Exercise (cont'd)

$$\neg P \vee \neg (R \wedge P)$$

$$Q_0\, Q_1 \quad Q_2$$

$$\begin{aligned}\rightsquigarrow \quad & Q_0 \\ & \wedge (Q_0 \rightarrow (\neg P \vee Q_1)) \\ & \wedge (Q_1 \rightarrow \neg Q_2) \\ & \wedge (Q_2 \leftarrow (R \wedge P))\end{aligned}$$

Note that when we write 'introduce new symbols for every non-literal subformula' we are referring to the subformulae of the original formula.

Summary

- language of resolution:
  - atoms
  - literals (positive & negative)
  - clauses (= multi-sets)
- calculus Res:
  - resolution & positive factoring
- optimised conversion to clause form:
  - structural transformation

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Lecture 3

Previously . . .

- propositional clause logic:
  atoms, literals (positive & negative), clauses (= multi-sets)
- calculus Res:
  resolution & positive factoring
- conversion to clause form:
  - optimisation using structural transformation

Ground Expressions, Ground Instances

- Ground terms are terms with no occurrences of variables.
- Ground atoms are atoms with no occurrences of variables.
- Ground literals, ground clauses, ground formulae are defined similarly.
- A ground instance of an expression (atom, literal, clause, formula) is obtained by uniformly instantiating the variables in it with ground terms.

Herbrand Universe

- We assume there is at least one constant in our language Σ.
- The Herbrand universe (over Σ), denoted T_Σ, is the set of all ground terms over Σ.
- **Example:** Suppose the language has one binary function symbol f and two constants a and b. The following are in T_Σ:

  $$a,\ b,\ f(a,a),\ f(a,b),\ f(b,a),\ f(b,b),\ f(a,f(a,a)),\ \ldots$$

- If Σ contains non-constant function symbols then T_Σ is infinite.

Exercise

- Suppose Σ is the language with one unary function symbol f and one constant a.
  Write down the elements of the Herbrand universe T_Σ.

Exercise

- Suppose Σ is the language with one unary function symbol f and one constant a.
  Write down the elements of the Herbrand universe T_Σ.

$$T_\Sigma = \{a, f(a), f(f(a)), \ldots, f^n(a), \ldots\}$$

Herbrand Interpretations

- A Herbrand interpretation (over Σ), denoted I, is a set of ground atoms over Σ.
- Truth in I of ground formulae is defined inductively by:

$$
\begin{array}{rcl}
I \models \top & & I \not\models \bot \\
I \models A & \text{iff} & A \in I, \text{ for any ground atom } A \\
I \models \neg F & \text{iff} & I \not\models F \\
I \models F \wedge G & \text{iff} & I \models F \text{ and } I \models G \\
I \models F \vee G & \text{iff} & I \models F \text{ or } I \models G
\end{array}
$$

Herbrand Interpretations (cont'd)

- Truth in I of any quantifier-free formula F with free variables $x_1, \ldots, x_n$ is defined by:

$$I \models F(x_1, \ldots, x_n) \ \text{ iff } \ I \models F(t_1, \ldots, t_n), \text{ for every } t_i \in \mathrm{T}_\Sigma$$

- Truth in I of any set N of clauses is defined by:

$$I \models N \quad \text{iff} \quad I \models C, \ \text{for each } C \in N$$

Herbrand Interpretations (cont'd) (optional)

- In a Herbrand interpretation values are fixed to be ground terms and functions are fixed to be the (Skolem) functions in Σ.
- Only predicate symbols p may be freely interpreted as relations $p^{\mathcal{M}} \subseteq \mathrm{T}_\Sigma^n$.
- I is an interpretation $\mathcal{M}$ where the values are given by:

  constant a: $\quad a^{\mathcal{M},s} = a$

  function f: $\quad (f(t_1, \ldots, t_n))^{\mathcal{M},s} = f(t_1^{\mathcal{M},s}, \ldots, t_n^{\mathcal{M},s})$

Property 6

Every Herbrand interpretation (set of ground atoms) I uniquely determines an interpretation $\mathcal{M}$ via

$$(s_1, \ldots, s_n) \in p^{\mathcal{M}} \ \text{ iff } \ p(s_1, \ldots, s_n) \in I$$

Exercise

- Suppose Σ is the language with one unary function symbol f, one constant a and one predicate symbol p.
  Which of the following are Herbrand interpretations over Σ?
  1. $I_1 = \{p(a)\}$
  2. $I_2 = \{p(a),\ p(f(a))\}$
  3. $I_3 = \{p(a),\ q(f(a))\}$
  4. $I_4 = \{p(a),\ \neg p(f(a))\}$

- For I_2 determine whether the following is true?
  1. $I_2 \models p(a)$
  2. $I_2 \models \neg p(a)$
  3. $I_2 \models \neg p(f(a))$
  4. $I_2 \models p(a) \wedge p(f(a))$
  5. $I_2 \models p(x)$

