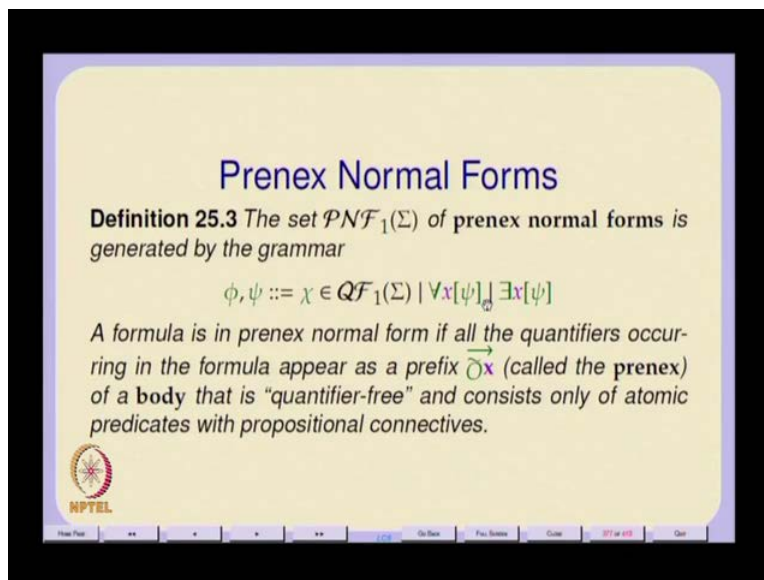


Logic for CS
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Lecture - 26
Skolemization

So, last time we looked at normal forms and we also looked at actually the notion of Herbrand algebra. So, this specifically goes through this so we have this usual quantifier movement and you can move quantifiers in such a way that. You, can construct what are known as prenex normal forms.

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Prenex Normal Forms

Definition 25.3 The set $\mathcal{PNF}_1(\Sigma)$ of prenex normal forms is generated by the grammar

$$\phi, \psi ::= \chi \in \mathcal{QF}_1(\Sigma) \mid \forall x[\psi] \mid \exists x[\psi]$$

A formula is in prenex normal form if all the quantifiers occurring in the formula appear as a prefix $\overrightarrow{Q}x$ (called the **prenex**) of a **body** that is "quantifier-free" and consists only of atomic predicates with propositional connectives.


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Home Page ** * + ** < > On Screen Full Screen Close 07/11/2015 Quit

Which, are essentially mean they are up to logically equivalence you can transform any first-order logic of formula into a form. In, which there is a sequence of quantifiers followed by a body which is quantifier free so this is important.

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The Prenex Normal Form Theorem

Theorem 25.4 (Prenex Normal Forms). For any formula ϕ there exists a logically equivalent formula ψ in prenex normal form (PNF).

□

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Navigation icons: Home, First, Previous, Next, Last, Search, Print, Close, 278 of 415, Quit

And, then we have the Prenex Normal Form theorem. Which, essentially states that you can convert any logical any formula ϕ into a logically equivalent formula ψ and Prenex Normal Form.

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Proof of theorem 25.4

Proof: Given a formula ϕ we go through the following steps.

1. Replace all subformulas of the form $\theta \leftrightarrow \chi$ by subformulas $(\theta \rightarrow \chi) \wedge (\chi \rightarrow \theta)$ respectively to yield a new formula ϕ' which is free of all occurrences of the connective \leftrightarrow .
2. Use α -conversion to obtain unique names for all bound and free variables².
3. Now proceed by induction on the structure of ϕ' by systematically applying the results obtained from lemma 25.1 and corollary 25.2. This would yield a formula ψ in prenex normal form.

if α , ensure that no free quantifiers use the same bound variable and no variable occurs both free and bound in the formula.

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(Refer Slide Time: 01:34)

Prenex Conjunctive Normal Form

Given a formula in prenex normal form, its body consists entirely of propositional connectives atomic predicates. By theorem 5.10 every propositional form may be converted into CNF. We may apply the same method to the body of a formula in PNF to obtain a Prenex Conjunctive Normal Form (PCNF). So we have

Corollary 25.5 (PCNF). For any formula ϕ there exists a logically equivalent formula ψ in prenex conjunctive normal form (PCNF).

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And, of course since the body is quantifier free it can be transformed into a Conjunctive Normal form essentially the way which propositions can be converted transformed into conjunctive normal forms.

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The Herbrand Algebra

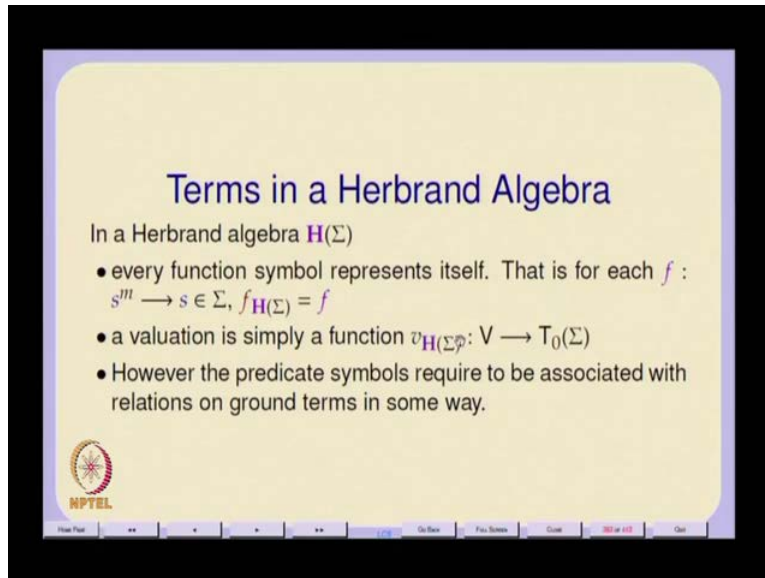
Definition 25.6 Let Σ be a signature containing at least one constant symbol a . A term $t \in T(\Sigma)$ is said to be ground if $Var(t) = \emptyset$. $T_0(\Sigma) \subseteq T(\Sigma)$ is the set of ground terms. A literal $p(t_1, \dots, t_n)$ or $\neg p(t_1, \dots, t_n)$ containing no variables is called a ground literal.

Definition 25.7 A Σ -algebra $\mathbf{H}(\Sigma)$ where Σ has at least one constant symbol, is called a Herbrand algebra iff $|\mathbf{H}(\Sigma)| = T_0(\Sigma)$.

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Then, we looked at the notion of a, Herbrand Algebra where I said that basically we are looking for models within the language of terms itself.

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Terms in a Herbrand Algebra

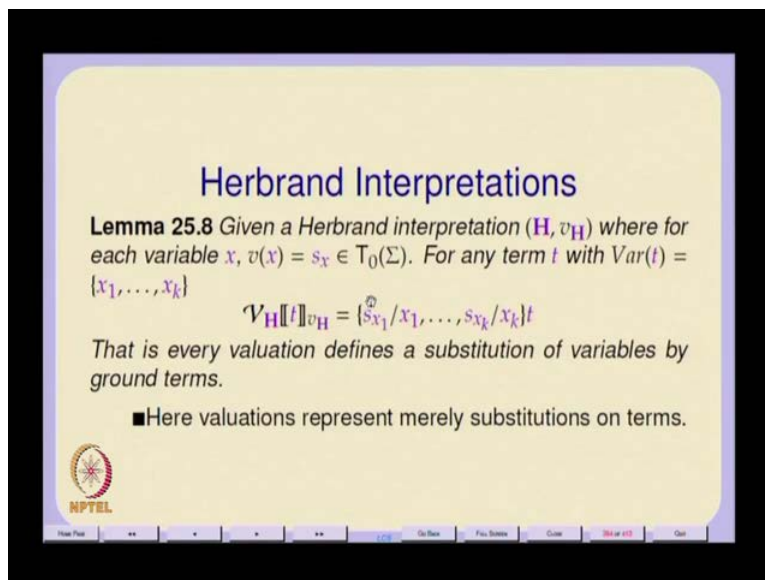
In a Herbrand algebra $\mathbf{H}(\Sigma)$

- every function symbol represents itself. That is for each $f : s^m \rightarrow s \in \Sigma$, $f_{\mathbf{H}(\Sigma)} = f$
- a valuation is simply a function $v_{\mathbf{H}(\Sigma)}: V \rightarrow T_0(\Sigma)$
- However the predicate symbols require to be associated with relations on ground terms in some way.

