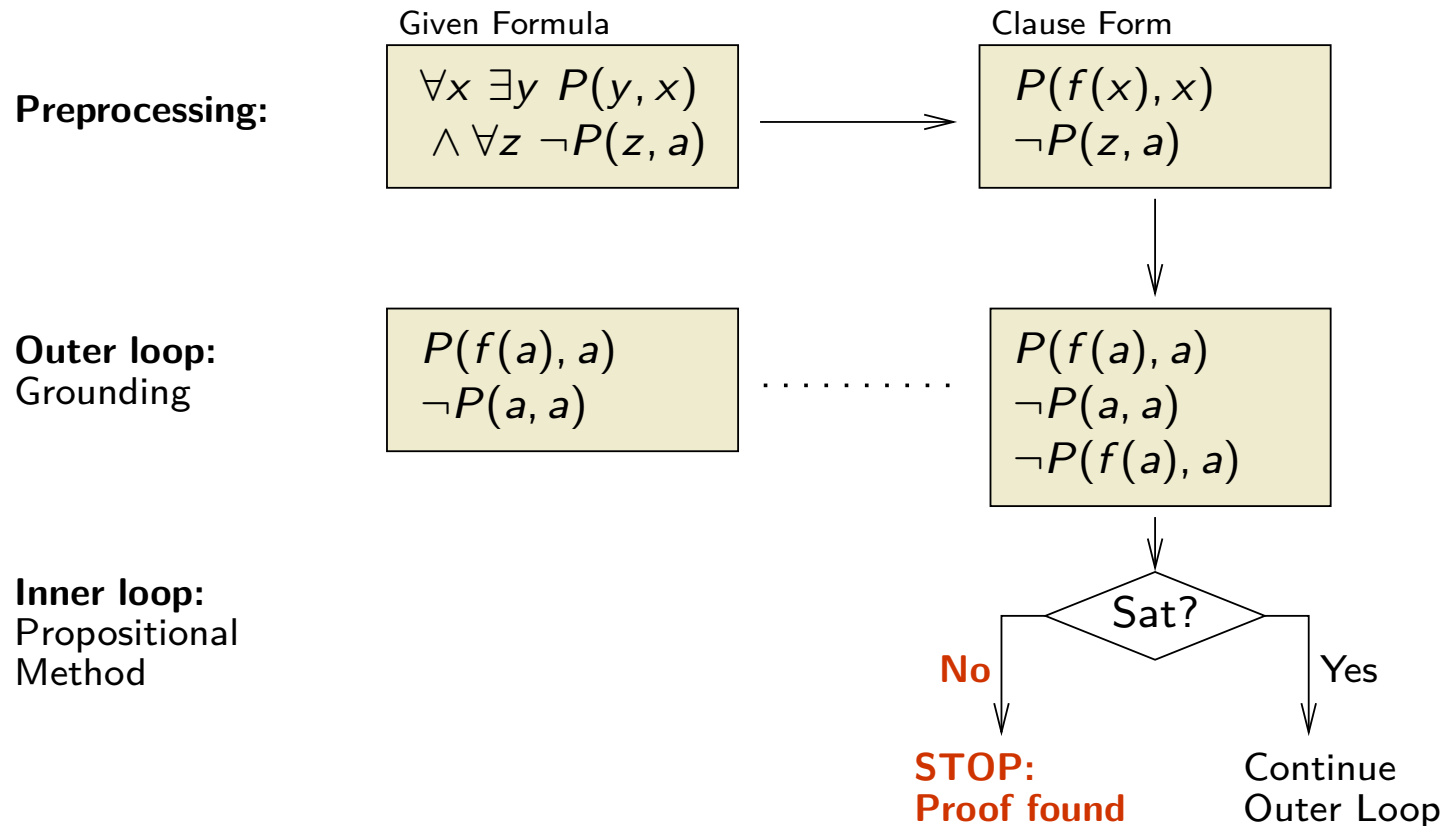


# Gilmore's Method - Based on Herbrand's Theorem

---



# Gilmore's Method - Based on Herbrand's Theorem



# Calculi for First-Order Logic Theorem Proving

---

- Gilmore's method reduces proof search in first-order logic to propositional logic unsatisfiability problems
  - Main problem is the unguided generation of (very many) ground clauses
  - All modern calculi address this problem in one way or another, e.g.
    - **Guidance:** Instance-Based Methods are similar to Gilmore's method but generate ground instances in a guided way
    - **Avoidance:** Resolution calculi need not generate the ground instances at all
- Resolution inferences operate directly on clauses, not on their ground instances

**Next: propositional Resolution, lifting, first-order Resolution**

# The Propositional Resolution Calculus *Res*

---

Modern versions of the first-order version of the resolution calculus [Robinson 1965] are (still) the most important calculi for FOTP today.