Exercise

- Suppose Σ is the language with one unary function symbol f, one constant a and one predicate symbol p.
  Which of the following are Herbrand interpretations over Σ?
  1. $I_1 = \{p(a)\}$ yes
  2. $I_2 = \{p(a),\ p(f(a))\}$ yes
  3. $I_3 = \{p(a),\ q(f(a))\}$ no; q not a symbol in Σ
  4. $I_4 = \{p(a),\ \neg p(f(a))\}$ no; only pos. atoms can belong to I
- For I_2 determine whether the following is true?
  1. $I_2 \models p(a)$
  2. $I_2 \models \neg p(a)$
  3. $I_2 \models \neg p(f(a))$
  4. $I_2 \models p(a) \wedge p(f(a))$
  5. $I_2 \models p(x)$

Examples of Herbrand Interpretations

- Suppose Σ_{Nat} has constant 1, binary function $+$, unary predicate symbol p.
- Herbrand interpretation over Σ_{Nat}:

$$I = \{ \quad p(1),\ p(1+1),\ p(1+1+1),\ p(1+1+1+1),\ \ldots\}$$

- Notation: $n + m$ instead of $+(n, m)$

Exercise

- Suppose Σ is the language with one unary function symbol f, one constant a and one predicate symbol p.
  Which of the following are Herbrand interpretations over Σ?
  1. $I_1 = \{p(a)\}$ yes
  2. $I_2 = \{p(a),\ p(f(a))\}$ yes
  3. $I_3 = \{p(a),\ q(f(a))\}$ no; q not a symbol in Σ
  4. $I_4 = \{p(a),\ \neg p(f(a))\}$ no; only pos. atoms can belong to I
- For I_2 determine whether the following is true?
  1. $I_2 \models p(a)$ yes
  2. $I_2 \models \neg p(a)$ no
  3. $I_2 \models \neg p(f(a))$ no
  4. $I_2 \models p(a) \wedge p(f(a))$ yes
  5. $I_2 \models p(x)$ no

Examples of Herbrand Interpretations (cont'd)

- Suppose Σ has a single predicate symbol r. Let I be a Herbrand interpretation over Σ.
  - $I \models r(x,x)$ iff $r(t,t) \in I$ for every ground term t in T_Σ.
  - $I \models \neg r(x,x)$ iff $r(t,t) \notin I$ for every ground term t in T_Σ.
  - $I \models \neg r(x,y) \vee r(y,x)$ iff when $r(s,t) \in I$ then $r(t,s) \in I$, for any ground terms $s, t \in T_\Sigma$.
  - $I \models \neg r(x,y) \vee \neg r(y,z) \vee r(x,z)$ iff when $r(s,t) \in I$ and $r(t,u) \in I$ then $r(s,u) \in I$, for any ground terms $s, t, u \in T_\Sigma$.

Existence of Herbrand Models

- A Herbrand interpretation I is called a Herbrand model of F, if $I \models F$.
- Let $G_\Sigma(N)$ denote the set of all ground instances of N over the language Σ. I.e.
  $G_\Sigma(N) = \{C\sigma \mid C \in N, \sigma : X \to \mathrm{T}_\Sigma \text{ a ground substitution}\}$,
  where X denotes the set of variables in the language.

Property 7 (Herbrand)
Let N be a set of Σ-clauses.

N satisfiable	iff	N has a Herbrand model (over Σ)
	iff	$G_\Sigma(N)$ has a Herbrand model (over Σ)

(See optional, unassessed material – on completeness of general resolution – from course website for a proof.)

Examples

- Consider

$$N = \{p(x),\ q(f(y)) \lor r(y)\}$$
$$T_\Sigma = \{a, f(a), f(f(a)), \ldots\}$$

- $p(a)$ and $p(f(a))$ are both ground instances of the first clause $p(x)$ in N.
- **Exercise**: Give examples of ground instances of the second clause in N.

Example of a set of ground instances $G_\Sigma(N)$

- For $\Sigma_{\mathbb{N}}$ one obtains for

$$N = \{p(1),\ \neg p(x) \lor p(x+1)\}$$

the following ground instances:

$$\begin{aligned} G_\Sigma(N) = \{\ & p(1) \\ & \neg p(1) \lor p(1+1) \\ & \neg p(1+1) \lor p(1+1+1) \\ & \neg p(1+1+1) \lor p(1+1+1+1) \\ & \ldots \\ & \} \end{aligned}$$

Exercise

- For N on the previous slide write down a Herbrand model of $G_\Sigma(N)$.
- Is N satisfiable?

Exercise

- For N on the previous slide write down a Herbrand model of $G_\Sigma(N)$. ~~A model of the N on the previous slide is~~

$$I = \{p(1), p(1+1), p(1+1+1), \ldots\}$$

- Is N satisfiable?

