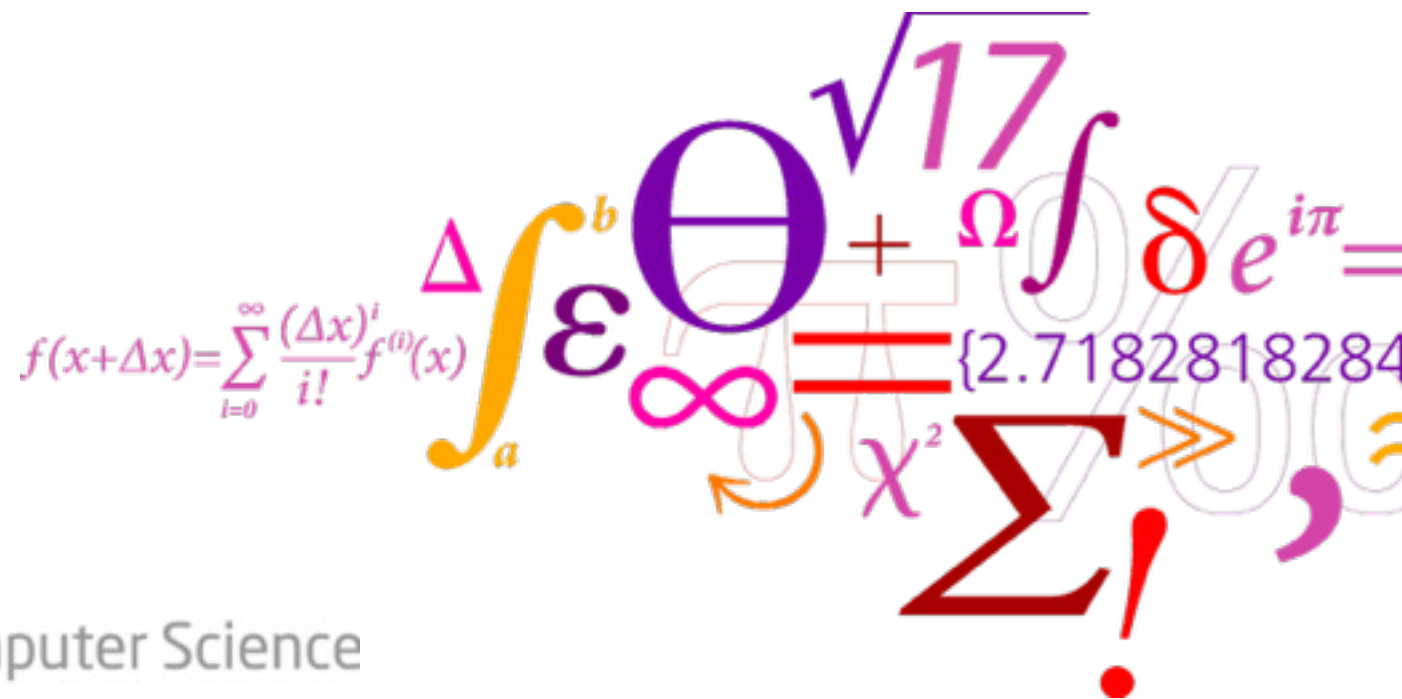


Formalization of the Resolution Calculus for First-Order Logic

Anders Schlichtkrull



The resolution calculus for first-order logic



The resolution calculus for first-order logic

- is a proof calculus for FO CNF formulas. $p(x) \wedge (q(y) \vee r(x))$

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1930-2016

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- is a proof calculus for FO CNF formulas.
- plain logic without types, sorts, equality
- is a refutation proof calculus.
- was introduced by
J. A. Robinson, J. ACM, 1965.
- is used in automatic theorem provers
(e.g. E, SPASS, Vampire).

$$p(x) \wedge (q(y) \vee r(x))$$

$$P \vdash \perp$$



1930-2016



The resolution calculus for propositional logic



$$\frac{A \quad A \rightarrow C_2}{C_2}$$

The resolution calculus for propositional logic



$$\frac{\neg C_1 \rightarrow A \quad A \rightarrow C_2}{\neg C_1 \rightarrow C_2}$$

The resolution calculus for propositional logic



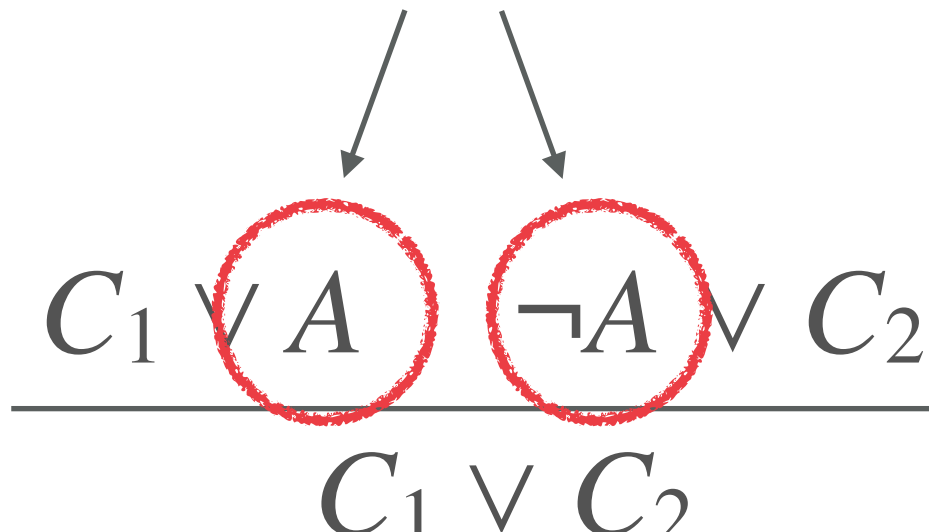
$$\frac{\neg C_1 \rightarrow A \quad A \rightarrow C_2}{\neg C_1 \rightarrow C_2}$$

$$\frac{C_1 \vee A \quad \neg A \vee C_2}{C_1 \vee C_2}$$

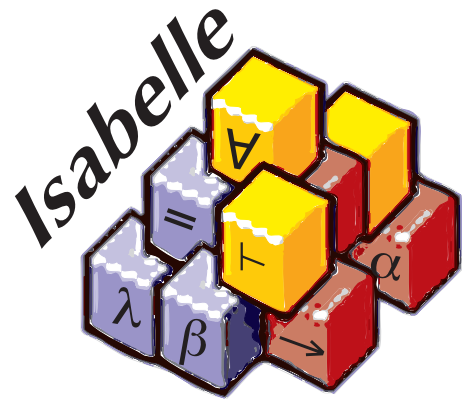
The resolution calculus for propositional logic

$$\frac{\neg C_1 \rightarrow A \quad A \rightarrow C_2}{\neg C_1 \rightarrow C_2}$$

Clashing literals


$$\frac{C_1 \vee A \quad \neg A \vee C_2}{C_1 \vee C_2}$$

Motivation



IsaFoL project

Isabelle Formalization of Logic



The formalization is part of IsaFoL.