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So, that is why so essentially the Term Algebra itself is your carrier set or your domain of this course. And, the functions automatically give you new terms from this set according to their arity and so on. And, the only thing that is left on specified is really the meaning of the predicate symbols the atomic predicate symbols.

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Herbrand Interpretations

Lemma 25.8 Given a Herbrand interpretation $(\mathbf{H}, v_{\mathbf{H}})$ where for each variable x , $v(x) = s_x \in T_0(\Sigma)$. For any term t with $Var(t) = \{x_1, \dots, x_k\}$

$$\mathcal{V}_{\mathbf{H}}[t]_{v_{\mathbf{H}}} = \{s_{x_1}/x_1, \dots, s_{x_k}/x_k\}t$$

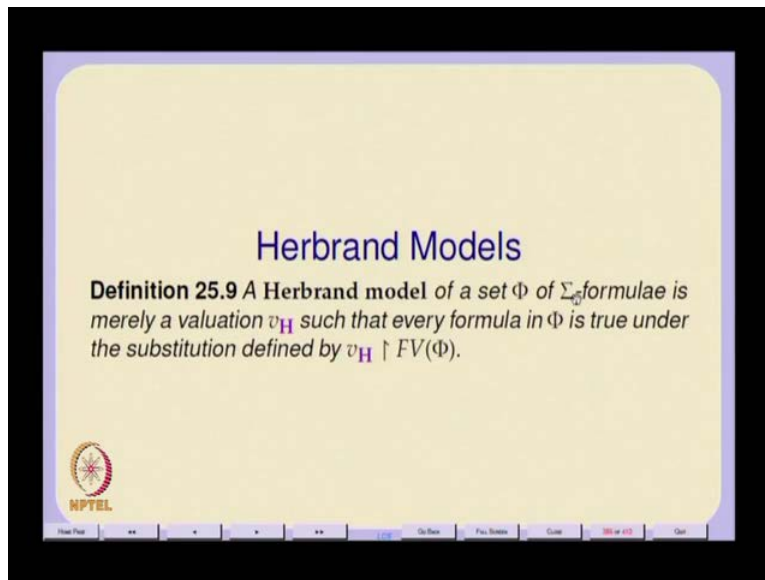
That is every valuation defines a substitution of variables by ground terms.

- Here valuations represent merely substitutions on terms.

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And, so the notion of an interpretation therefore essentially depends upon what kinds of. So, firstly so the notion of an interpretation in this case then works out to just a substitution of the appropriate terms by terms for the variables.

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And, the notion of model essentially reduces to lot of finding an appropriate valuation or an appropriate substitution actually that is enough. Since, we have got only the finite number of atomic predicate symbols in any formula or any finite set of formulae. Though of course if the set of formulaes infinite you might have an infinites collection of atomic formulae also.

(Refer Slide Time: 32:22)

Ground Quantifier-free Formulae

Theorem 25.10 Let Σ be a signature containing at least one constant and let $\Lambda = \{\lambda_1, \dots, \lambda_k\}$ be a nonempty set of ground literals. Then

1. $\bigwedge_{1 \leq i \leq k} \lambda_i$ has a model iff Λ does not contain a complementary pair.
2. $\bigwedge_{1 \leq i \leq k} \lambda_i$ is never logically valid
3. $\bigvee_{1 \leq i \leq k} \lambda_i$ always has a model
4. $\bigvee_{1 \leq i \leq k} \lambda_i$ is logically valid iff it has a complementary pair.

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So, we had the notion of ground term so this requires that there should be at least one constant in signature. And, if it is not a constant in the signature what we do is we just expand the signature to include the constant symbol. And, what we essentially showed was that for literals so ground literals. So, that means these lambda i's are essentially atomic formulae or negations of atomic formulae in which there are no variables. And, the parameters of the formulae are ground terms of the Herbrand algebra.

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Proof of theorem 25.10

Proof:

1. Clearly if Λ contains a complementary pair it does not have a model. Conversely assume it does not contain a complementary pair. We may define a Herbrand algebra H_Λ as follows: For each atomic predicate symbol $p : s^n$ define $p_H = \{(t_1, \dots, t_n) \in T_0(\Sigma) \mid p(t_1, \dots, t_n) \in \Lambda\}$. Clearly $H_\Lambda \models \lambda_i$ for each $\lambda_i \in \Lambda$ since if $\lambda_i \equiv p(t_1, \dots, t_n)$ and then $p(t_1, \dots, t_n) \in \Lambda$ and $(t_1, \dots, t_n) \in p_H$. On the other hand if $\lambda_i \equiv \neg p(t_1, \dots, t_n)$ then $p(t_1, \dots, t_n) \notin \Lambda$ and hence $(t_1, \dots, t_n) \notin p_H$ otherwise it would contradict the assumption that Λ contains no complementary pair. Hence $H \models \lambda_i$ for

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So, there are no variables at all they completely variable free so this first of all these are. So, we had this theorem on ground quantifiers. Which, clearly gives you a gives us a syntactic characterization that is important thing it gives us a syntactic characterization of logical validity of and of it will it gives us a syntactic characterization of unsatisfiability. Essentially here, in this for and of finite set of form literals. And, here it gives you a syntactic characterization of validity for an or of a finite set of literals. So, next today will do what is known as Skolemization which essentially comes from the name of Foresscolem who came up with this whole thing. And, it will see its relationship to a Herbrand algebras. So, the first thing we have here is a Skolem normal form theorem say supposing ϕ some in some prenex formula. Which, is of this form that means there is a sequence of universal quantifiers. Now, we are not a quantifiers are not any general quantified q . So, there is a specific form in which we are looking at these formulae.

So, there is a sequence of universal quantifiers so this is like for all x_1 for all x_2 dot for all x_n followed by a the say single existential quantifiers. So, there exists y and this ψ is of course quantifier free and it can contain these variables x_1 to x_n and y as free variables. And, of course we will assume that these are all distinct variables. So, and will assume that ψ is quantifier free. So, this is essentially a prenex form in which there is a sequence of universal quantifiers followed by an existential quantifier. Then, what will do is we will expand this signature with a new function symbol g . Which, has which is of arity n where this n is the same as this $n \times 1$ to x_n . So, you can expand this signature to σ to σg such that then. And, what you can do now is instead of you can replace all free occurrences of y in the quantifier free formula ψ by g of x_1 to x_n . So, take this formula for all x for all x_1 for all x_2 for all x_n this formula ϕ' . For, any model of this formula is also a model of ϕ . Because, if ϕ any way is a σ formula therefore it is automatically σg formula also so it is. So, that way there is the fact that you expanded the signature keeps ϕ also in σg so, there is no problem. So, and every model of ϕ can be expanded to a model of ϕ' . Of course, ϕ' is not in the ϕ prime is the σg formula it is not a σ formula. Because, of the addition of the extra function symbol g .