Summary

- ground expressions, ground instances
- Herbrand universe
- Herbrand interpretation, Herbrand model
- satisfiability in I: $\models$
- Herbrand's Theorem

Exercise

- For N on the previous slide write down a Herbrand model of $G_\Sigma(N)$. ~~A model of the N on the previous slide is~~

$$I = \{p(1), p(1+1), p(1+1+1), \ldots\}$$

- Is N satisfiable? Answer: Yes. Why? Because I is also a model of N, and by Herbrand's theorem

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Lecture 4

Previously ...

- ground terms, ground atoms, ground literals, ground clauses
- Herbrand universe = set of ground terms
- Herbrand interpretation I = set of ground atoms
  - For atoms: $A \in I$ iff $I \models A$
    $A \notin I$ iff $I \not\models A$

Soundness and Completeness

- Recall:

  $N \vdash_{Res} C$ means there exists a Res-derivation of C from N.

  $N \models C$ means any model which satisfies N also satisfies C.
  C is true in every model of N; C semantically follows from N

  $N \models \bot$ means N is unsatisfiable i.e. N has no model.

- Res is said to be sound iff

$$N \vdash_{Res} C \;\Rightarrow\; N \models C.$$

- Res is said to be refutationally complete iff

$$N \models \bot \;\Rightarrow\; N \vdash_{Res} \bot.$$

  (In general, a calculus Cal is complete iff $N \models F \;\Rightarrow\; N \vdash_{Cal} F$.)

- An inference rule $\frac{F_1 \;\ldots\; F_n}{F}$ is called sound, if $F_1, \ldots, F_n \models F$.

Soundness of Resolution

Property 8

The propositional resolution calculus, Res, (resolution on ground clauses) is sound.

Proof: We have to show: $N \vdash_{Res} C \;\Rightarrow\; N \models C$,
It suffices to show that every rule is sound, i.e. for every rule $\frac{C_1 \;\ldots\; C_n}{D}$ we have $C_1, \ldots, C_n \models D$.
For resolution, assume $I \models C \lor A$, $I \models \neg A \lor D$ and show $I \models C \lor D$.
(a) Case $I \models A$: Then $I \models D$, for else $I \not\models \neg A \lor D$. Hence $I \models C \lor D$. (b) Case $I \not\models A$: Then $I \models \neg A$. Since $I \models C \lor A$, $I \models C$ and consequently $I \models C \lor D$.
For factoring, assume $I \models C \lor A \lor A$ and show $I \models C \lor A$. Exercise.

Refutational Completeness of Resolution

- How to show refutational completeness of ground resolution?
- We have to show: $N \models \bot \;\Rightarrow\; N \vdash_{Res} \bot$,
  or equivalently: If $N \not\vdash_{Res} \bot$, then N has a model.
- **Idea:**
  - Suppose that we have computed sufficiently many inferences from N (and not derived $\bot$).
  - Now order the clauses in N according to some appropriate ordering, inspect the clauses in ascending order, and construct a series of Herbrand interpretations.
  - The limit Herbrand interpretation can be shown to be a model of N.

Defining Clause Orderings

1. We assume that $\succ$ is any fixed ordering on ground atoms that is total and well-founded. (There exist many such orderings, e.g., the length-based ordering on atoms when these are viewed as words over a suitable alphabet.)
2. Extend $\succ$ to an ordering $\succ_L$ on ground literals:

$$
\begin{array}{lll}
[\neg]A & \succ_L & [\neg]B, \quad \text{if } A \succ B \\
\neg A & \succ_L & A
\end{array}
$$

   (These are 5 conditions!)

3. Extend $\succ_L$ to an ordering $\succ_C$ on ground clauses:
   Let $\succ_C = (\succ_L)_{\text{mul}}$, the multi-set extension of $\succ_L$.

Notation: $\succ$ also for $\succ_L$ and $\succ_C$.

Example

- Suppose $A_5 \succ A_4 \succ A_3 \succ A_2 \succ A_1 \succ A_0$.
- Then:

$$\neg A_5 \succ A_5 \succ \neg A_4 \succ A_4 \succ \ldots \succ \neg A_0 \succ A_0$$

- And:

$$
\begin{array}{rc}
 & A_0 \vee A_1 \\
\prec & A_1 \vee A_2 \\
\prec & \neg A_1 \vee A_2 \\
\prec & \neg A_1 \vee A_4 \vee A_3 \\
\prec & \neg A_1 \vee \neg A_4 \vee A_3 \\
\prec & \neg A_5 \vee A_5
\end{array}
$$

Exercise

- Suppose $A_4 \succ A_3 \succ A_2 \succ A_1$
- How are these clauses ordered by $\succ_C$?