IsaFoL = library of basic results in automated reasoning.

New calculi or calculus variants can be easily developed directly in Isabelle.

- Completeness of FOL
Blanchette, Popescu, Traytel (IJCAR 2014)
- CDCL with extensions
Blanchette, Fleury, Weidenbach (IJCAR 2016)
- FO resolution
Schlichtkrull (ITP 2016)

- Completeness of FOL

Blanchette, Popescu, Traytel (IJCAR 2014)

- CDCL with extensions

Blanchette, Fleury, Weidenbach (IJCAR 2016)

- FO resolution

Schlichtkrull (ITP 2016)

Related work

- FO model theory
Harrison in HOL Light (TPHOL 1998)
- FO (but no terms) sequent calculus
Margetson, Ridge in Isabelle/HOL (AFP 2004)
- FO (but no terms) verified prover
Margetson, Ridge in Isabelle/HOL (TPHOL 2005)
- FO sequent calculus
Brasenmann, Koepke in Mizar (Formalized Mathematics 2005)
- Soundness of HOL Light
Harrison in HOL Light (IJCAR 2006)
- FO natural deduction
Berghofer in Isabelle/HOL (AFP 2007)

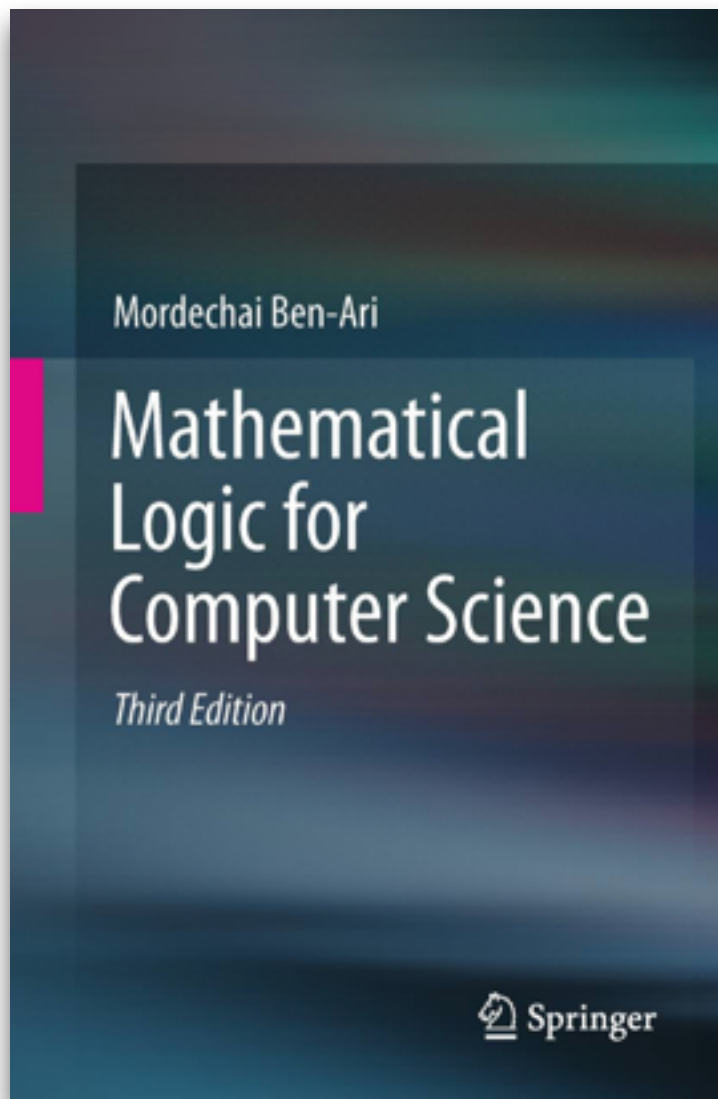
...

Related work

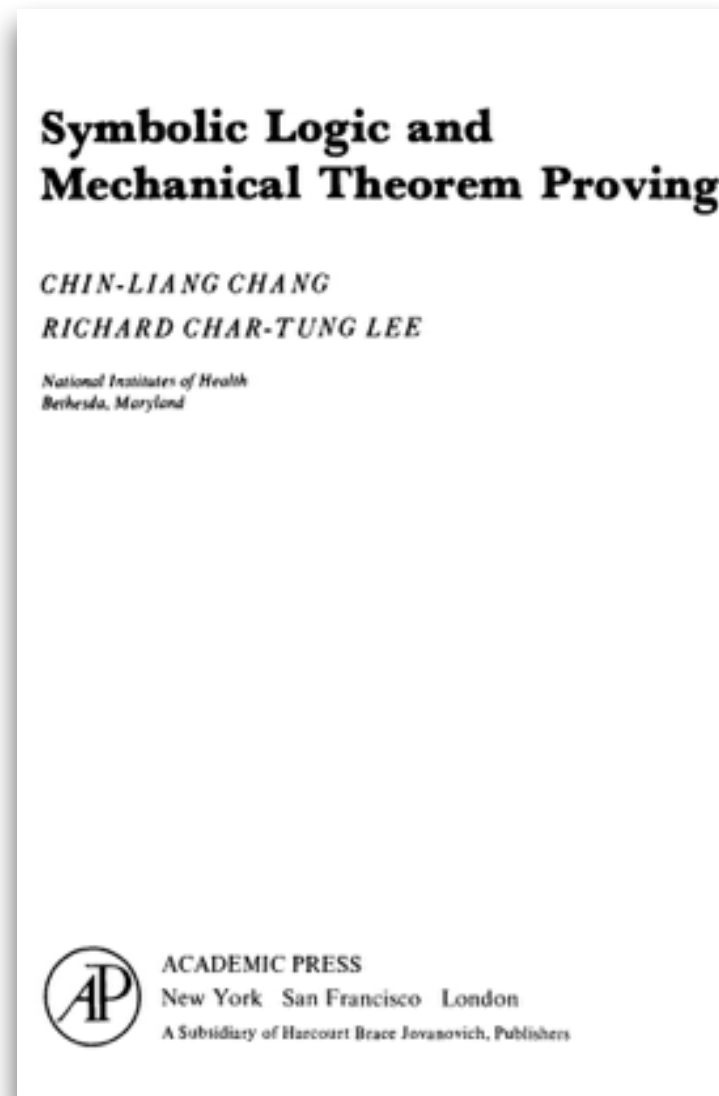
...