So, what the Skolem normal form theorem essentially says that is that you can always so every model of this ϕ' . Where, the existentially quantified variable y is replaced by a function of all the universally quantified variables that precede that existential quantifier. So, that is the

connection so this so, you can be replaced by a g of x_1 to x_n . Where, x_1 to x_n are all the universally quantified variables preceding this existential quantifier of y . So, you can right so this is what so this is essentially like what we are saying is the analogy is readily there for example in the theory of groups right I mean. So, if you take a group axiom like for every x in the group there is right universe. Here what, we are saying is that you are formulizing that there is a right universe by a function. Which, is essentially the inverse operation. But, you have to remember one thing in Σ_g these two formulae ϕ prime and ϕ are not logically equivalent.

(Refer Slide Time: 09:52)

Skolemization

Theorem 26.1 (Skolem Normal Form Theorem.) Let $\phi \equiv \forall \vec{x} \exists y [\psi]$ where $\vec{x} = x_1, \dots, x_n$ and y are all distinct variables and ψ does not contain any occurrence of any of the quantifiers $\exists x_i$. Let $\Sigma_g = \Sigma \cup \{g : s^n \rightarrow s\}$ be an **expansion** of the signature Σ . Then

1. every model of $\phi' \equiv \forall \vec{x} \{g(x_1, \dots, x_n)/y\} \psi$ is a model of ϕ .
2. every model of ϕ can be expanded to a model of ϕ' .

□

Corollary 26.2 Let ϕ and ϕ' be as in theorem 26.1. Then

1. there exists a model of ϕ iff there exists a model of ϕ' .
2. ϕ is unsatisfiable iff ϕ' is unsatisfiable.

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So, what we are doing now is we are getting away from logical equivalence. And, we are getting into the domain of pure model theory. So, the existence of a model so, all that we are saying is that if there is a model for ϕ prime. Then, the same model can also be used for ϕ satisfy ϕ but ϕ prime is not logically equivalent to ϕ simply. Because, it is quite possible let us go back to example of that group and group inverse it is possible perhaps for me to construct something very much like a group. Except that it does not have unique inverse right universe in this system or an element might have more than one inverse let us say. So, in which case that inverse operation is no longer function but, all that you are saying is that every group is a model of that axiom and not necessarily the other way. And, that but we are saying something more important you are saying that I mean my search for models might go anywhere. But I just have the guarantee therefore that if this does possess a model then that also possesses a model and, in fact

same model can be used. And, you take any model of phi you can expand it to a model of phi prime basically that is. So, I can always find a system with unique universes which will be a model of which will be a model of phi prime.

(Refer Slide Time: 11:54)

Proof of theorem 26.1

Proof: We first of all note that $\{g(x_1, \dots, x_n)/y\}$ is admissible in ψ .

1. We have

$$\models \phi' \rightarrow \phi$$

and hence for every Σ_g -model $\mathbf{B} \models \phi'$, $\mathbf{B} \models \phi$ holds too.

2. Conversely for every Σ -structure \mathbf{A} , such that $\mathbf{A} \models \phi$, for each $(a_1, \dots, a_n) \in \mathbf{A}^n$ there exists *at least one* element $a \in |\mathbf{A}|$ such that

$$\mathcal{T}[\psi]_{v[x_1:=a_1, \dots, x_n:=a_n][y:=a]} = 1$$

Define a function g which for each n -tuple $(a_1, \dots, a_n) \in \mathbf{A}^n$

So, this theorem is not actually I mean it is not very hard to prove. But, first of all we should note that g of x_1 to x_n for y is admissible in ψ . And, the other thing you have to note is that this phi prime logically implies phi as I said they are not equivalent but, it logically implies phi. So, which means that for every sigma g model of phi prime phi also holds. Now, if you were to take this take the converse the second part every model of phi can be expanded to a model of phi prime. Then, essentially you consider some model of phi and there exist one at least one element. So, what we are essentially saying is you take this formula phi there exist at least one element a for every anti opel a_1 to a_n . Such that, phi in which in which a_1 to a_n replace x_1 to x_n . And, a replaces y would be would be true.

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provides a single element $a \in |A|$ such that

$$\mathcal{T}[\psi]_{v[x_1:=a_1, \dots, x_n:=a_n][y:=a]} = 1$$

Then clearly for every $(a_1, \dots, a_n) \in |A|^n$ we have

$$\mathcal{T}[\psi]_{v[x_1:=a_1, \dots, x_n:=a_n][y:=g_A(a_1, \dots, a_n)]} = 1$$

Now let $A \triangleleft B$ where B is a Σ_g -algebra with $g_B = g$. It is then clear that for every valuation v_B ,

$$\mathcal{T}[\{g(x_1, \dots, x_n)/y\}\psi]_{v_B} = 1$$

and hence $B \models \phi'$. □

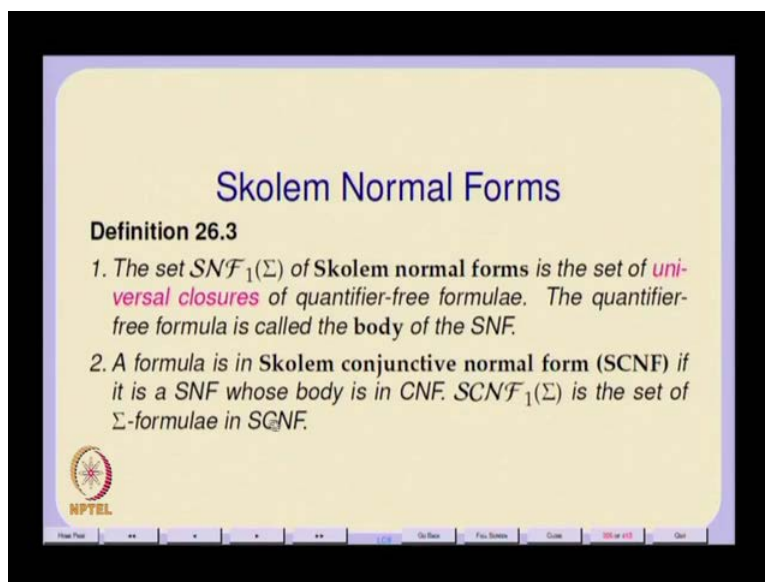
So, then you define this you just chose an arbitrary element. So, in a certain sense you using the axiom of choice in axiom if you were to think of it as part of set theory. And, you just define a function. So, you chose an arbitrary element a that satisfies this predicate ψ for each a_1 to a_n . And, you chose one arbitrary element for each a_1 to a_n and define this function g . And, then it is clear that you expanded the signature by this and it is clear that truth value also holds. So, essentially therefore you take any model of ϕ' that is the model of ψ . So, now that the fact that there exist at least one and is clear from the function g . Remember that in our signature all are functions are totals. So, there is no partial definedness in anywhere so the g actually g is a total function so for every a_1 to a_n there is an element a . Which, will satisfy ψ for example and also we are shown that basically we can expand the signature from σ and create a model of ϕ' using this function g .

But, what this means and the corollaries are actually more important is that there exists a model of ϕ if and only if there exist a model of ϕ' . And, conversely ϕ is unsatisfiable if and only if ϕ' is unsatisfiable. So, that is so what it means is that now is there we are going to work with this ϕ' . So, remember the ϕ' is not logically equivalent to ϕ . So, we come to the notion of the Skolem Normal Form in which we do not preserve logical equivalence. But, we preserve satisfiability so the some books. Which, use the term equi-satisfiable. So, that

is like saying that that is essentially this part two of this corollary two. We, say is that ϕ is satisfiable if and only if ϕ' is satisfiable.

So, here is an equivalence relation which is well finer than logical equivalence. So, if they were logically equivalent they would satisfy exactly the same models. Whereas, what we are saying now is that they are not logically equivalent. But, the quest for models is such that you can replace the quest for models for one formula by the quest for models for other formula.