**Propositional resolution inference rule:**

$$\frac{C \vee A \quad \neg A \vee D}{C \vee D}$$

Terminology:  $C \vee D$ : **resolvent**;  $A$ : **resolved atom**

**Propositional (positive) factorisation inference rule:**

$$\frac{C \vee A \vee A}{C \vee A}$$

These are **schematic inference rules**:

$C$  and  $D$  – propositional clauses

$A$  – propositional atom

“ $\vee$ ” is considered associative and commutative

## Sample Proof

---

1.  $\neg A \vee \neg A \vee B$  (given)
2.  $A \vee B$  (given)
3.  $\neg C \vee \neg B$  (given)
4.  $C$  (given)
5.  $\neg A \vee B \vee B$  (Res. 2. into 1.)
6.  $\neg A \vee B$  (Fact. 5.)
7.  $B \vee B$  (Res. 2. into 6.)
8.  $B$  (Fact. 7.)
9.  $\neg C$  (Res. 8. into 3.)
10.  $\perp$  (Res. 4. into 9.)



# Soundness of Propositional Resolution

---

## Proposition

Propositional resolution is sound

## Proof:

Let  $I \in \Sigma\text{-Alg}$ . To be shown:

1. for resolution:  $I \models C \vee A, I \models D \vee \neg A \Rightarrow I \models C \vee D$
2. for factorization:  $I \models C \vee A \vee A \Rightarrow I \models C \vee A$

Ad (i): Assume premises are valid in  $I$ . Two cases need to be considered:

(a)  $A$  is valid in  $I$ , or (b)  $\neg A$  is valid in  $I$ .

- a)  $I \models A \Rightarrow I \models D \Rightarrow I \models C \vee D$
- b)  $I \models \neg A \Rightarrow I \models C \Rightarrow I \models C \vee D$

Ad (ii): even simpler

# Completeness of Propositional Resolution

---

## Theorem:

Propositional Resolution is refutationally complete

- That is, if a propositional clause set is unsatisfiable, then Resolution will derive the empty clause  $\perp$  eventually
- More precisely: If a clause set is unsatisfiable and closed under the application of the Resolution and Factorization inference rules, then it contains the empty clause  $\perp$
- Perhaps easiest proof: semantic tree proof technique (see blackboard)
- This result can be considerably strengthened, some strengthenings come for free from the proof

<b>Propositional resolution is not suitable for first-order clause sets</b>
---

# Lifting Propositional Resolution to First-Order Resolution

## Propositional resolution

Clauses	Ground instances
$P(f(x), y)$	$\{P(f(a), a), \dots, P(f(f(a)), f(f(a))), \dots\}$
$\neg P(z, z)$	$\{\neg P(a), \dots, \neg P(f(f(a)), f(f(a))), \dots\}$

**Only** common instances of  $P(f(x), y)$  and  $P(z, z)$  give rise to inference:

$$\frac{P(f(f(a)), f(f(a))) \quad \neg P(f(f(a)), f(f(a)))}{\perp}$$

## Unification

**All** common instances of  $P(f(x), y)$  and  $P(z, z)$  are instances of  $P(f(x), f(x))$   
 $P(f(x), f(x))$  is computed deterministically by **unification**

## First-order resolution

$$\frac{P(f(x), y) \quad \neg P(z, z)}{\perp}$$

Justified by existence of  $P(f(x), f(x))$

**Can represent infinitely many propositional resolution inferences**

# Substitutions and Unifiers

---

- A **substitution**  $\sigma$  is a mapping from variables to terms which is the identity almost everywhere

Example:  $\sigma = [y \mapsto f(x), z \mapsto f(x)]$

- A substitution can be **applied** to a term or atom  $t$ , written as  $t\sigma$

Example, where  $\sigma$  is from above:  $P(f(x), y)\sigma = P(f(x), f(x))$

- A substitution  $\gamma$  is a **unifier** of  $s$  and  $t$  iff  $s\gamma = t\gamma$

Example:  $\gamma = [x \mapsto a, y \mapsto f(a), z \mapsto f(a)]$  is a unifier of  $P(f(x), y)$  and  $P(z, z)$

- A unifier  $\sigma$  of  $s$  is **most general** iff for every unifier  $\gamma$  of  $s$  and  $t$  there is a substitution  $\delta$  such that  $\gamma = \sigma \circ \delta$ ; notation:  $\sigma = \text{mgu}(s, t)$

Example:  $\sigma = [y \mapsto f(x), z \mapsto f(x)] = \text{mgu}(P(f(x), y), P(z, z))$

There are (linear) algorithms to compute mgu's or return "fail"

# Resolution for First-Order Clauses

---

$$\frac{C \vee A \quad D \vee \neg B}{(C \vee D)\sigma} \quad \text{if } \sigma = \text{mgu}(A, B) \quad [\text{resolution}]$$

$$\frac{C \vee A \vee B}{(C \vee A)\sigma} \quad \text{if } \sigma = \text{mgu}(A, B) \quad [\text{factorization}]$$

In both cases,  $A$  and  $B$  have to be renamed apart (made variable disjoint).