- Constructive completeness proofs
Illik in Coq (PhD thesis 2010)
- FO sequent calculus and uncountable languages
Schlöder, Koepke in Mizar (Formalized Mathematics 2012)
- Gödel's incompleteness
Paulson in Isabelle/HOL (JAR 2015)
- Soundness of HOL Light with definitions
Kumar, Arthan, Myreen, Owens (JAR 2016)
- The Incredible Proof Machine
Breitner, Lohner in Isabelle/HOL (ITP 2016)
- FO axiomatic system (soundness only)
Jensen, Schlichtkrull, Villadsen in Isabelle/HOL (Isabelle Workshop 2016)

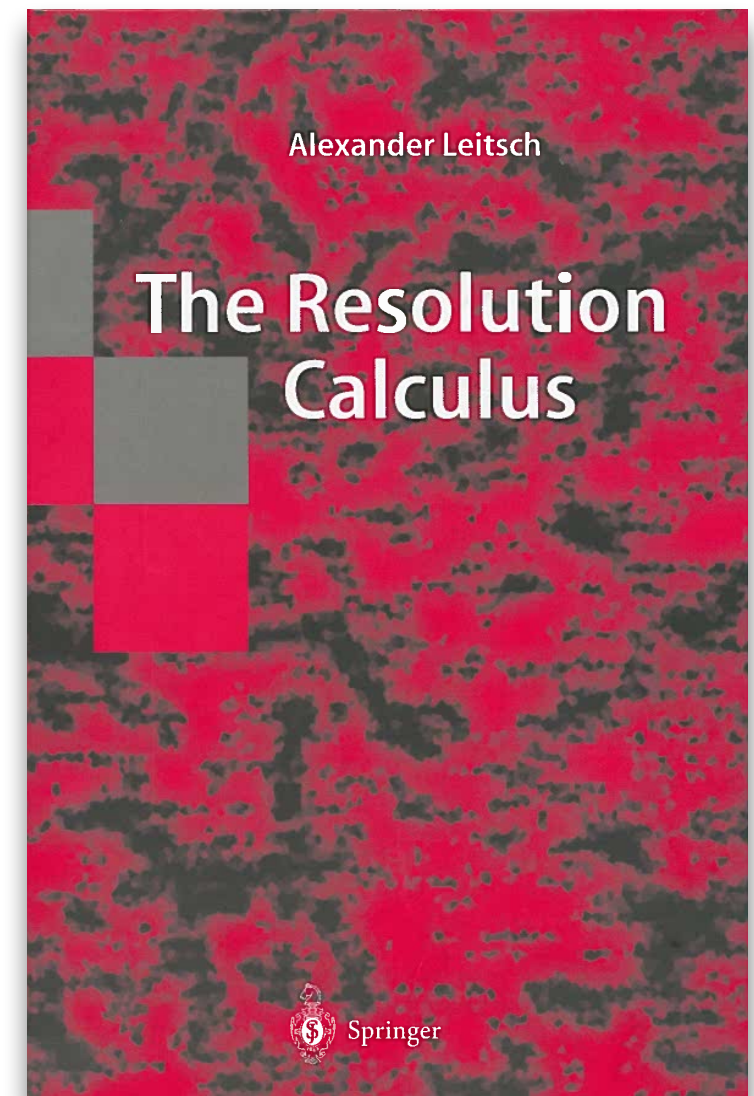
Books I followed



Ben-Ari



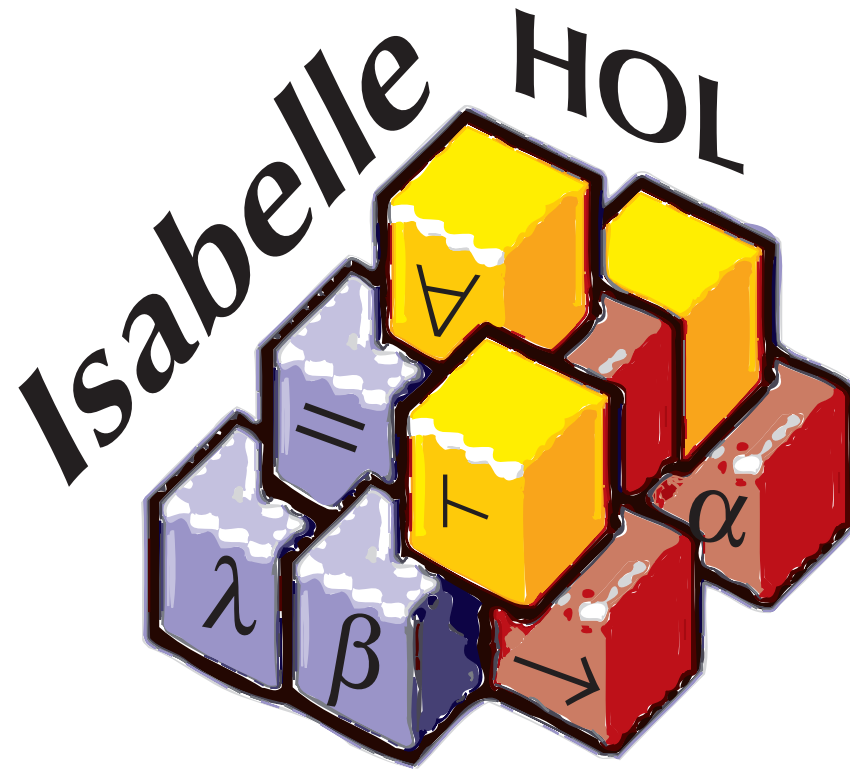
Chang and Lee



Leitsch

Tools I used

- Isabelle/jEdit
- Isar
- Proof methods of Isabelle: auto, blast, metis
- Sledgehammer