1. $\neg A_3 \vee A_4$
2. $A_3 \vee A_1 \vee A_1$
3. $\neg A_4 \vee A_2$
4. $A_3 \vee A_1$

Exercise

- Suppose $A_4 \succ A_3 \succ A_2 \succ A_1$
- How are these clauses ordered by $\succ_C$?

1. $\neg A_3 \vee A_4$
2. $A_3 \vee A_1 \vee A_1$
3. $\neg A_4 \vee A_2$
4. $A_3 \vee A_1$

- Ordering of literals:

$$\neg A_4 \succ_L A_4 \succ_L \neg A_3 \succ_L A_3 \succ_L \neg A_2 \succ_L A_2 \succ_L \neg A_1 \succ_L A_1$$

Exercise

- Suppose $A_4 \succ A_3 \succ A_2 \succ A_1$
- How are these clauses ordered by $\succ_C$?

1. $\neg A_3 \lor A_4$
2. $A_3 \lor A_1 \lor A_1$
3. $\neg A_4 \lor A_2$
4. $A_3 \lor A_1$

- Ordering of literals:

$$\neg A_4 \succ_L A_4 \succ_L \neg A_3 \succ_L A_3 \succ_L \neg A_2 \succ_L A_2 \succ_L \neg A_1 \succ_L A_1$$

- Ordering of clauses: $3 \succ_C 1 \succ_C 2 \succ_C 4$
  $(4 \prec_C 2 \prec_C 1 \prec_C 3)$

Properties of Clause Orderings

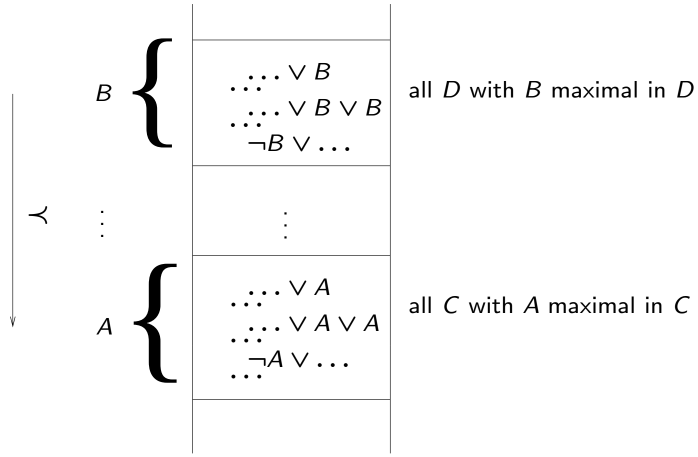
Property 9

1. The orderings ($\succ_L$ and $\succ_C$) on (ground) literals and clauses are total and well-founded.
2. Let C and D be clauses with A an occurrence of a maximal atom in C and B an occurrence of a maximal atom in D.
   (i) If $A \succ B$ then $C \succ D$.
   (ii) If $A = B$ and A occurs negatively in C but only positively in D, then $C \succ D$.

Note: in 2. A and B may be negated or unnegated occurrences.

Stratified Structure of Clause Sets

Let $A \succ B$. Clause sets are then stratified in this form:



Clauses in A-cluster are larger than clauses in B-cluster

Notation: Resolution operators

- Define the operators Res, Res^n, Res^*:

$$Res(N) = \{C \mid C \text{ is the conclusion of applying a rule in } Res \text{ to premises in } N\}$$

Define Res^n inductively by:

$$Res^0(N) = N$$
$$Res^{n+1}(N) = Res(Res^n(N)) \cup Res^n(N), \text{ for } n \geq 0$$
$$Res^*(N) = \bigcup_{n \geq 0} Res^n(N)$$

- $Res(N)$ is the set of 'immediate' resolvents and factors of N (all premises are in N). $Res^*(N)$ is the set of all possible resolvents and factors of N.

Saturation of Clause Sets under *Res*

- N is called saturated (wrt. resolution), if $Res(N) \subseteq N$.
- Method of level saturation computes the saturation of a set N as the closure of N which is given by $Res^*(N)$.

Property 10

(i) $Res^*(N)$ is saturated.

(ii) *Res* is (sound and) refutationally complete iff for each set N of ground clauses:

$$N \models \bot \text{ iff } \bot \in Res^*(N)$$

COMP6012: Automated Reasoning II

Lecture 5

Summary

- soundness and refutational completeness
- sound rule
- soundness of *Res*
- lifting ordering on ground atoms to ground literals and to ground clauses
- properties of $\succ_L$ and $\succ_C$
- properties of ordered sets of clauses, stratification
- saturated clause set, level saturation

Previously ...