## Example

$$\frac{Q(z) \vee P(z, z) \quad \neg P(x, y)}{Q(x)} \quad \text{where } \sigma = [z \mapsto x, y \mapsto x] \quad [\text{resolution}]$$

$$\frac{Q(z) \vee P(z, a) \vee P(a, y)}{Q(a) \vee P(a, a)} \quad \text{where } \sigma = [z \mapsto a, y \mapsto a] \quad [\text{factorization}]$$

# Completeness of First-Order Resolution

---

**Theorem:** Resolution is **refutationally complete**

- That is, if a clause set is unsatisfiable, then Resolution will derive the empty clause  $\perp$  eventually
- More precisely: If a clause set is unsatisfiable and closed under the application of the Resolution and Factorization inference rules, then it contains the empty clause  $\perp$
- Perhaps easiest proof: Herbrand Theorem + completeness of propositional resolution + Lifting Theorem (see blackboard)

**Lifting Theorem:** the conclusion of any propositional inference on ground instances of first-order clauses can be obtained by instantiating the conclusion of a first-order inference on the first-order clauses

- Closure can be achieved by the “Given Clause Loop”

# The “Given Clause Loop”

---

As used in the Otter theorem prover:

Lists of clauses maintained by the algorithm: usable and sos.

Initialize sos with the input clauses, usable empty.

**Algorithm** (straight from the Otter manual):

While (sos is not empty and no refutation has been found)

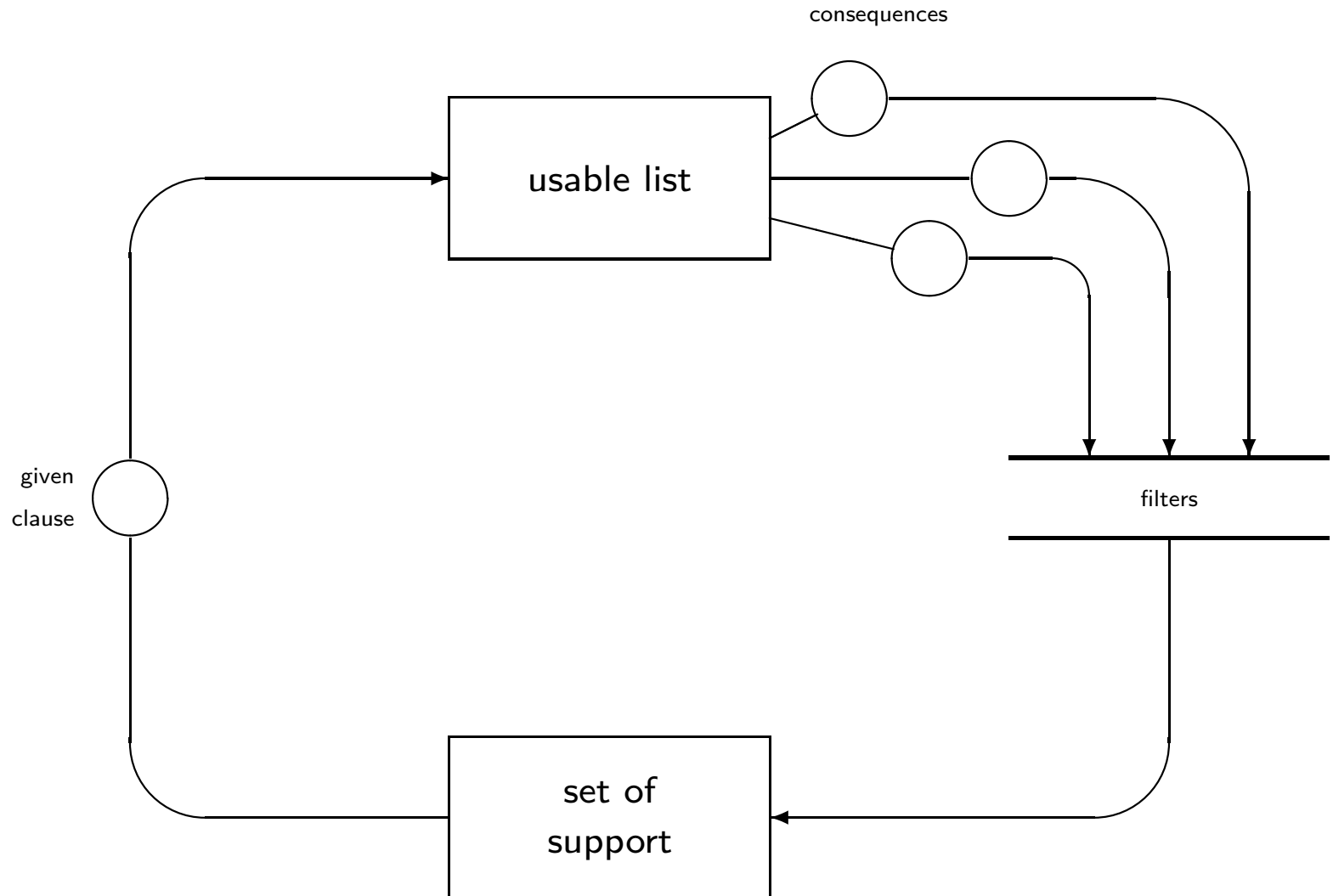
1. Let given\_clause be the ‘lightest’ clause in sos;
2. Move given\_clause from sos to usable;
3. Infer and process new clauses using the inference rules in effect; each new clause must have the given\_clause as one of its parents and members of usable as its other parents; new clauses that pass the retention tests are appended to sos;

End of while loop.