Clausal first-order logic

Terms: x ; y ; $f(c, x)$; $f(y, f(x, c))$

```
datatype fterm =  
  Var var-sym  
| Fun fun-sym (fterm list)
```

Herbrand (ground) terms: c ; d ; $f(c, d)$; $f(d, f(c, c))$

```
datatype hterm =  
  HFun fun-sym (hterm list)
```

Clausal first-order logic



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Atoms: $p(c, x); q(d)$

type-synonym 't atom = pred-sym * 't list

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Literals: $p(c, x)$; $\neg q(d)$

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datatype 't literal =  
  Pos pred-sym ('t list)  
| Neg pred-sym ('t list)
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Clausal first-order logic

Atoms: $p(c, x); q(d)$

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Literals: $p(c, x); \neg q(d)$

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```

Clauses: $\forall x y z. p(x, y) \vee q(z) \vee q(a)$

```
type-synonym 't clause = 't literal set
```


From propositional resolution to FO resolution



$$\frac{r \vee p \quad \neg r \vee q}{p \vee q}$$

$$\frac{\{r, p\} \quad \{\neg r, q\}}{\{p, q\}}$$

From propositional resolution to FO resolution



$$\frac{r \vee p \quad \neg r \vee q}{p \vee q}$$

$$\frac{\{r, p\} \quad \{\neg r, q\}}{\{p, q\}}$$

$$\frac{\{r(x), r(y), p(y)\} \quad \{\neg r(c), q\}}{???$$

Machinery



Machinery

Complement of a literal:

$$p(x, y)^c = \neg p(x, y); \quad \neg q(f(x))^c = q(f(x))$$

```
fun complement :: 't literal  $\Rightarrow$  't literal where  
  (Pos P ts)c = Neg P ts  
| (Neg P ts)c = Pos P ts
```

Machinery

Complement of a literal:

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  (Pos P ts)c = Neg P ts
| (Neg P ts)c = Pos P ts
```

Complement of a set of literals:

$$\{p(x, y), \neg q(f(x))\}^c = \{\neg p(x, y), q(f(x))\}$$