- soundness and refutational completeness
- sound rule
- soundness of *Res*
- literal ordering, clause ordering
- properties of ordered clause sets, stratification
- saturated clause set, level saturation

Construction of Herbrand Interpretations

- Our aim is to show the equivalence, where N is any set of ground clauses:

$$N \models \bot \quad \text{iff} \quad \bot \in Res^*(N)$$

- The soundness result (Property 8) implies the "$\Leftarrow$" direction.
- We now show the "$\Rightarrow$" direction (i.e. refutational completeness), by showing

  If $\bot \notin Res^*(N)$, then N has a model.

- **Given**: set N of ground clauses, atom ordering $\succ$.
- **Wanted**: Herbrand interpretation I such that
  - "many" clauses from N are true in I, and
  - $I \models N$, if N is saturated and $\bot \notin N$.

Example

Let $A_5 \succ A_4 \succ A_3 \succ A_2 \succ A_1 \succ A_0$ (strictly maximal literals in red)

	clauses C in N	I_C	Δ_C	Remarks
1	$\neg A_0$	$\emptyset$	$\emptyset$	true in I_C
2	$A_0 \vee A_1$	$\emptyset$	$\{A_1\}$	A_1 str. maximal
3	$A_1 \vee A_2$	$\{A_1\}$	$\emptyset$	true in I_C
4	$\neg A_1 \vee A_2$	$\{A_1\}$	$\{A_2\}$	A_2 str. maximal
5	$\neg A_1 \vee A_4 \vee A_3 \vee A_0$	$\{A_1, A_2\}$	$\{A_4\}$	A_4 str. maximal
6	$\neg A_1 \vee \neg A_4 \vee A_3$	$\{A_1, A_2, A_4\}$	$\emptyset$	A_3 not str. max. *min. exception*
7	$\neg A_1 \vee A_5$	$\{A_1, A_2, A_4\}$	$\{A_5\}$	A_5 str. maximal

$I = \{A_1, A_2, A_4, A_5\}$ is not a model of the clause set because there exists an exception (or counter example/unfulfilled clause), clause 6.

Main Ideas of the Construction

- Approximate (!) description: Define I inductively by:
  - Starting with a minimal clause C in N.

    (Since in the ground case the ordering is total, there is a smallest clause and we start in fact with this clause.)
  - Consider the largest atom in C and attempt to define (in a certain way) $I_C \cup \Delta_C$ (!) as the minimal extension of the partial interpretation constructed so far (I_C) so that C becomes true.
  - Iterate for $N \backslash \{C\}$, and so forth.
- I.e. clauses are considered in the order given by $\prec$.
- When considering C, one already has a partial interpretation I_C available (initially $I_C = \emptyset$).

Main Ideas of the Construction (cont'd)

- If C is true in the partial interpretation I_C, nothing is done ($\Delta_C = \emptyset$).
- If C is false, change I_C such that C becomes true.
- Changes should, however, be monotone. One never deletes anything from I_C and the truth value of any clause smaller than C should be maintained the way it was in I_C.
- Hence, one chooses $\Delta_C = \{A\}$ iff C is false in I_C, and when both

  (i) A occurs positively in C, and

  (ii) this occurrence of A in C is strictly maximal (i.e. largest) in the ordering on literals.
- Note: (i) $\Rightarrow$ adding A will make C become true.

  (ii) $\Rightarrow$ changing the truth value of A has no effect on smaller clauses.

Resolution Reduces Exceptions (Counterexamples)

$$\frac{\neg A_1 \lor A_4 \lor A_3 \lor A_0 \qquad \neg A_1 \lor \neg A_4 \lor A_3}{\neg A_1 \lor \neg A_1 \lor A_3 \lor A_3 \lor A_0}$$

Construction of I for the extended clause set:

clauses C	I_C	Δ_C	Remarks
$\neg A_0$	$\emptyset$	$\emptyset$	
$A_0 \lor A_1$	$\emptyset$	$\{A_1\}$	
$A_1 \lor A_2$	$\{A_1\}$	$\emptyset$	
$\neg A_1 \lor A_2$	$\{A_1\}$	$\{A_2\}$	
$\neg A_1 \lor \neg A_1 \lor A_3 \lor A_3 \lor A_0$	$\{A_1, A_2\}$	$\emptyset$	A_3 occurs twice *min. exception*
$\neg A_1 \lor A_4 \lor A_3 \lor A_0$	$\{A_1, A_2\}$	$\{A_4\}$	
$\neg A_1 \lor \neg A_4 \lor A_3$	$\{A_1, A_2, A_4\}$	$\emptyset$	exception
$\neg A_1 \lor A_5$	$\{A_1, A_2, A_4\}$	$\{A_5\}$	

The same I, but smaller exception, hence some progress was made.