**Fairness:** define clause weight e.g. as “depth + length” of clause.

# The “Given Clause Loop” - Graphically

---





# Calculi for First-Order Logic Theorem Proving

---

Recall:

- Gilmore's method reduces proof search in first-order logic to propositional logic unsatisfiability problems
- Main problem is the unguided generation of (very many) ground clauses
- All modern calculi address this problem in one way or another, e.g.
  - **Guidance:** Instance-Based Methods are similar to Gilmore's method but generate ground instances in a guided way
  - **Avoidance:** Resolution calculi need not generate the ground instances at all

Resolution inferences operate directly on clauses, not on their ground instances

<b>Next: Instance-Based Method “Inst-Gen”</b>
---

**Idea:** “semantic” guidance: add only instances that are falsified by a “candidate model”

Eventually, all repairs will be made or there is no more candidate model

**Important notation:**  $\perp$  denotes both a unique constant and a substitution that maps every variable to  $\perp$

Example ( $S$  is “current clause set”):

$$S : \quad P(x, y) \vee P(y, x) \\ \quad \neg P(x, x)$$

$$S\perp : \quad P(\perp, \perp) \vee P(\perp, \perp) \\ \quad \neg P(\perp, \perp)$$

Analyze  $S\perp$ :

Case 1: SAT detects unsatisfiability of  $S\perp$

Then Conclude  $S$  is unsatisfiable

**But what if  $S\perp$  is satisfied by some model, denoted by  $I_\perp$ ?**

**Main idea:** associate to model  $I_{\perp}$  of  $S_{\perp}$  a **candidate model**  $I_S$  of  $S$ .

**Calculus goal:** add instances to  $S$  so that  $I_S$  becomes a model of  $S$

Example:

$$\begin{array}{ll} S : & \frac{P(x) \vee Q(x)}{\neg P(a)} \\ S_{\perp} : & \frac{P(\perp) \vee Q(\perp)}{\neg P(a)} \end{array}$$

Analyze  $S_{\perp}$ :

Case 2: SAT detects model  $I_{\perp} = \{P(\perp), \neg P(a)\}$  of  $S_{\perp}$

Case 2.1: candidate model  $I_S = \{\neg P(a)\}$  derived from  
literals selected in  $S$  by  $I_{\perp}$  is not a model of  $S$

**Add “problematic” instance  $P(a) \vee Q(a)$  to  $S$  to refine  $I_S$**

Clause set after adding  $P(a) \vee Q(a)$

$$S : \begin{array}{c} \underline{P(x)} \vee Q(x) \\ P(a) \vee \underline{Q(a)} \\ \underline{\neg P(a)} \end{array}$$

$$S_{\perp} : \begin{array}{c} \underline{P(\perp)} \vee Q(\perp) \\ P(a) \vee \underline{Q(a)} \\ \underline{\neg P(a)} \end{array}$$

Analyze  $S_{\perp}$ :

Case 2: SAT detects model  $I_{\perp} = \{P(\perp), Q(a), \neg P(a)\}$  of  $S_{\perp}$

Case 2.2: candidate model  $I_S = \{Q(a), \neg P(a)\}$  derived from  
literals selected in  $S$  by  $I_{\perp}$  **is** a model of  $S$

Then conclude  $S$  is satisfiable

**How to derive candidate model  $I_S$ ?**

# Inst-Gen - Model Construction

---

It provides (partial) interpretation for  $S_{\text{ground}}$  for given clause set  $S$

$$\begin{array}{ll} S : & \begin{array}{l} \underline{P(x)} \vee Q(x) \\ P(a) \vee \underline{Q(a)} \\ \underline{\neg P(a)} \end{array} & \Sigma = \{a, b\}, S_{\text{ground}} : & \begin{array}{l} \underline{P(b)} \vee Q(b) \\ P(a) \vee \underline{Q(a)} \\ \underline{\neg P(a)} \end{array} \end{array}$$

- For each  $C_{\text{ground}} \in S_{\text{ground}}$  find most specific  $C \in S$  that can be instantiated to  $C_{\text{ground}}$
- Select literal in  $C_{\text{ground}}$  corresponding to selected literal in that  $C$
- Add selected literal of that  $C_{\text{ground}}$  to  $I_S$  if not in conflict with  $I_S$

Thus,  $I_S = \{P(b), Q(a), \neg P(a)\}$

# Model Generation

---

Scenario: no “theorem” to prove, or disprove a “theorem”

A model provides further information then

## Why compute models?

**Planning:** Can be formalised as propositional satisfiability problem.

[Kautz& Selman, AAAI96; Dimopolous et al, ECP97]

**Diagnosis:** Minimal models of *abnormal* literals (circumscription). [Reiter, AI87]

**Databases:** View materialisation, View Updates, Integrity Constraints.

**Nonmonotonic reasoning:** Various semantics (GCWA, Well-founded, Perfect, Stable, . . . ), all based on minimal models. [Inoue et al, CADE 92]