```
abbreviation complements :: 't literal set => 't literal set where
  Lc ≡ complement ` L
```

Machinery



Substitutions:

$$\{x \mapsto c, y \mapsto d\}; \{x \mapsto f(x, y), z \mapsto y\}$$

`type_synonym substitution = var-sym \Rightarrow fterm`

Machinery

Substitutions:

$$\{x \mapsto c, y \mapsto d\}; \{x \mapsto f(x, y), z \mapsto y\}$$

`type_synonym` substitution = var-sym \Rightarrow fterm

Application:

$$f(x, g(y)) \cdot \{x \mapsto c, y \mapsto d\} = f(c, g(d))$$

`fun` sub :: fterm \Rightarrow substitution \Rightarrow fterm `where`

(Var `x`) \cdot σ = σ `x`

| (Fun `f ts`) \cdot σ = Fun `f` (map ($\lambda t. t \cdot \sigma$) `ts`)

Machinery



Unifier:

$\{p(x, y), p(z, c)\}$ has unifier $\{x \mapsto c, y \mapsto c, z \mapsto c\}$

definition `unifier :: substitution \Rightarrow fterm literal set \Rightarrow bool`

where

`unifier σ L $\longleftrightarrow (\exists l'. \forall l \in L. l \cdot \sigma = l')$`

Unifier:

$\{p(x, y), p(z, c)\}$ has unifier $\{x \mapsto c, y \mapsto c, z \mapsto c\}$

definition `unifier` :: `substitution` \Rightarrow `fterm literal set` \Rightarrow `bool`
where

`unifier` σ $L \iff (\exists l'. \forall l \in L. l \cdot \sigma = l')$

Most general unifier:

$\{p(x, y), p(z, c)\}$ has MGU $\{x \mapsto x, y \mapsto c, z \mapsto x\}$

definition `mgc` :: `substitution` \Rightarrow `fterm literal set` \Rightarrow `bool` **where**
`mgc` σ $L \iff \text{unifier } \sigma \ L \wedge (\forall u. \text{unifier } u \ L \longrightarrow (\exists i. u = \sigma \cdot i))$

FO resolution

$$\frac{C_1 \quad C_2}{((C_1 - L_1) \cup (C_2 - L_2)) \cdot \sigma}$$

C_1 and C_2 share no variables,
 $L_1 \subseteq C_1, L_2 \subseteq C_2,$
 σ MGU for $L_1 \cup L_2^c$

FO resolution

$$\frac{C_1 \quad C_2}{((C_1 - L_1) \cup (C_2 - L_2)) \cdot \sigma} \quad \begin{array}{l} C_1 \text{ and } C_2 \text{ share no variables,} \\ L_1 \subseteq C_1, L_2 \subseteq C_2, \\ \sigma \text{ MGU for } L_1 \cup L_2^c \end{array}$$

E.g. we can resolve

$$\frac{\{r(x), r(y), p(y)\} \quad \{\neg r(c), q\}}{\{p(c), q\}}$$

because $\{r(x), r(y)\} \cup \{r(c)\}$ has MGU $\{x \mapsto c, y \mapsto c\}$

Formalization of FO resolution



Formalization of FO resolution

definition applicable $C_1 C_2 L_1 L_2 \sigma \longleftrightarrow$
 $C_1 \neq \{\} \wedge C_2 \neq \{\} \wedge L_1 \neq \{\} \wedge L_2 \neq \{\}$