(Refer Slide Time: 16:05)



Skolem Normal Forms

Definition 26.3

1. The set $SNF_1(\Sigma)$ of Skolem normal forms is the set of **universal closures** of quantifier-free formulae. The quantifier-free formula is called the **body** of the SNF.
2. A formula is in **Skolem conjunctive normal form (SCNF)** if it is a SNF whose body is in CNF. $SCNF_1(\Sigma)$ is the set of Σ -formulae in SCNF.

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So, this so what is known as a, Skolem Normal Form. So, what this, what this also means is that you can get rid of these existential quantifiers through a skolem normal form. If, you get rid of this existential quantifier then you can define equi-satisfiable formulae. And, so in a skolem normal form we essentially consider only universally closed formulae. So, the set of skolem normal forms is the set of universal closures of quantifier free formulae. So, you take any quantifier free formula essentially using proposition connectives and just close it on all the variables universally close it on all the variables and that is a skolem normal form. So, and of course the quantifier free from body can be written in conjunctive normal forms so you have a skolem conjunctive normal form right.


(Refer Slide Time: 17:04)

SCNF

Theorem 26.4 For every sentence (closed formula) $\phi \in \mathcal{P}_1(\Sigma)$ there is an algorithm *sko* to construct a closed universal formula $\psi \in \text{SCNF}_1(\Sigma)$ such that ϕ has a model iff ψ has a model. □

Definition 26.5

1. The function g in theorem 26.1 is called a **Skolem function**
2. The process of constructing the function g in theorem 26.1 is called **Skolemization**.

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Home Page ** * ** Go Back Prev Screen Close 26 of 412 Quit

So, here is a simple theorem for every sentence of every sentence of first-order logic there is an algorithm. Which I am going to call a function *sko* to construct a closed universal formula ψ . In skolem conjunctive normal form such that this formula ϕ has a model if and only if ψ has a model. And, the algorithm is actually trivial you just take the formula ϕ transform it to prenex conjunctive normal form and what you do you create what are known as skolem functions.

So, that that function g that we created in terms of all the universal quantifiers preceding it is called the skolem function. So, what you do you take a formula in prenex conjunctive normal form reading from left to right. Read it from left to right take the first existential quantifier and skolemize it. When, you skolemize it what you are doing is you are adding an extra new function symbol. And, of arity equal to that arity of the preceding sequence of universal quantifiers. And when you do that and when you replace all occurrences of that existential quantified variable in the body by the corresponding function. Then what you get is you have a longer sequence of universal quantifiers. And, then you probably have another existential quantifier in which case you skolemize it in the same way. So, if you started if the first existential quantifier occurred in.

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$$\varphi \equiv \forall x_{11} \dots x_{1m_1} \exists y_1 \forall x_{21} \dots x_{2m_2} \exists y_2 \dots \dots [\varphi]$$

$$g_1: S^{m_1} \rightarrow S \quad \psi' \equiv \{g_1(x_{11}, \dots, x_{1m_1}) / y_1\} \psi$$

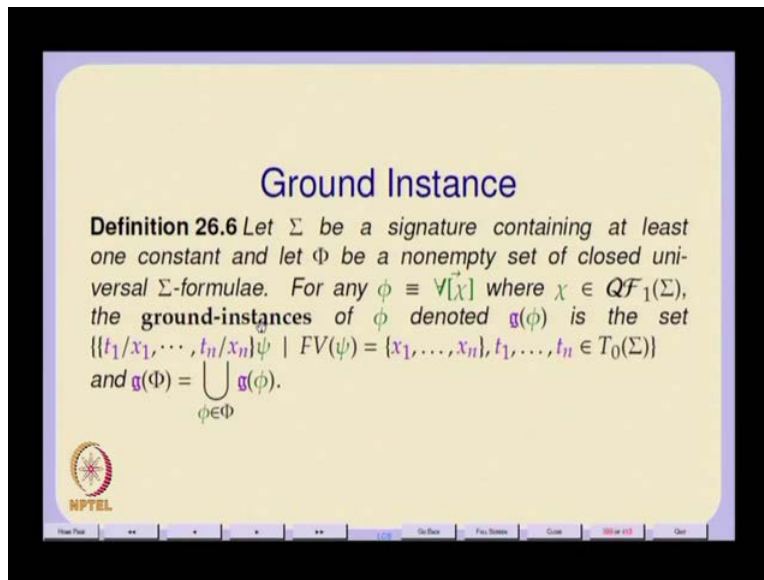
$$\varphi' \equiv \forall x_{11} \dots x_{1m_1} \forall x_{21} \dots x_{2m_2} \exists y_2 \dots \dots [\varphi']$$

$$g_2: S^{m_1+m_2} \rightarrow S$$

$$\varphi'' \equiv \forall x_{11} \dots x_{1m_1} \forall x_{21} \dots x_{2m_2} \dots \dots [\varphi'']$$


So, essentially what you are saying is so, if I have for all x_1 to x_{m_1} and there exist y_1 then I have for all well i should probably x_{21} dot x_{2m_2} there exist y_2 . And, so on and so forth my corresponding skolem functions will essentially be firstly a skolem function g_1 of sort S^{m_1} arrow S . And, this formula φ by this replacement so there is some body here somebody ψ here, it becomes a φ' which looks like for all x_{11} dot x_{1m_1} for all x_{21} dot x_{2m_2} there exist y_2 whatever. And, the ψ is replaced by a ψ' where ψ' is just equal to ψ in which g_1 of x_{11} to x_{1m_1} replaces y_1 . Once, you done this you get this φ' and essentially what you are going to do now is you are going to take you are going to skolemize this y_2 by a function g_2 . Which, has a, sort $S^{m_1+m_2}$ arrow S . And, you are going to get a formula φ'' which is essentially have this up to for all x_{2m_2} . And, then ψ'' where that ψ'' is essentially a ψ' in which all free occurrences of y_2 are replaced by g_2 applied to these m_1 plus m_2 arguments. So, you can sequentially from left to right skolemize each existential variable one by one. And, you can actually create the final formula let us say ψ . Which, will consist only of universal quantifiers and then a body which is in conjunctive normal form. So, this process of constructing these functions is called skolemization.

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Ground Instance

Definition 26.6 Let Σ be a signature containing at least one constant and let Φ be a nonempty set of closed universal Σ -formulae. For any $\phi \equiv \forall \vec{x} [\chi]$ where $\chi \in \mathcal{QF}_1(\Sigma)$, the **ground-instances** of ϕ denoted $\mathfrak{g}(\phi)$ is the set $\{\{t_1/x_1, \dots, t_n/x_n\}\psi \mid FV(\psi) = \{x_1, \dots, x_n, t_1, \dots, t_n\} \in T_0(\Sigma)\}$ and $\mathfrak{g}(\Phi) = \bigcup_{\phi \in \Phi} \mathfrak{g}(\phi)$.