**Software Verification:** Counterexamples to conjectured theorems.

**Theorem proving:** Counterexamples to conjectured theorems.

Finite models of quasigroups, (MGTP/G). [Fujita et al, IJCAI 93]

# Model Generation

---

## Why compute models (cont'd)?

### Natural Language Processing:

- Maintain models  $\mathcal{I}_1, \dots, \mathcal{I}_n$  as different readings of discourses:

$$\mathcal{I}_i \models BG\text{-}Knowledge \cup Discourse\_so\_far$$

- Consistency checks (“Mia’s husband loves Sally. She is not married.”)

$$BG\text{-}Knowledge \cup Discourse\_so\_far \not\models \neg New\_utterance$$

iff  $BG\text{-}Knowledge \cup Discourse\_so\_far \cup New\_utterance$  is **satisfiable**

- Informativity checks (“Mia’s husband loves Sally. She is married.”)

$$BG\text{-}Knowledge \cup Discourse\_so\_far \not\models New\_utterance$$

iff  $BG\text{-}Knowledge \cup Discourse\_so\_far \cup \neg New\_utterance$  is **satisfiable**

# Example - Group Theory

---

The following axioms specify a group

$$\forall x, y, z : (x * y) * z = x * (y * z) \quad (\text{associativity})$$

$$\forall x : e * x = x \quad (\text{left – identity})$$

$$\forall x : i(x) * x = e \quad (\text{left – inverse})$$

Does

$$\forall x, y : x * y = y * x \quad (\text{commutat.})$$

follow?

**No, it does not**



## Example - Group Theory

---

Counterexample: a group with finite domain of size 6, where the elements 2 and 3 are not commutative: Domain:  $\{1, 2, 3, 4, 5, 6\}$

$e : 1$

$i :$	1	2	3	4	5	6
	1	2	3	5	4	6

		1	2	3	4	5	6
	1	1	2	3	4	5	6
	2	2	1	4	3	6	5
$*$ :	3	3	5	1	6	2	4
	4	4	6	2	5	1	3
	5	5	3	6	1	4	2
	6	6	4	5	2	3	1

# Finite Model Finders - Idea

---

- Assume a fixed domain size  $n$ .
- Use a tool to decide if there exists a model with domain size  $n$  for a given problem.
- Do this starting with  $n = 1$  with increasing  $n$  until a model is found.
- Note: domain of size  $n$  will consist of  $\{1, \dots, n\}$ .

# 1. Approach: SEM-style

---

- Tools: SEM, Finder, Mace4
- Specialized constraint solvers.
- For a given domain generate all ground instances of the clause.
- Example: For domain size 2 and clause  $p(a, g(x))$  the instances are  $p(a, g(1))$  and  $p(a, g(2))$ .

# 1. Approach: SEM-style

---

- Set up multiplication tables for all symbols with the whole domain as cell values.
- Example: For domain size 2 and function symbol  $g$  with arity 1 the cells are  $g(1) = \{1, 2\}$  and  $g(2) = \{1, 2\}$ .
- Try to restrict each cell to exactly 1 value.
- The clauses are the constraints guiding the search and propagation.
- Example: if the cell of  $a$  contains  $\{1\}$ , the clause  $a = b$  forces the cell of  $b$  to be  $\{1\}$  as well.

## 2. Approach: Mace-style

---

- Tools: Mace2, Paradox
- For given domain size  $n$  transform first-order clause set into equisatisfiable propositional clause set.
- Original problem has a model of domain size  $n$  iff the transformed problem is satisfiable.
- Run SAT solver on transformed problem and translate model back.

## Paradox - Example

---

Domain:	$\{1, 2\}$
Clauses:	$\{p(a) \vee f(x) = a\}$
Flattened:	$p(y) \vee f(x) = y \vee a \neq y$
Instances:	$p(1) \vee f(1) = 1 \vee a \neq 1$ $p(2) \vee f(1) = 1 \vee a \neq 2$ $p(1) \vee f(2) = 1 \vee a \neq 1$ $p(2) \vee f(2) = 1 \vee a \neq 2$
Totality:	$a = 1 \vee a = 2$ $f(1) = 1 \vee f(1) = 2$ $f(2) = 1 \vee f(2) = 2$
Functionality:	$a \neq 1 \vee a \neq 2$ $f(1) \neq 1 \vee f(1) \neq 2$ $f(2) \neq 1 \vee f(2) \neq 2$

A model is obtained by setting the **blue literals** true

# Theory Reasoning

---

Let  $T$  be a first-order theory of signature  $\Sigma$

Let  $L$  be a class of  $\Sigma$ -formulas

## The $T$ -validity Problem

- Given  $\phi$  in  $L$ , is it the case that  $T \models \phi$  ? More accurately:
- Given  $\phi$  in  $L$ , is it the case that  $T \models \forall \phi$  ?