Factoring Reduces Exceptions (Counterexamples)

$$\frac{\neg A_1 \lor \neg A_1 \lor A_3 \lor A_3 \lor A_0}{\neg A_1 \lor \neg A_1 \lor A_3 \lor A_0}$$

Construction of I for the extended clause set:

clauses C	I_C	Δ_C	Remarks
$\neg A_0$	$\emptyset$	$\emptyset$	
$A_0 \lor A_1$	$\emptyset$	$\{A_1\}$	
$A_1 \lor A_2$	$\{A_1\}$	$\emptyset$	
$\neg A_1 \lor A_2$	$\{A_1\}$	$\{A_2\}$	
$\neg A_1 \lor \neg A_1 \lor A_3 \lor A_0$	$\{A_1, A_2\}$	$\{A_3\}$	
$\neg A_1 \lor \neg A_1 \lor A_3 \lor A_3 \lor A_0$	$\{A_1, A_2, A_3\}$	$\emptyset$	true in I_C
$\neg A_1 \lor A_4 \lor A_3 \lor A_0$	$\{A_1, A_2, A_3\}$	$\emptyset$	
$\neg A_1 \lor \neg A_4 \lor A_3$	$\{A_1, A_2, A_3\}$	$\emptyset$	true in I_C
$\neg A_3 \lor A_5$	$\{A_1, A_2, A_3\}$	$\{A_5\}$	

The resulting $I = \{A_1, A_2, A_3, A_5\}$ is a model of the clause set.

Construction of Candidate Models Formally

- Let $N, \succ$ be given. Guided by $\succ$, we define sets I_C and Δ_C for all ground clauses C over the given signature inductively by:

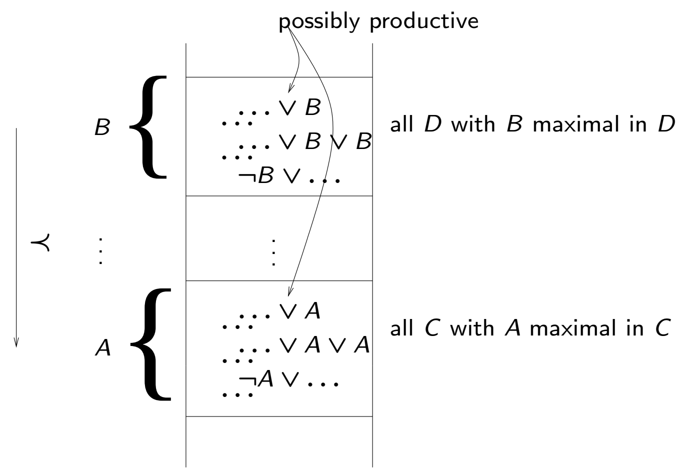
$$I_C := \bigcup_{C \succ D} \Delta_D$$

$$\Delta_C := \begin{cases} \{A\}, & \text{if } C \in N,\ \ C = C' \lor A, \\ & A \succ C' \text{ and } I_C \not\models C \\ \emptyset, & \text{otherwise} \end{cases}$$

- We say, C produces A, or just C is productive, if $\Delta_C = \{A\}$.
- The candidate model for N (wrt. $\succ$) is given as $I_N^{\succ} := \bigcup_C \Delta_C$.
- We also simply write I_N, or I, for $I_N^{\succ}$, if $\succ$ is either irrelevant or known from the context.

Structure of $(N, \succ)$

Let $A \succ B$; producing a new atom does not affect smaller clauses.



The smallest clauses in each cluster are POSSIBLY productive; but NOT necessarily (particularly if they are already true in I_C).

Some Properties of the Construction

Property 11

(i) $C = \neg A \vee C' \;\Rightarrow\;$ no D s.t. $D \succeq C$ produces A.

(ii) C productive $\;\Rightarrow\; I_C \cup \Delta_C \models C$ and $I_N \models C$.

(iii) Let $D' \succ D \succeq C$. Then

$$I_D \cup \Delta_D \models C \;\Rightarrow\; I_{D'} \cup \Delta_{D'} \models C \text{ and } I_N \models C.$$

If, in addition, $C \in N$ or $B \succ A$, where B and A are maximal atoms in D and C, respectively, then

$$I_D \cup \Delta_D \not\models C \;\Rightarrow\; I_{D'} \cup \Delta_{D'} \not\models C \text{ and } I_N \not\models C.$$

Some Properties of the Construction (cont'd)

(iv) Let $D' \succ D \succ C$. Then

$$I_D \models C \;\Rightarrow\; I_{D'} \models C \text{ and } I_N \models C.$$

If, in addition, $C \in N$ or $B \succ A$, where B and A are maximal atoms in D and C, respectively, then

$$I_D \not\models C \;\Rightarrow\; I_{D'} \not\models C \text{ and } I_N \not\models C.$$

(v) $C = C' \vee A$ produces $A \;\Rightarrow\; I_N \not\models C'$.

Model Existence Theorem

Property 12 (Bachmair, Ganzinger 1990)

Let $\succ$ be a clause ordering, let N be saturated wrt. *Res*, and suppose that $\bot \notin N$. Then

$$I_N^{\succ} \models N.$$

Corollary 13

Let N be saturated wrt. *Res*. Then

$$N \models \bot \text{ iff } \bot \in N.$$

Corollary 14

Res is refutationally complete.