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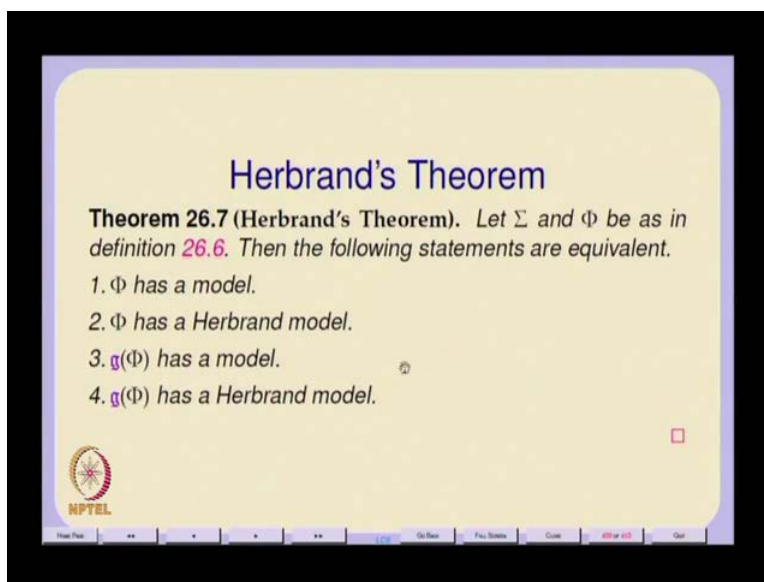
Home Page ** * ** On Screen Full Screen Close 28 of 41 Quit

Now, what happens we look at our Herbrand algebras and we look at the notion of skolemization. So, what this means is that up to the existence so, the problem of satisfiability. Therefore, can be restricted to just universally closed predications in skolem normal form. And, if you need it skolem conjunctive normal form. So, now what will do is let us look at an interesting theorem by Herbrand. So, you take any signature and you take any formula phi I can talk about the Ground Instances of phi. Where, the ground instances of phi which I am going to call it g of phi. Where, this g is a gothic's is a gothic g. So, essentially what we are saying is you take all the free variables in psi, phi is of course of the form universal closure of this in this is an this is a mistake in I should not have used psi here this should be chi here, and this should be free variables of chi. So, essentially what we are saying is replace all free occurrences of the free variables in psi. Let us say x1 to xn by terms t1 to tn respectively such that t1 to tn do not contain any variables.

So, they are they are what are known as ground terms. So, what you essentially getting by ground instances is a collection of formulae that essentially look like propositions. Basically, they are like propositions our predicates are essentially parameterized propositions. You, replaced all the parameters they appropriate terms which do not contain any variables. So, they become essentially like propositions of indexed by indexed by the actual parameters. So, now so for each universally closed formula which is existential quantifier free for each universally

closed formula which is existential quantifier free you find the ground instances for all over all the terms of the algebra. And, for any set of formulae of this kind while you just take the union of all the ground instances. So, this is so will call this g of ϕ that is ground instances of ϕ .

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So, now we have an important theorem which says that lets σ be any signature. And, actually you want σ to contain a constant at least because otherwise there are no ground terms. If, there is no I mean there are only terms with variables in them then there are no ground terms so σ should have a constant. But, if necessary we just expand the signature σ arbitrarily to include a constant include at least one constant. Let, ϕ be some set of formulae which do not have existential quantifiers anywhere in them.

They, were universally closed on a each formula in capital ϕ is a universally closed formula over a quantifier free body. Then, the following statements are equivalents ϕ has a model ϕ has a Herbrand model. The ground instances of ϕ has a model and the ground instances of ϕ has a Herbrand model. So, the significance of the significance of consisting considering only skolem normal forms is that normally in any first order in any theory that you are talking about. the axioms of the theory are essentially universally closed formulae in a skolem normal form.

So, you look at your group axioms you look at axioms for number theory whatever all of them will be axioms of the form. Some, universally quantified universal closure over essentially all the

free variables of the of a body which is quantifier free. And, now there is given essentially a set of axioms you want to know whether this set of axioms has a model. And, for that what Herbrand's theorem essentially says is two, fold. Firstly given a set of axiom you do not need to look at the space of all possible mathematical theories to find it. If, there is a model anywhere in that space of mathematical theories. Then, there is a Herbrand model also. Secondly what it says is that I do not need to look at satisfaction from a Hilbert system proof theoretic point of view. And, prove everything all I need to look at other ground instances. And, in fact the ground instances in the Herbrand model that is it. So, I can restrict my search to essentially just ground instances of the formulae within a by just looking at the terms. So, it is a completely syntactic it just completely syntactic quest. Which, does not have to look at any abstract algebra's at all so this is being this is an important theorems.

So, let us try it and what we are essentially saying is that all these statements are equivalent. Which, means essentially your quest for models comes down to just checking whether ϕ has a Herbrand model. And, so we have to proof all these so there are four statements which are meant to be equivalent. But, what happens is you can see that, if ϕ has a Herbrand model then it definitely has a model right so that is. So, similarly if \mathcal{G} of ϕ has a Herbrand model then \mathcal{G} of ϕ has a model so two implications are out of these are obvious. If, ϕ has a model and every formula in ϕ is in Skolem normal form whether universal closure over all the free variables of the body of the formula. Then, you ϕ has a model then clearly \mathcal{G} of ϕ has a model all the ground instances of ϕ have a model because it is a universally closed formula. So, for all possible substitutions of terms for the variables of the body it should be true. And, so therefore one implies 3 and that is also true here. By, the same sort of argument to implies 4.

(Refer Slide Time: 30:30)

Proof of theorem 26.7

Proof: Clearly the following implications are trivial.

$$\begin{array}{ccc} \text{Statement 2} & \Rightarrow & \text{Statement 1} \\ \Downarrow & & \Downarrow \\ \text{Statement 4} & \Rightarrow & \text{Statement 3} \end{array}$$

It suffices therefore to prove only the following claim.

Claim. Statement 3 \Rightarrow Statement 2.

Proof of claim. Let $\mathbf{A} \models \mathcal{G}(\Phi)$. We define a Herbrand interpretation \mathbf{H} as follows. For each $p : s^n \in \Sigma$ let

$$p_{\mathbf{H}} = \{(t_1, \dots, t_n) \in T_0(\Sigma) \mid \mathbf{A} \models p(t_1, \dots, t_n)\}$$

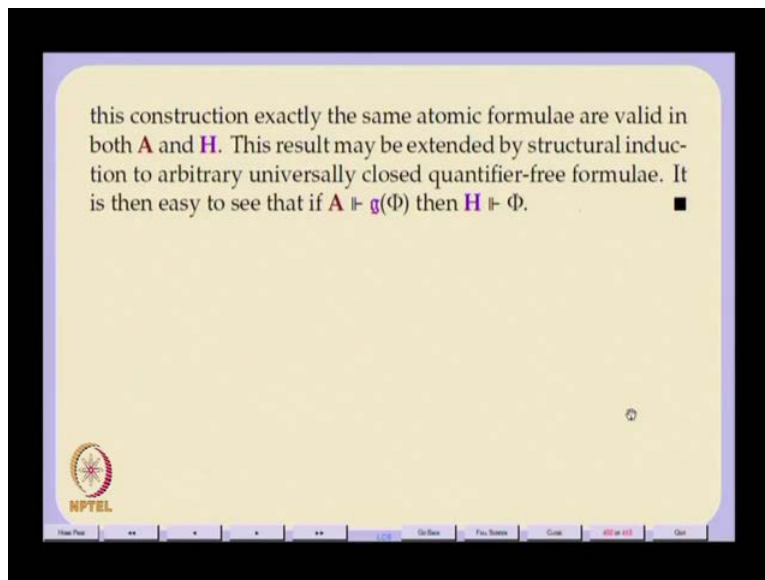
In particular if p is an atomic proposition then $p_{\mathbf{H}} = p_{\mathbf{A}}$. With

So, finally what it means is that you have got this Statement 2 implies Statement 1 Statement 2 implies Statement 4 Statement 1 implies Statement 3 Statement 4 implies Statement 3. So, in order to prove that all 4 Statements are equivalent we just need to prove that, Statement 3 implies Statement 2 then, you will get two cyclic triangles. So, that you can traverse so that your implications and transverse all the way. So, that greatly simplifies our problem so, he has a, claim that Statement 3 does imply statement 2. So what we are going to do now Statement 3 is essentially says that the ground instances of phi has a model. And, we are going to prove that therefore phi has a Herbrand model. So, given a model of the ground instance of phi. We, have to construct essentially a Herbrand interpretation to show which will be a model of phi.