 $\wedge \text{vars } C_1 \cap \text{vars } C_2 = \{\}$
 $\wedge L_1 \subseteq C_1 \wedge L_2 \subseteq C_2$
 $\wedge \text{mgu } \sigma (L_1 \cup L_2^c)''$

Formalization of FO resolution

definition applicable $C_1 \ C_2 \ L_1 \ L_2 \ \sigma \iff$

$$\begin{aligned}
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 & \wedge \text{mgu } \sigma \ (L_1 \cup L_2^c)''
 \end{aligned}$$

definition resolution $C_1 \ C_2 \ L_1 \ L_2 \ \sigma = ((C_1 - L_1) \cup (C_2 - L_2)) \cdot \sigma$

Formalization of FO resolution

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definition resolution $C_1 C_2 L_1 L_2 \sigma = ((C_1 - L_1) \cup (C_2 - L_2)) \cdot \sigma$

inductive resolution_step

:: fterm clause set \Rightarrow fterm clause set \Rightarrow bool where

resolution_rule:

$$C_1 \in Cs \implies C_2 \in Cs \implies \text{applicable } C_1 C_2 L_1 L_2 \sigma \implies \\ \text{resolution_step } Cs (Cs \cup \{\text{resolution } C_1 C_2 L_1 L_2 \sigma\})$$

| standardize_apart:

$$C \in Cs \implies \text{var_renaming_of } C C' \implies \text{resolution_step } Cs (Cs \cup \{C'\})$$

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definition resolution_deriv = rtranc1p resolution_step

Refutational completeness



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Refutational completeness:

If C is unsatisfiable then the calculus can derive a contradiction

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If C is unsatisfiable then the calculus can derive a contradiction

unsatisfiable $C \implies (C \vdash \{\})$

Semantic tree

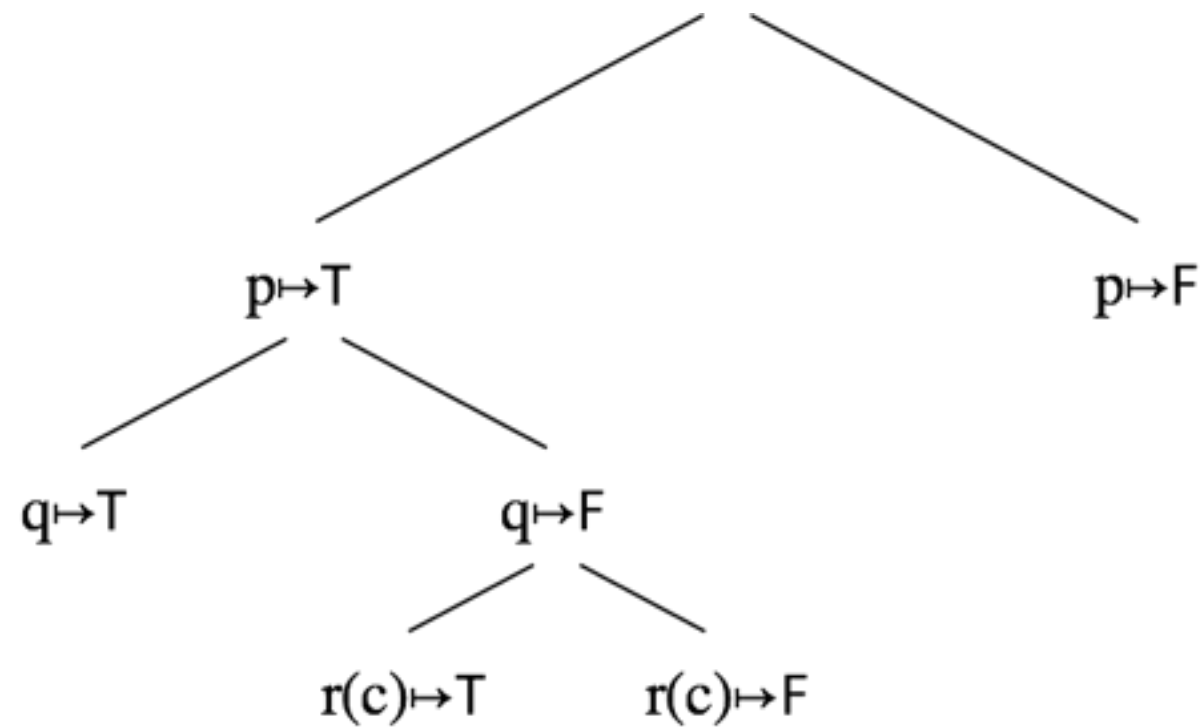


Semantic tree

Enumeration of ground terms: $p, q, r(c), \dots$

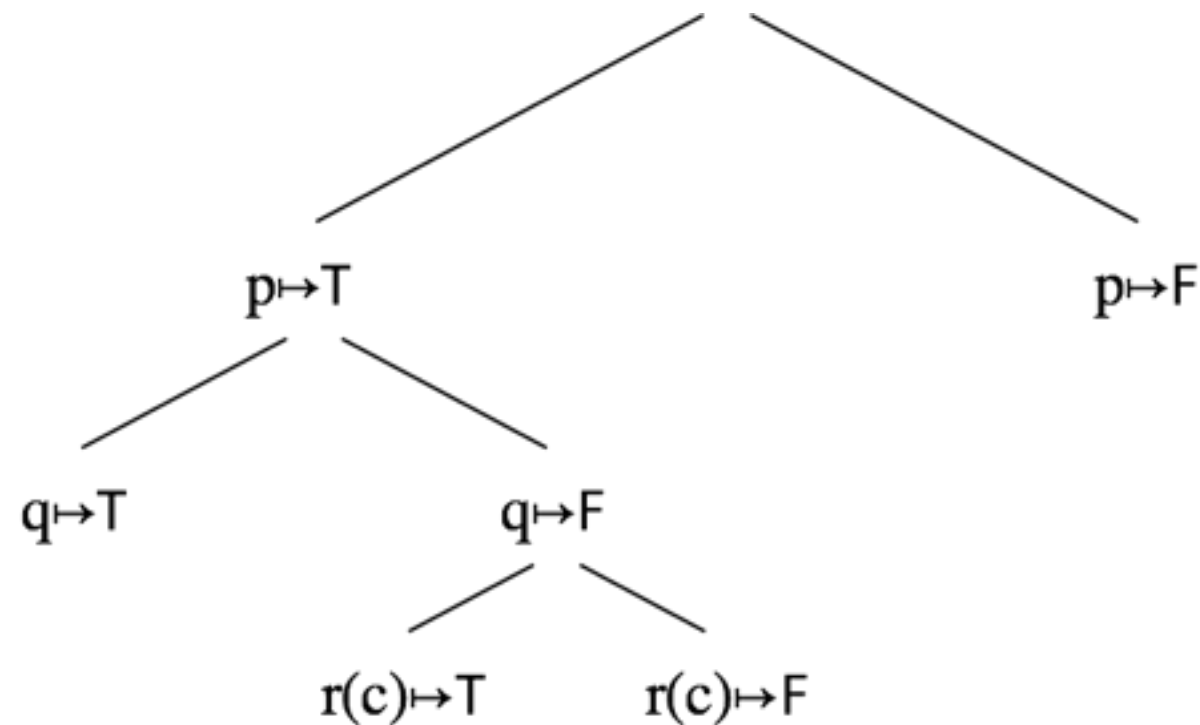
Semantic tree

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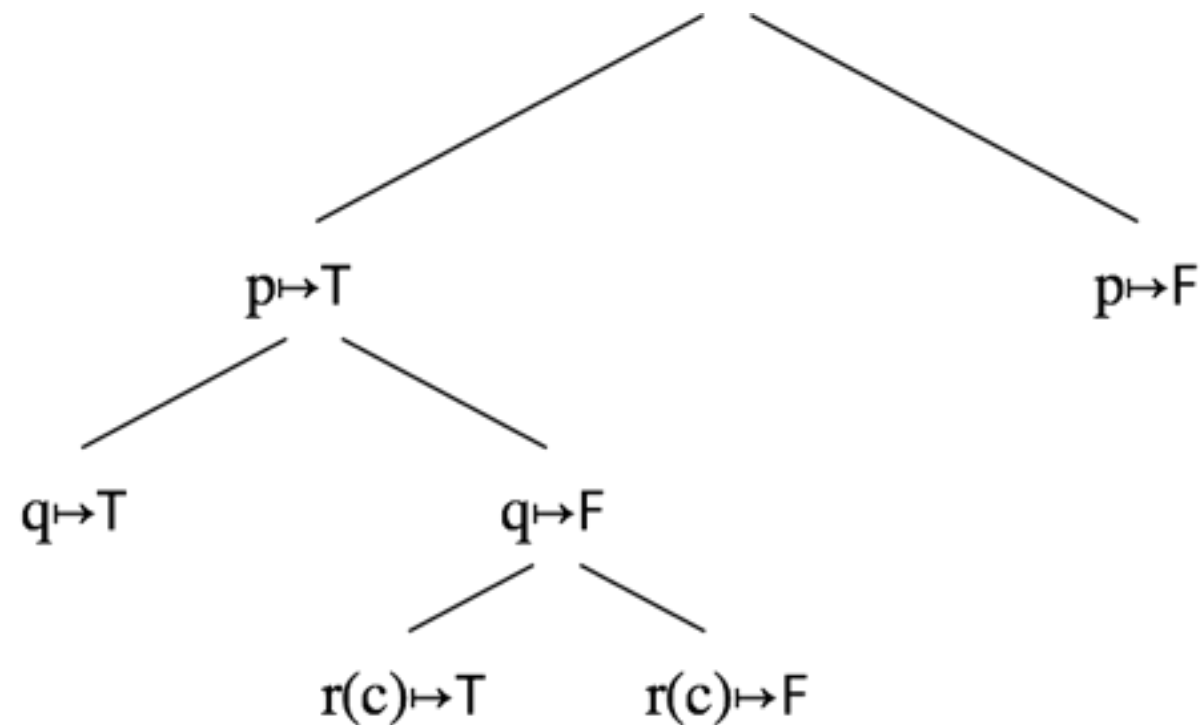
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Semantic trees are decision trees assigning **True** and **False** to the ground atoms.

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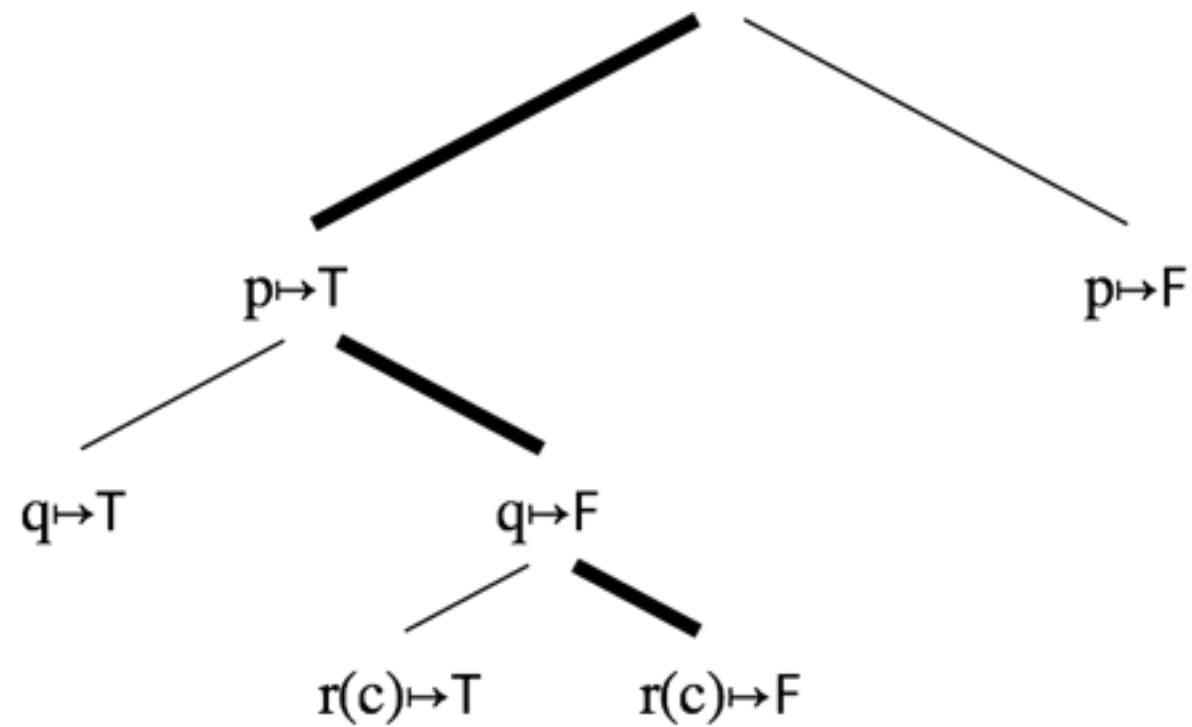


Semantic trees are decision trees assigning **True** and **False** to the ground atoms.

Node on depth ***i*** makes decision for atom ***i***.

Semantic tree

A path represents a partial (Herbrand) interpretation.



E.g. $\{p \mapsto T, q \mapsto F, r(c) \mapsto F\}$

Formalized enumeration



Formalized enumeration