## Examples

- “0/0, s/1, +/2, =/2, ≤/2”  $\models \exists y.y > x$
- The theory of equality  $E \models \phi$  ( $\phi$  arbitrary formula)
- “An equational theory”  $\models \exists s_1 = t_1 \wedge \dots \wedge s_n = t_n$   
(E-Unification problem)
- “Some group theory”  $\models s = t$  (Word problem)

The  $T$ -validity problem is decidable only for restricted  $L$  and  $T$

# Approaches to Theory Reasoning

---

## Theory-Reasoning in Automated First-Order Theorem Proving

- Semi-decide the  $T$ -validity problem,  $T \models \phi$  ?
- $\phi$  arbitrary first-order formula,  $T$  universal theory
- Generality is strength and weakness at the same time
- Really successful only for specific instance:  
 $T =$  equality, inference rules like paramodulation

## Satisfiability Modulo Theories (SMT)

- Decide the  $T$ -validity problem,  $T \models \phi$  ?
- Usual restriction:  $\phi$  is quantifier-free, i.e. all variables implicitly universally quantified
- Applications in particular to formal verification



# Checking Satisfiability Modulo Theories

---

**Given:** A quantifier-free formula  $\phi$  (implicitly existentially quantified)

**Task:** Decide whether  $\phi$  is  $T$ -satisfiable

( $T$ -validity via “ $T \models \forall \phi$ ” iff “ $\exists \neg\phi$  is not  $T$ -satisfiable”)

## Approach: eager translation into SAT

- Encode problem into a  $T$ -equisatisfiable propositional formula
- Feed formula to a SAT-solver
- Example:  $T = \text{equality}$  (Ackermann encoding)

## Approach: lazy translation into SAT

- Couple a SAT solver with a given decision procedure for  $T$ -satisfiability of ground literals
- For instance if  $T$  is “equality” then the Nelson-Oppen congruence closure method can be used

# Lazy Translation into SAT

---

$$g(a) = c \quad \wedge \quad f(g(a)) \neq f(c) \quad \vee \quad g(a) = d \quad \wedge \quad c \neq d$$

**Theory: Equality**

# Lazy Translation into SAT

---

$$\underbrace{g(a) = c}_1 \wedge \underbrace{f(g(a)) \neq f(c)}_{\bar{2}} \vee \underbrace{g(a) = d}_3 \wedge \underbrace{c \neq d}_{\bar{4}}$$

# Lazy Translation into SAT

---

$$\underbrace{g(a) = c}_1 \wedge \underbrace{f(g(a)) \neq f(c)}_{\bar{2}} \vee \underbrace{g(a) = d}_3 \wedge \underbrace{c \neq d}_{\bar{4}}$$

- Send  $\{1, \bar{2} \vee 3, \bar{4}\}$  to SAT solver.

# Lazy Translation into SAT

---

$$\underbrace{g(a) = c}_1 \wedge \underbrace{f(g(a)) \neq f(c)}_{\bar{2}} \vee \underbrace{g(a) = d}_3 \wedge \underbrace{c \neq d}_{\bar{4}}$$

- Send  $\{1, \bar{2} \vee 3, \bar{4}\}$  to SAT solver.
- SAT solver returns model  $\{1, \bar{2}, \bar{4}\}$ .  
Theory solver finds  $\{1, \bar{2}\}$  *E-unsatisfiable*.

# Lazy Translation into SAT

---

$$\underbrace{g(a) = c}_1 \wedge \underbrace{f(g(a)) \neq f(c)}_{\bar{2}} \vee \underbrace{g(a) = d}_3 \wedge \underbrace{c \neq d}_{\bar{4}}$$

- Send  $\{1, \bar{2} \vee 3, \bar{4}\}$  to SAT solver.
- SAT solver returns model  $\{1, \bar{2}, \bar{4}\}$ .  
Theory solver finds  $\{1, \bar{2}\}$  *E-unsatisfiable*.
- Send  $\{1, \bar{2} \vee 3, \bar{4}, \bar{1} \vee 2\}$  to SAT solver.

# Lazy Translation into SAT

---

$$\underbrace{g(a) = c}_1 \wedge \underbrace{f(g(a)) \neq f(c)}_{\bar{2}} \vee \underbrace{g(a) = d}_3 \wedge \underbrace{c \neq d}_{\bar{4}}$$

- Send  $\{1, \bar{2} \vee 3, \bar{4}\}$  to SAT solver.
- SAT solver returns model  $\{1, \bar{2}, \bar{4}\}$ .  
Theory solver finds  $\{1, \bar{2}\}$  *E-unsatisfiable*.
- Send  $\{1, \bar{2} \vee 3, \bar{4}, \bar{1} \vee 2\}$  to SAT solver.
- SAT solver returns model  $\{1, 2, 3, \bar{4}\}$ .  
Theory solver finds  $\{1, 3, \bar{4}\}$  *E-unsatisfiable*.