So, assume that the ground instances of phi have a model. Let us say some algebra A. Notice, that it is an its brown in color right I mean I cannot assume anything arbitrary. I mean I have to assume something totally arbitrary this A may not be Herbrand model it could be a Herbrand model also. But, it may not be a Herbrand model because we do not know for a fact that a, Herbrand model exist. All, we know is that a Herbrand model exist. So, this A is some structure with a same signature and the signature of course contains at least one constant. So, we define a Herbrand interpretation as just follows. So, for every so of course in the case of a Herbrand algebra the terms anyway they are interpretations are already redefined. It is only the predicates the atomic predicates was interpretations need to be defined as relations on the terms.

So, for every ground tuple t_1 to t_n by the way t_1 to t_n has to be ground down. Which, I have not as specified its ground every. So, for every atomic predicate symbol p that occurs anywhere in ϕ in the formulae ϕ . I, look at what I mean if \mathcal{A} is a model for all formulae of ϕ then it is true for all these tuples also it is true for some tuples. So, I take all those n tuples and I include them in my interpretation of ϕ , p is the corresponding relation on the Herbrand algebra. So, in particular if p is an atomic proposition of course then by atomic proposition I mean that p is a 0 relation. So, which means that it only has a truth value true or false then, I assign p the same truth value as in case of assigned in \mathcal{A} .

(Refer Slide Time: 33:52)



And, with this construction exactly the same atomic formulae are valid in \mathcal{A} and \mathcal{H} . And, therefore you can just use structural induction to show that \mathcal{H} under this interpretation of atomic formulae is a model of ϕ and therefore also a model of this Statement 2

So, ϕ has a model so, this is an important theorem and in fact this is the theorem which actually makes say things like logic programming possible it also restricts all our attention to I mean it focuses our attention from arbitrary abstract mathematical structures. So, that we can look at more concrete terms just terms constructed in the Herbrand algebra. So, we need to focus exclusively on just the formation of terms in this language of \mathcal{A} , first-order logic.

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The Herbrand Tree of Interpretations

Let Σ be a signature containing at least one constant symbol. Let P_0, P_1, P_2, \dots be an enumeration of all the *ground atomic formulae* of $\mathcal{P}_1(\Sigma)$. The **Herbrand Tree of interpretations** is the infinite tree shown schematically below. Each infinite path of the tree represents a Herbrand interpretation.

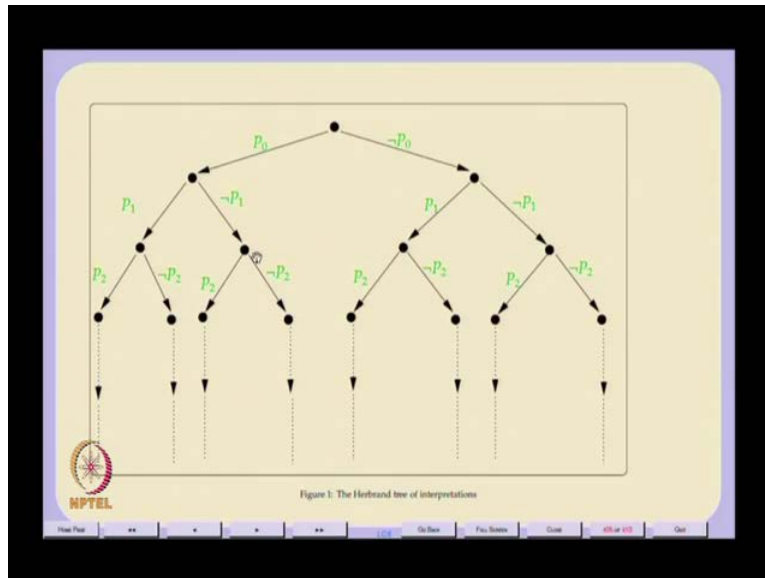
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So, let us look at so what happens now so we are going so we need to restrict ourselves only to Herbrand algebra's. And, we need to restrict ourselves only two terms and in fact that is what mathematicians have been doing for centuries. Now, they constructed some algebraic system there some mathematical system and they looked at all the terms of mathematical systems that is it. And, in that sense they were focusing only on the Herbrand algebra. And, they were coming up with essentially the theorems based on the patterns of these. So, an algebraic theory would essentially based on the patterns of the terms. So, if you look at arbitrary structures like so if you done if you done some number theory. For, example it is, clear that if you are to take say the natural numbers modulo some prime number p . So, you essentially take n quotiented by p by where you have congruence modulo p in a certain sense. So, what a standard number theoretic theorem would say that by the way this you take the integers, the integers under addition form only a monoid. But, you take the integers modulo p where p is a prime. Then that forms a group under addition if you do not believe me go home and, work it out. And, in fact what you can do is it is possible to get an isomorphic structure of \mathbb{Z}_p , \mathbb{Z}_p is integers modulo p it is possible to get an isomorphic structure for \mathbb{Z}_p . By, just choosing a group by just choosing a single symbol A . And, putting in the operations of let u s say concatenation. And, essentially you are able to generate all the elements from essentially from 0 to p minus 1 as this putative multiplication operation. Which, is just concatenation of this element with itself. The 0 th concatenation of this

will give you the essentially an empty string if you like. And, that empty string is identity element of the group. And, of course it will circle in multiples of p right it circle through but till you come to p you have generated p elements. So, essentially A raise to i where A is just some arbitrary symbol A raise to i denotes the equivalence class i . Where, i lies in the range 0 to p minus 1 .

So, any so, the group z_p can be completely simulated by just using a, symbol A and concatenating to itself. So, you have so that this is a transformation of group operations from z_p to this to this essentially string of symbols. Where, the moment you so A raise to p plus 1 in this concatenation would give you A again I mean that is that is what will happen. So, that is an equation of the group which you will. And, essentially for every i A^p minus i is a inverse A^p minus i of course is equal to A raise to minus i also I mean in this in the same thing. So, you so what it means is to play around with z_p I do not need to consider abstract number theoretical notions I just need to consider a single symbol. And, that and its concatenation with itself up to p so that it cyclic so cyclically generates the group. That, is very much like just looking at Herbrand interpretation . So, you just you have a more concrete thing if you look at numbers as being abstract you have a more concrete thing in terms of strings. Which, will give you exactly the same kinds of properties. So, all the properties of z_p will be captured by this string concatenation by this group of on a single symbol A . So, then let us look at what is the notion of a Herbrand Interpretation.

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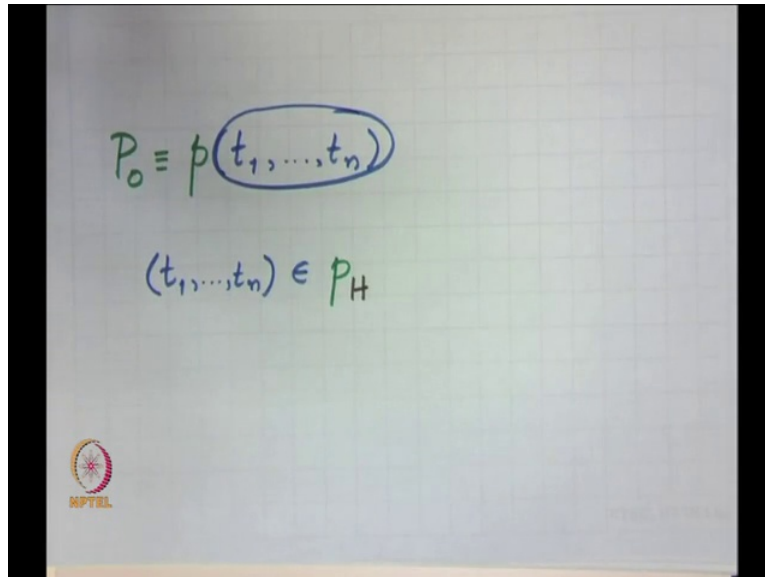


So, what we are saying is so for every formula which has a model there is a Herbrand model. And, of course in the case of a Herbrand model basically you have to find out a Herbrand interpretation. A Herbrand interpretation means that you just basically have to assign to all the predicate symbols appropriate relations in the set of ground terms. So, a Herbrand interpretation is essentially this tree so assume you got you you got your atomic predicates symbols P naught. And, you got your ground terms you assume any enumeration of the ground terms. And, you got your atomic predicate symbols small p 's they are all small p 's. Now, for each small p and of an appropriate clarity and collection of ground terms I still have your t naught σ is countable infinite. You, have in your σ a finite collection of atomic predicates p_q etcetera.