Model Existence Theorem (cont'd)

Proof of Property 12:
Suppose $\bot \notin N$, but $I_N^{\succ} \not\models N$.
Let $C \in N$ be minimal (wrt. $\succ$) such that $I_N^{\succ} \not\models C$.
Since C is false in I_N, C is not productive. (NB: $I_N = I_N^{\succ}$)
As $C \neq \bot$, there exists a maximal atom A in C.

Case 1: $C = \neg A \vee C'$ (i.e., the maximal atom occurs negatively)
$\Rightarrow\; I_N \not\models \neg A$ and $I_N \not\models C' \;\Rightarrow\; I_N \models A$ and $I_N \not\models C'$
$\Rightarrow$ some $D = D' \vee A \in N$ produces A. As $\frac{D' \vee A \qquad \neg A \vee C'}{D' \vee C'}$, we infer that $D' \vee C' \in N$, and $C \succ D' \vee C'$ and $I_N \not\models D' \vee C'$
$\Rightarrow$ contradicts minimality of C.

Case 2: $C = C' \vee A \vee A$. Then $I_N \not\models A$ and $I_N \not\models C'$. Then $\frac{C' \vee A \vee A}{C' \vee A}$ yields a smaller exception $C' \vee A \in N$.
$\Rightarrow$ contradicts minimality of C.

Summary

- Refutational completeness of *Res*
- Model construction
  - Given: Set N of ground clauses; atom ordering $\succ$
  - Output: Candidate model $I_N^{\succ}$
- Model Existence Theorem

- productive clause

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Lecture 6

Previously . . .

- Basic resolution calculus for ground clauses
- Soundness
- Refutational completeness
- Model existence theorem
- Model construction, guided by $\succ$

Ordered Resolution with Selection

- Motivation: Search space for *Res* is very large.
- Ideas for improvement:
  - In the completeness proof (Model Existence Theorem, Pty 12) one only needs to resolve upon and factor maximal atoms

    $\Rightarrow$ if the calculus is restricted to inferences involving maximal atoms, the proof remains correct

    $\Rightarrow$ ordering restrictions
  - In the proof, it does not really matter with which negative literal an inference is performed

    $\Rightarrow$ choose a negative literal don't-care-nondeterministically

    $\Rightarrow$ selection

Selection Functions

- A selection function is a mapping

  $S : C \quad \mapsto \quad$ (multi-)set of occurrences of negative literals in C

- Example of selection with selected literals indicated as $\boxed{L}$:

$$\boxed{\neg A} \vee \neg A \vee B$$

$$\boxed{\neg B_0} \vee \boxed{\neg B_1} \vee A$$

Maximality wrt ground & non-ground clauses

- In the completeness proof for the ground calculus, we talk about (strictly) maximal literals of ground clauses.
- General refutational completeness can be proved using refutational completeness of ground resolution, Herbrand's Theorem and
  - the 'lifting lemma': every ground refutation of a ground instance of N can be mapped step-wise to a non-ground refutation of N.

  (See optional material on website, for details about refutational completeness of general resolution.)
- Fact: In the non-ground calculus, we have to consider those literals that correspond to (strictly) maximal literals of ground instances.

Maximal and strictly maximal literals

- Let $\succ$ be a total and well-founded ordering on ground atoms.
- A ground literal L is called maximal wrt. a clause C iff for all L' in C: $\quad L \succeq L'$.
- A ground literal L is called strictly maximal wrt. a clause C iff for all L' in C: $\quad L \succ L'$.
- A non-ground literal L is [strictly] maximal wrt. a clause C iff there exists a ground substitution σ such that for all L' in C: $\quad L\sigma \succeq L'\sigma \quad [L\sigma \succ L'\sigma]$.

Resolution Calculus $Res_S^{\succ}$

- Let $\succ$ be an atom ordering and S a selection function.
- **General ordered resolution calculus with selection $Res_S^{\succ}$:**

$$\frac{C \vee A \qquad \neg B \vee D}{(C \vee D)\sigma} \qquad \text{(ordered resolution with selection)}$$

  provided $\sigma = \mathrm{mgu}(A, B)$ and

  (i) $A\sigma$ strictly maximal wrt. $C\sigma$;

  (ii) nothing is selected in C by S;

  (iii) either $\neg B$ is selected,
  or else nothing is selected in $\neg B \vee D$ and $\neg B\sigma$ is maximal wrt. $D\sigma$.

- Note, variable standardisation needs to be applied to the premises before applying resolution.