# Lazy Translation into SAT

---

$$\underbrace{g(a) = c}_1 \wedge \underbrace{f(g(a)) \neq f(c)}_{\bar{2}} \vee \underbrace{g(a) = d}_3 \wedge \underbrace{c \neq d}_{\bar{4}}$$

- Send  $\{1, \bar{2} \vee 3, \bar{4}\}$  to SAT solver.
- SAT solver returns model  $\{1, \bar{2}, \bar{4}\}$ .  
Theory solver finds  $\{1, \bar{2}\}$  **E-unsatisfiable**.
- Send  $\{1, \bar{2} \vee 3, \bar{4}, \bar{1} \vee 2\}$  to SAT solver.
- SAT solver returns model  $\{1, 2, 3, \bar{4}\}$ .  
Theory solver finds  $\{1, 3, \bar{4}\}$  **E-unsatisfiable**.
- Send  $\{1, \bar{2} \vee 3, \bar{4}, \bar{1} \vee 2, \bar{1} \vee \bar{3} \vee 4\}$  to SAT solver.  
SAT solver finds  $\{1, \bar{2} \vee 3, \bar{4}, \bar{1} \vee 2, \bar{1} \vee \bar{3} \vee 4\}$  **unsatisfiable**.



# Lazy Translation into SAT: Summary

---

- Abstract  $T$ -atoms as propositional variables
- SAT solver computes a model, i.e. satisfying boolean assignment for propositional abstraction (or fails)
- Solution from SAT solver may not be a  $T$ -model. If so,
  - Refine (strengthen) propositional formula by incorporating reason for false solution
  - Start again with computing a model

# Optimizations

---

## Theory Consequences

- The theory solver may return consequences (typically literals) to guide the SAT solver

## Online SAT solving

- The SAT solver continues its search after accepting additional clauses (rather than restarting from scratch)

## Preprocessing atoms

- Atoms are rewritten into normal form, using theory-specific atoms (e.g. associativity, commutativity)

## Several layers of decision procedures

- “Cheaper” ones are applied first

# Combining Theories

---

Theories:

- $\mathcal{R}$ : theory of rationals

$$\Sigma_{\mathcal{R}} = \{\leq, +, -, 0, 1\}$$

- $\mathcal{L}$ : theory of lists

$$\Sigma_{\mathcal{L}} = \{=, \text{hd}, \text{tl}, \text{nil}, \text{cons}\}$$

- $\mathcal{E}$ : theory of equality

$\Sigma$ : free function and predicate symbols

Problem: Is

$$x \leq y \wedge y \leq x + \text{hd}(\text{cons}(0, \text{nil})) \wedge P(h(x) - h(y)) \wedge \neg P(0)$$

satisfiable in  $\mathcal{R} \cup \mathcal{L} \cup \mathcal{E}$ ?

# Nelson-Oppen Combination Method

---

G. Nelson and D.C. Oppen: *Simplification by cooperating decision procedures*, ACM Trans. on Programming Languages and Systems, 1(2):245-257, 1979.

Given:

- $\mathcal{T}_1, \mathcal{T}_2$  first-order theories with signatures  $\Sigma_1, \Sigma_2$
- $\Sigma_1 \cap \Sigma_2 = \emptyset$
- $\phi$  quantifier-free formula over  $\Sigma_1 \cup \Sigma_2$

Obtain a decision procedure for satisfiability in  $\mathcal{T}_1 \cup \mathcal{T}_2$  from decision procedures for satisfiability in  $\mathcal{T}_1$  and  $\mathcal{T}_2$ .

# Nelson-Oppen Combination Method

---

*Variable abstraction + equality propagation:*

$$x \leq y \wedge y \leq x + \text{hd}(\text{cons}(0, \text{nil})) \wedge P(h(x) - h(y)) \wedge \neg P(0)$$

# Nelson-Oppen Combination Method

---

*Variable abstraction + equality propagation:*

$$x \leq y \wedge y \leq x + \underbrace{\text{hd}(\text{cons}(0, \text{nil}))}_{v_1} \wedge P(\underbrace{h(x)}_{v_3} - \underbrace{h(y)}_{v_4}) \wedge \neg P(\underbrace{0}_{v_5})$$

$v_2$

# Nelson-Oppen Combination Method

*Variable abstraction + equality propagation:*

$$x \leq y \wedge y \leq x + \underbrace{\text{hd}(\text{cons}(0, \text{nil}))}_{v_1} \wedge P(\underbrace{h(x)}_{v_3} - \underbrace{h(y)}_{v_4}) \wedge \neg P(\underbrace{0}_{v_5})$$

$\underbrace{\hspace{10em}}_{v_2}$

$\mathcal{R}$	$\mathcal{L}$	$\mathcal{E}$
$x \leq y$		$P(v_2)$
$y \leq x + v_1$		$\neg P(v_5)$

# Nelson-Oppen Combination Method

*Variable abstraction + equality propagation:*

$$x \leq y \wedge y \leq x + \underbrace{\text{hd}(\text{cons}(0, \text{nil}))}_{v_1} \wedge P(\underbrace{h(x)}_{v_3} - \underbrace{h(y)}_{v_4}) \wedge \neg P(\underbrace{0}_{v_5})$$

$\underbrace{\hspace{10em}}_{v_2}$

$\mathcal{R}$	$\mathcal{L}$	$\mathcal{E}$
$x \leq y$		$P(v_2)$
$y \leq x + v_1$		$\neg P(v_5)$
$v_2 = v_3 - v_4$	$v_1 = \text{hd}(\text{cons}(v_5, \text{nil}))$	$v_3 = h(x)$
$v_5 = 0$		$v_4 = h(y)$