And, I can take all the ground atomic predicates which are essentially like atomic propositions with index by the tuple of ground terms. That, set of all ground atomic formulae is still countable infinite. And, therefore capable of enumeration so I will call that enumeration capital P naught. So, whether this is this capital P naught means that it is some small p with a tuple of appropriate tuple of ground terms in violet. So, I have this if I construct this collection this collection is going to be countable infinite. And, therefore it has some enumeration so I take this enumeration. And, if I construct this tree such that they will I for each of this P naught the left edges labeled P naught. And, right edge is labeled P naught. And, I and I go through this enumeration then I get

essentially an infinite tree. Such that, each infinite path in this tree corresponds to a certain assignment of relations to the atomic predicates in my signature σ .

(Refer Slide Time: 43:56)



So, all I am saying is supposing you are the first element in enumeration is essentially some atomic predicate small p . Which, is with some n tuple of ground terms supposing this is capital P naught. So, what you are essentially saying in your interpretation is that, this tuple t_1 to t_n belongs to the Herbrand interpretation of this small p . If, you take this left edge and it does not belong to P_H if you take this left right edge. You got all terms all n tuples have terms. So, essentially and this and you got enumeration of all these big P naught P_1 . Essentially got enumeration of all possible ground terms applied to all possible atomic propositions in your signature. So, any path in this tree you isolate a, single path in this tree that single path corresponds to essentially of full interpretation of all the atomic predicate symbols. This, is what you want right so this is I am going to call this the Herbrand tree of interpretation it is an all standard name I need some way of call referring to this tree. So, I have given in that name. So, this tree emphasis all possible interpretations of the atomic predicate symbols P . Why do we require this tree? I mean one thing of course is it so the tree is a binary tree if but its infinite. So, one thing is that is important is that its finitely branching. That is at any level there will only be a finite number of nodes.

(Refer Slide Time: 46:19)

The slide features a yellow background with a purple border. At the top center, the title "Compactness of Sets of Ground Formulae" is written in blue. Below the title, the text of Lemma 26.8 is presented in black: "Lemma 26.8 (Compactness of a set of closed quantifier-free formulae). Let Θ be a (finite or infinite) set of ground quantifier-free formulae. Then Θ has a model iff every finite subset of Θ has a model." A small red square symbol is located to the right of the lemma text. In the bottom left corner, there is a logo for NPTEL (National Programme on Technology Enhanced Learning) featuring a stylized sun or starburst. At the very bottom of the slide, a navigation bar contains several small icons and text labels such as "Home", "Back", "Forward", "Search", "Close", and "Quit".

So, with it actually brings us to Compactness right so you take. So, what I am so here is the lemma which we are going to prove compact. Now, we have we have shown by other means compactness of propositional logic ground terms apply to atomic predicate symbols is closest to coming to propositional logic. So, in certain sense they are like propositions however we need to prove a compactness theorem essentially to show that there is a, compactness also holds for quantified formulae. So, this lemma is a first step towards that. And, this lemma is going to use that Herbrand tree interpretations. So, let Θ be a finite or infinite set of ground quantifier free formulae. Remember that when we are talking about proof theory we are talking about a, Γ being finite. Whereas, now I am saying Θ could be infinite 2 this not matter. So, essentially the compactness theorem for closed quantifier free formulae closed quantifier free formulae all basically, ground quantifier free formulae. Then, this set of finite or infinite set ground quantifier free formulae has a model if and only if every finite subset of Θ has a model.

(Refer Slide Time: 47:50)

Proof of lemma 26.8

Proof: (⇒) Clearly if Θ has a model then every finite subset of Θ also has a model.

(⇐) Assume every finite subset of Θ has a model but Θ itself does not have a model. By theorem 26.7 each finite subset of Θ has a Herbrand model. We identify each path π in the Herbrand tree with a valuation v_π . Then since Θ does not have a model, it does not have a Herbrand model. Hence for every path π there exists a formula $\chi_\pi \in \Theta$ such that $(\mathbf{H}, v_\pi) \not\models \chi_\pi$. In fact, there exists a finite point ℓ_{χ_π} in each path π at which $(\mathbf{H}, v_\pi) \not\models \chi_\pi$ since χ_π is made up of only a finite number of ground atoms.

Claim. $\{\chi_\pi \mid (\mathbf{H}, v_\pi) \not\models \chi_\pi\}$ is a finite set.

So, we are going to prove this and we are going to use a, Herbrand tree interpretations one is that if and only if. But, if theta has a model then every finite subset of theta also a, has model. And, in particular we need by a Herbrand's theorem we need to concentrate only on the Herbrand models. So, it is enough to consider only the Herbrand tree interpretations. So, what will do is will prove this, will assume that every finite subset of theta has a model has a Herbrand model. But, theta itself may not have a model suppose and then we prove that there is a contradiction. So, what do we do so now we it is enough to concentrate on Herbrand models. So, this is equivalent to saying assume every finite subset of theta has a Herbrand model. But, theta itself does not have a Herbrand model. So, if theta does not have a Herbrand model that means none of the paths none of the infinite paths in this tree is a model of theta, take any arbitrary path. If it is not a model of theta then, there is at least one formula in theta. Which, is contradicted at some finite point in that path. So, you take any what you are saying is if theta does not have a model anywhere here. Then no path is a model of theta so each path corresponds to a Herbrand interpretation. And, therefore you are saying there are no paths which will completely whose which basically are assignments of this kind. Which, not satisfy which make at least one formula in theta is false.

So, every path in this tree makes at least one formula of theta false. And, it makes at least one formula of theta false means there is a specific point at which that formula is known to be false.

That, specific point basically corresponds to your point when the assignments to all the relevant assignments to the when you encountered all the ground terms that appear in that formula. And, when you have encountered all the atomic predicate symbols attached to those ground terms also have appeared in that formula at some point you know that it is false. There, has to be a, if it is falsify then there has to be a finite point at which it falsify in each path.

So, let me call at finite point essentially as a level. So, you take so here is the here is the crucial sentence hence for every path π_i there exist a formula χ_i belonging to θ . Such, that the Herbrand algebra with this valuation v_{π_i} each path is corresponds to a valuation with this valuation v_{π_i} does not satisfy χ_i which, means χ_i becomes false. And, this so this point let me call this level there is there is a level in the tree starting with the root node become at 0 and so on so forth. So, let me call this point l_{χ_i} the point where it is first known the χ_i becomes false along that path. So, now we have this now what of course the tree is infinite and therefore has an infinite number of paths. Now, I choose all, these χ_i 's and I construct the set of these formulae my claim is that this set is finite. At, the moment all I know is that in every path there is a point at which some formula becomes false some formula θ becomes false. I identify the first occurrence of that point and call that level l at the formula that gets becomes false i call it χ_i . And, basically for the valuation v_{π_i} and the level at which it occurs is a l_{χ_i} . So, having identified these there are infinite number of paths and every path has at least one such point. So I collect all, these l_{χ_i} 's into a set it could be an infinite set.

(Refer Slide Time: 52:58)

Proof of claim.