Resolution Calculus $Res_S^{\succ}$ (cont'd)

$$\frac{C \vee A \vee B}{(C \vee A)\boldsymbol{\sigma}} \qquad \text{(ordered factoring)}$$

provided $\boldsymbol{\sigma} = \mathrm{mgu}(A, B)$ and

(i) $A\boldsymbol{\sigma}$ is maximal wrt. $C\boldsymbol{\sigma}$ and

(ii) nothing is selected in C.

Special Instance: $Res_S^{\succ}$ for Propositional Logic

- For propositional and ground clauses the resolution inference simplifies to

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

provided

(i) A is strictly maximal wrt. C, i.e. $A \succ C$;

(ii) nothing is selected in C by S;

(iii) $\neg A$ is selected in $\neg A \vee D$,
or else nothing is selected in $\neg A \vee D$ and $\neg A$ is max. wrt. D

- Note:
  - $A \succ C$ is the same as: $A \succ B$, for B a maximal atom in C.
  - $\neg A$ is maximal wrt. D means $\neg A \succeq L$, for every literal L in D, which means $A \succeq B$ for every maximal atom B in D.

Special Instance: $Res_S^{\succ}$ for Propositional Logic (cont'd)

- Ordered factoring:

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

provided

(i) A is maximal wrt. C and

(ii) nothing is selected in C.

Search Spaces Become Smaller

- Example:

1.	$A \vee B$	given
2.	$A \vee \boxed{\neg B}$	given
3.	$\neg A \vee B$	given
4.	$\neg A \vee \boxed{\neg B}$	given
5.	$B \vee B$	Res 1, 3
6.	B	Fact 5
7.	$\neg A$	Res 6, 4
8.	A	Res 6, 2
9.	$\perp$	Res 8, 7

we assume $A \succ B$ and S as indicated by $\boxed{L}$. The maximal literal in a clause is depicted in red.

- With this ordering and selection function the refutation proceeds strictly deterministically in this example. Generally, proof search will still be non-deterministic but the search space will be much smaller than with unrestricted resolution.

Exercise

Consider the following set N of clauses.

1. $\neg P(x) \lor P(f(x))$
2. $P(a)$

(i) Give a derivation for it under unrestricted resolution.

(ii) Define an ordering or selection function, or both, so that no inference is performed on N.

Exercise

Consider the following set N of clauses.

1. $\neg P(x) \lor P(f(x))$
2. $P(a)$

(i) Give a derivation for it under unrestricted resolution.

1.	$\neg P(x) \lor P(f(x))$	given
2.	$P(a)$	given
3.	$P(f(a))$	(1,2)
4.	$P(f(a))$	(1,3)
5.	$P(f(f(a)))$	(1,4)
	$\vdots$	

(ii) Define an ordering or selection function, or both, so that no inference is performed on N.

1. $\neg P(x) \lor P(f(x))$
2. $P(a)$

Don't select any literals and use an ordering under which $P(f(x))$ is strictly maximal wrt. $P(x)$

Exercise

Consider the following set N of clauses.

1. $\neg P(x) \lor P(f(x))$
2. $P(a)$

(i) Give a derivation for it under unrestricted resolution.

(ii) Define an ordering or selection function, or both, so that no inference is performed on N.

Avoiding Rotation Redundancy

- From

$$\cfrac{\cfrac{C_1 \lor A \qquad C_2 \lor \neg A \lor B}{C_1 \lor C_2 \lor B} \qquad C_3 \lor \neg B}{C_1 \lor C_2 \lor C_3}$$

  we can obtain by rotation

$$\cfrac{C_1 \lor A \qquad \cfrac{C_2 \lor \neg A \lor B \qquad C_3 \lor \neg B}{C_2 \lor \neg A \lor C_3}}{C_1 \lor C_2 \lor C_3}$$

  another proof of the same clause.
- In large proofs many rotations are possible.
- However, if $A \succ B$, then the second proof does not fulfill the ordering restrictions.

Avoiding Rotation Redundancy (cont'd)

- **Conclusion**:
  In the presence of ordering restrictions (however one chooses $\succ$) no rotations are possible. In other words, orderings identify exactly one representative in any class of rotation-equivalent proofs.

Soundness and Refutational Completeness

Property 15
Let $\succ$ be an atom ordering and S a selection function such that $Res_S^{\succ}(N) \subseteq N$. Then

$$N \models \bot \text{ iff } \bot \in N$$

Proof:
The "$\Leftarrow$" part is trivial. For the "$\Rightarrow$" part consider the propositional level only: Construct a candidate model $I_N^{\succ}$ as for unrestricted resolution, except that clauses C in N that have selected literals are not productive, even when they are false in I_C and when their maximal atom occurs only once and positively.

Summary

- ground and non-ground maximality of literal wrt. clause
- ordered resolution with selection $Res_S^{\succ}$
  - inferences limited by ordering $\succ$
  - inferences limited by selection function S
- soundness and refutational completeness

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Lecture 7