# Nelson-Oppen Combination Method

*Variable abstraction + equality propagation:*

$$x \leq y \wedge y \leq x + \underbrace{\text{hd}(\text{cons}(0, \text{nil}))}_{v_1} \wedge P(\underbrace{h(x)}_{v_3} - \underbrace{h(y)}_{v_4}) \wedge \neg P(\underbrace{0}_{v_5})$$

$v_2$

$\mathcal{R}$	$\mathcal{L}$	$\mathcal{E}$
$x \leq y$		$P(v_2)$
$y \leq x + v_1$		$\neg P(v_5)$
$v_2 = v_3 - v_4$	$v_1 = \text{hd}(\text{cons}(v_5, \text{nil}))$	$v_3 = h(x)$
$v_5 = 0$		$v_4 = h(y)$
	$v_1 = v_5$	

# Nelson-Oppen Combination Method

*Variable abstraction + equality propagation:*

$$x \leq y \wedge y \leq x + \underbrace{\text{hd}(\text{cons}(0, \text{nil}))}_{v_1} \wedge P(\underbrace{h(x)}_{v_3} - \underbrace{h(y)}_{v_4}) \wedge \neg P(\underbrace{0}_{v_5})$$

$v_2$

$\mathcal{R}$	$\mathcal{L}$	$\mathcal{E}$
$x \leq y$		$P(v_2)$
$y \leq x + v_1$		$\neg P(v_5)$
$v_2 = v_3 - v_4$	$v_1 = \text{hd}(\text{cons}(v_5, \text{nil}))$	$v_3 = h(x)$
$v_5 = 0$		$v_4 = h(y)$
$x = y$	$v_1 = v_5$	

# Nelson-Oppen Combination Method

*Variable abstraction + equality propagation:*

$$x \leq y \wedge y \leq x + \underbrace{\text{hd}(\text{cons}(0, \text{nil}))}_{v_1} \wedge P(\underbrace{h(x)}_{v_3} - \underbrace{h(y)}_{v_4}) \wedge \neg P(\underbrace{0}_{v_5})$$

$\underbrace{\hspace{10em}}_{v_2}$

$\mathcal{R}$	$\mathcal{L}$	$\mathcal{E}$
$x \leq y$		$P(v_2)$
$y \leq x + v_1$		$\neg P(v_5)$
$v_2 = v_3 - v_4$	$v_1 = \text{hd}(\text{cons}(v_5, \text{nil}))$	$v_3 = h(x)$
$v_5 = 0$		$v_4 = h(y)$
$x = y$	$v_1 = v_5$	$v_3 = v_4$

# Nelson-Oppen Combination Method

*Variable abstraction + equality propagation:*

$$x \leq y \wedge y \leq x + \underbrace{\text{hd}(\text{cons}(0, \text{nil}))}_{v_1} \wedge P(\underbrace{h(x)}_{v_3} - \underbrace{h(y)}_{v_4}) \wedge \neg P(\underbrace{0}_{v_5})$$

$v_2$

$\mathcal{R}$	$\mathcal{L}$	$\mathcal{E}$
$x \leq y$		$P(v_2)$
$y \leq x + v_1$		$\neg P(v_5)$
$v_2 = v_3 - v_4$	$v_1 = \text{hd}(\text{cons}(v_5, \text{nil}))$	$v_3 = h(x)$
$v_5 = 0$		$v_4 = h(y)$
$x = y$	$v_1 = v_5$	$v_3 = v_4$
$v_2 = v_5$		

# Nelson-Oppen Combination Method

*Variable abstraction + equality propagation:*

$$x \leq y \wedge y \leq x + \underbrace{\text{hd}(\text{cons}(0, \text{nil}))}_{v_1} \wedge P(\underbrace{h(x)}_{v_3} - \underbrace{h(y)}_{v_4}) \wedge \neg P(\underbrace{0}_{v_5})$$

$v_2$

$\mathcal{R}$	$\mathcal{L}$	$\mathcal{E}$
$x \leq y$		$P(v_2)$
$y \leq x + v_1$		$\neg P(v_5)$
$v_2 = v_3 - v_4$	$v_1 = \text{hd}(\text{cons}(v_5, \text{nil}))$	$v_3 = h(x)$
$v_5 = 0$		$v_4 = h(y)$
$x = y$	$v_1 = v_5$	$v_3 = v_4$
$v_2 = v_5$		$\perp$

# Conclusions

---

- Talked about the role of first-order theorem proving
- Talked about some standard techniques (Normal forms of formulas, Resolution calculus, unification, Instance-based method, Model computation)
- Talked about DPLL and Satisfiability Modulo Theories (SMT)

## Further Topics

- Redundancy elimination, efficient equality reasoning, adding arithmetics to first-order theorem provers
- FOTP methods as decision procedures in special cases  
E.g. reducing planning problems and temporal logic model checking problems to function-free clause logic and using an instance-based method as a decision procedure
- Implementation techniques
- Competition CASC and TPTP problem library
- Instance-based methods (a lot to do here, cf. my home page)  
Attractive because of complementary features to more established methods