Consider the tree \mathcal{T}_H obtained from the Herbrand tree such that from each path π the subtree rooted at $\ell_{\chi_\pi} + 1$ has been removed. Hence \mathcal{T}_H is a finitely branching tree with only finite-length paths. Hence by (the contra-positive of) König's lemma (lemma 2.17: any finitely-branching tree with only finite-length paths must be finite) \mathcal{T}_H must be a finite tree where each path π' is an initial segment of an infinite path π from the Herbrand tree of interpretations. The leaf-nodes of each of these paths π' determines a formula χ_π that is not satisfied. Clearly then the set consisting of these formulae viz. $\{\chi_\pi \mid (\mathbf{H}, v_\pi) \not\models \chi_\pi\}$ is then a finite set.

(Refer Slide Time: 53:07)

4. A rooted tree is acyclic i.e. for all nodes n , $n \not\rightarrow^+ n$.

Definition 2.15 Let $\mathcal{T} = \langle N, \rightarrow, r \rangle$ be a tree rooted at node $r \in N$. A node $n \in N$ is called **infinitary** if $\text{Desc}(n)$ is an infinite set otherwise it is called **finitary**.

Lemma 2.16 In a finitely branching tree, every infinitary node has an infinitary successor.

Proof: If not, then for some infinitary node n , $\text{Succ}(n)$ is finite and for each $s \in \text{Succ}(n)$, $\text{Desc}(s)$ is finite which implies $\text{Desc}(n) = \{n\} \cup \bigcup_{s \in \text{Succ}(n)} \text{Desc}(s)$ a finite union of finite sets would be finite. ■

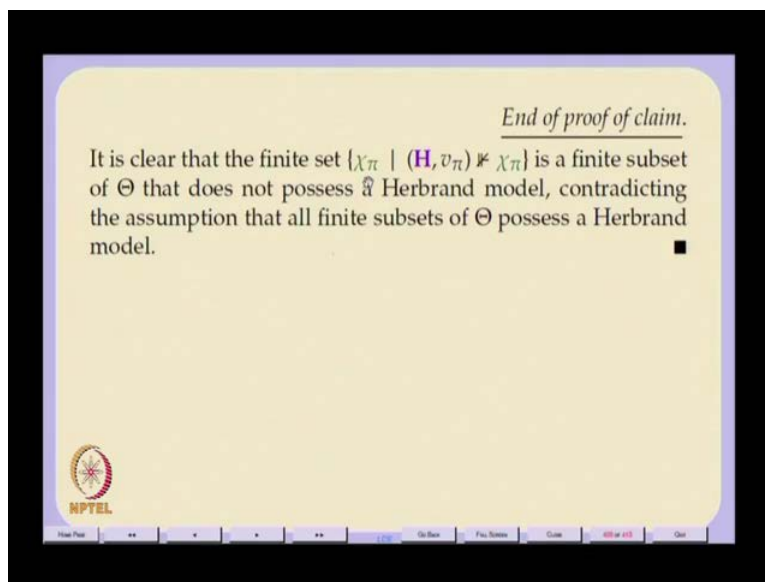
Lemma 2.17 (König's Lemma) Every finitely branching infinite tree has an infinite path.

Proof: Assume $\mathcal{T} = \langle N, \rightarrow, r \rangle$ is a finitely branching infinite rooted tree which has no infinite path. Clearly since $N = \text{Desc}(r)$ is infinite, r is infinitary. r has an infinitary successor by lemma 2.16. Hence there exists a maximal path in \mathcal{T} all of whose nodes are infinitary. This path has to be infinite, otherwise there would be a last node in the path which is infinitary but has no successors, which is impossible. ■

But, the set is going to be finite and why is it finite it follows from König's lemma actually it follows from the from a contrapositive of the König's lemma. What, is here König's lemma is that every finitely branching infinite tree has an infinite path. If, you take every finitely branching finitely branching as an assumption. Then, every finitely branching tree which has no infinite path should be finite. So, what I am saying now how may I going to construct this finite tree I have got this level 1 chi 1 chi pi for each formula. Now, I take this Herbrand tree of an

interpretation and chop it at that point. So, that that level l χ_i is a leaf node of that path. So, the entire sub-tree that becomes below it and chop it, off. So, in every path there is one such point and I have chopped off everything below it. And, I have got this finitely it is still a finitely branching tree but now by konig's contrapositive of konig's lemma that tree cannot be infinite because, there are no infinite paths. So, that entire tree must be finite which means it has only a finite number of leaf nodes which means that set of formulae χ_i and that I am collecting from the leaf nodes that set must be finite. One of the most engineers proofs have come across.

(Refer Slide Time: 54:55)



So, now here is a finite set of formulae which does not have a model which contradicts the assumptions that every finite subset of Θ has a model. And, therefore the original assumption that Θ has no model is false. So, Θ must have a model in the Herbrand tree of interpretation.

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Compactness of Closed Formulae

Theorem 26.9 (Compactness of closed formulae) A set Φ of closed Σ -formulae has a model iff every finite subset of Φ has a model. □

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Home Page ** * * * * Go Back Prev Screen Close 4/17 of 415 Quit

But, once you have proved this then it is very simple Compactness of a first-order logic is just that you take a set of Closed Formulae sigma formulae this set phi by the way this set phi can be finite or infinite closed. Now, they are quantified formulae has a model if and only if every finite subset of phi has a model.

(Refer Slide Time: 55:48)

Proof of theorem 26.9

Proof: (\Rightarrow) is trivial.

(\Leftarrow) Assume Φ does not possess a model but every finite subset of Φ has a model. Transform each formula into SNF. Since Φ has no model $sko(\Phi) = \{sko(\phi) \mid \phi \in \Phi\}$ has no model either (by theorem 26.4). By Herbrand's theorem (theorem 26.7) the set $g(sko(\Phi))$ also does not possess a model. By lemma 26.8 we can find a finite subset of $g(sko(\Phi))$ which does not have a Herbrand model. This finite set is a subset of a finite subset of Φ that does not possess a model. Hence there is a finite subset of Φ which does not have model, contradicting the assumption that every finite subset of Φ has a model. ■

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Home Page ** * * * * Go Back Prev Screen Close 4/17 of 415 Quit

And, what do I do I just take each formula ϕ again I go through the same kind of argument I take each formula in ϕ and transform it into a skolem normal form. But, now I get $\text{sko } \phi$ which is in no sense in no formula in $\text{sko } \phi$ is equivalent to any formula in ϕ . But, what I do know from Herbrand's theorem is that ϕ itself will have a model if and only if $\text{sko } \phi$ has a model. And what I also know is that ϕ has a Herbrand model if and only if $\text{sko } \phi$ has a Herbrand model. So, now what do I do I concentrate on finding the Herbrand model of $\text{sko } \phi$. And, now $\text{sko } \phi$ basically I can it just consist of universal quantifiers and a and a body that universal quantifier just means that I instancial instantiate the body with all possible terms.

And I apply this same reasoning that I applied here. So, it follows from the previous lemma that you'll come to the same contradiction. So, now your closed formulae therefore will so, what it means is that you will be able to show that there will be able to show that there is a finite subset of ϕ which does not have a model which contradicts their assumption. And, therefore ϕ must have a model if every finite subset has a model. so we have done compactness now as its fairy engineers proof . And, after looking at the class I think I stop here is become a heavy quite of you. So, what we do have to do more on first-order logic before we get into actually formal theory is completeness of your predicate logic and decidability of pure predicate logic. Once you have all these results and you would not have unreasonably expectations about doing theorem proving in formal theories.

So, you will have only reasonable expectations so and then this all this also lead into dovetail into essentially do domain of logic programming. So, this is a fundamental theory so this Herbrand theorem is a fundamental theorem of a logic programming. Basically what it says is it says me the trouble of trying to look for satisfaction of form of a set of formulae in arbitrary domains. And, just look for satisfaction within the domain of terms itself. So, that logic programming therefore becomes possible within the notion of a term of terms and constructors. And, you do not need to actually look at arbitrary theories. So, these two are important so we have proved the compactness.