```
definition nat_from_hatom :: hterm atom  $\Rightarrow$  nat where  
  nat_from_hatom  $\equiv$  (SOME f. bij f)
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<proof>
```

```
lemma nat_from_hatom_bij: bij nat_from_hatom  
proof -  
  have countable (UNIV :: hterm atom set) by simp  
  moreover  
  have infinite (UNIV :: hterm atom set) using infinite_hatoms by auto  
  ultimately  
  obtain x where bij (x :: hterm atom  $\Rightarrow$  nat) using countableE_infinite by blast  
  then show ?thesis using ... someI by metis  
qed
```


Formalized enumeration

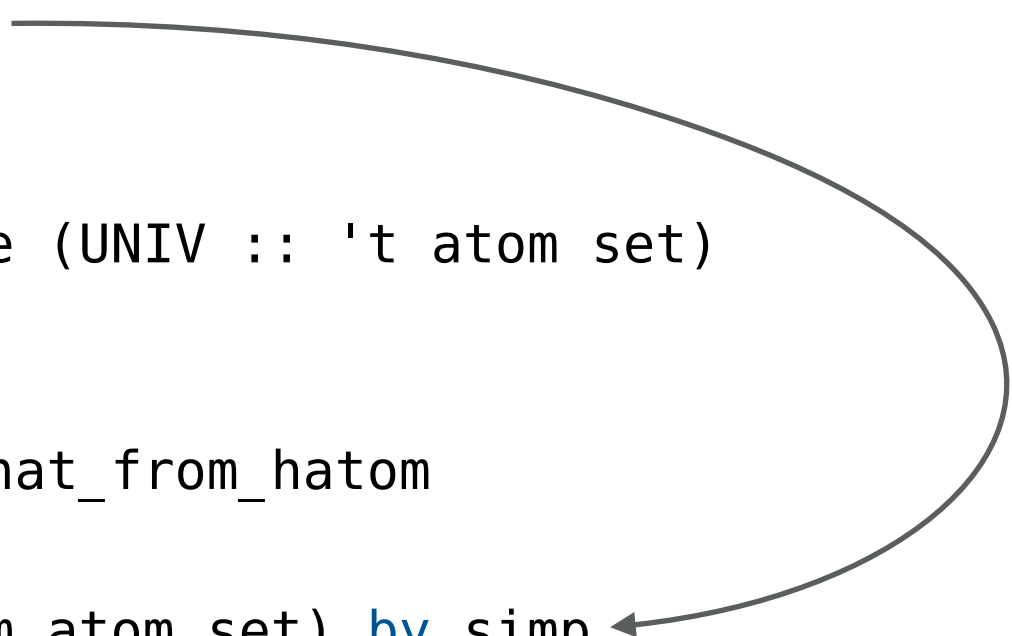
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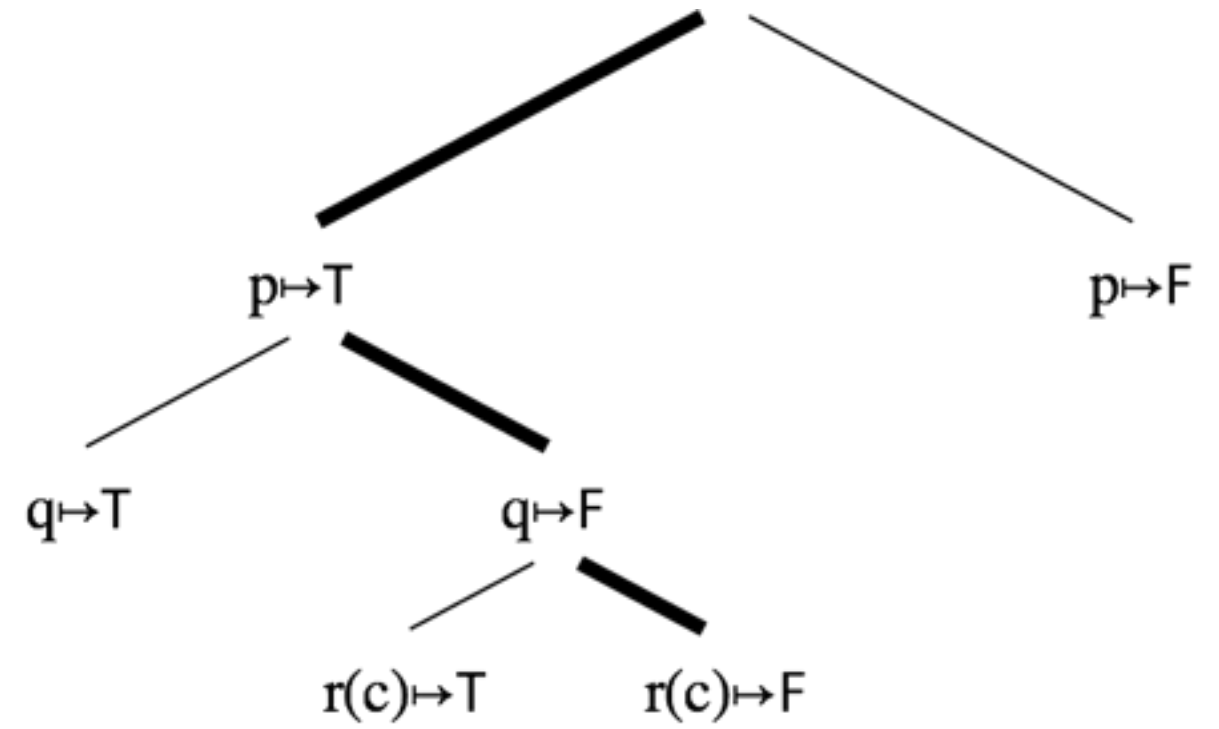
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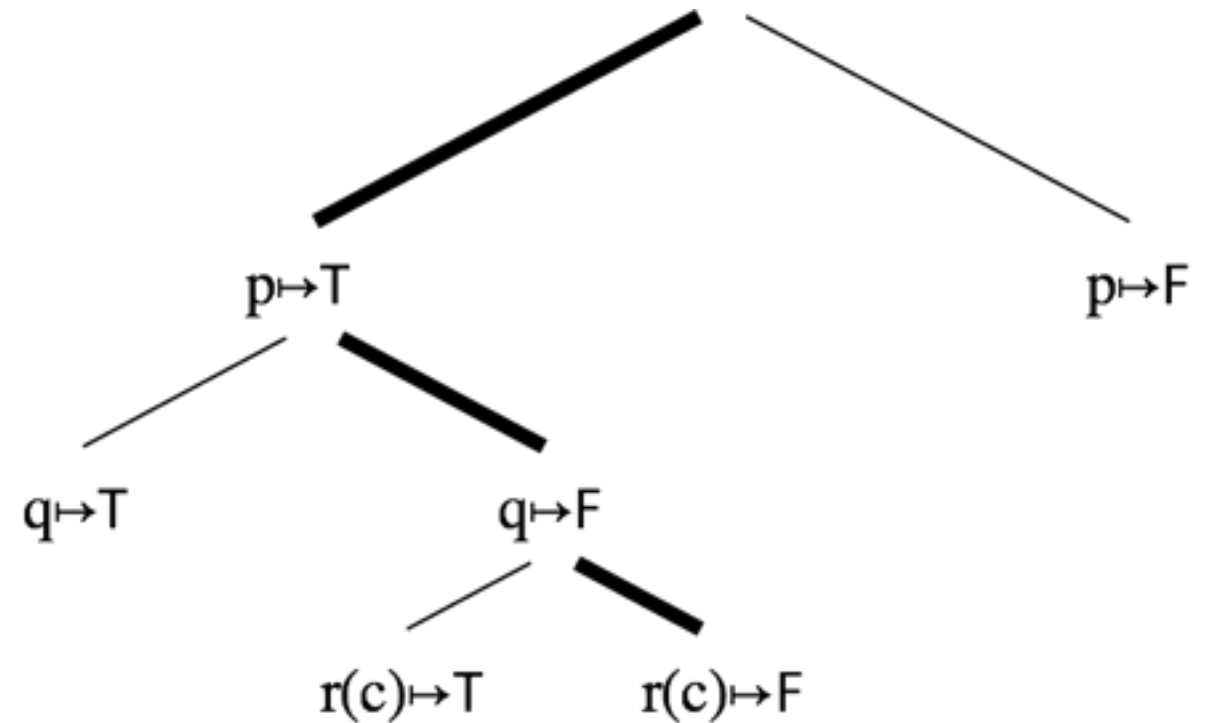
Formalized semantic trees



Formalized semantic trees

Finite trees:

```
datatype tree =  
  Leaf  
| Branching tree tree
```



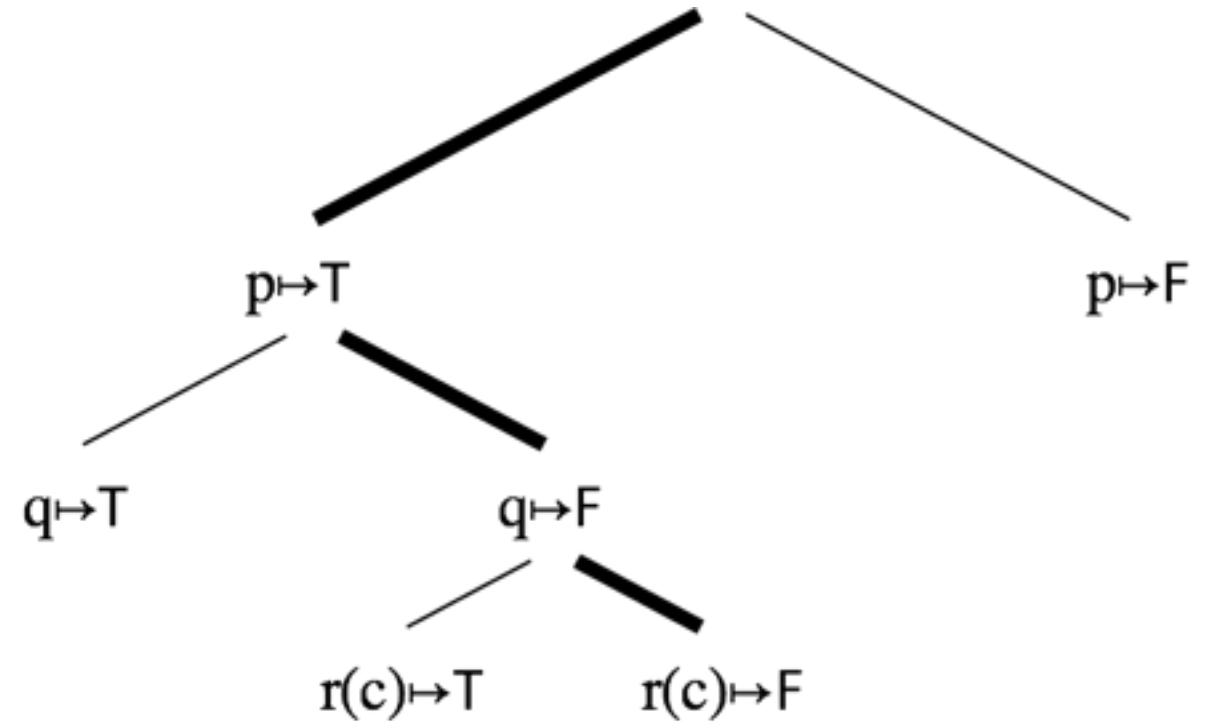
Formalized semantic trees

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Paths:

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type_synonym path = bool list
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Formalized semantic trees

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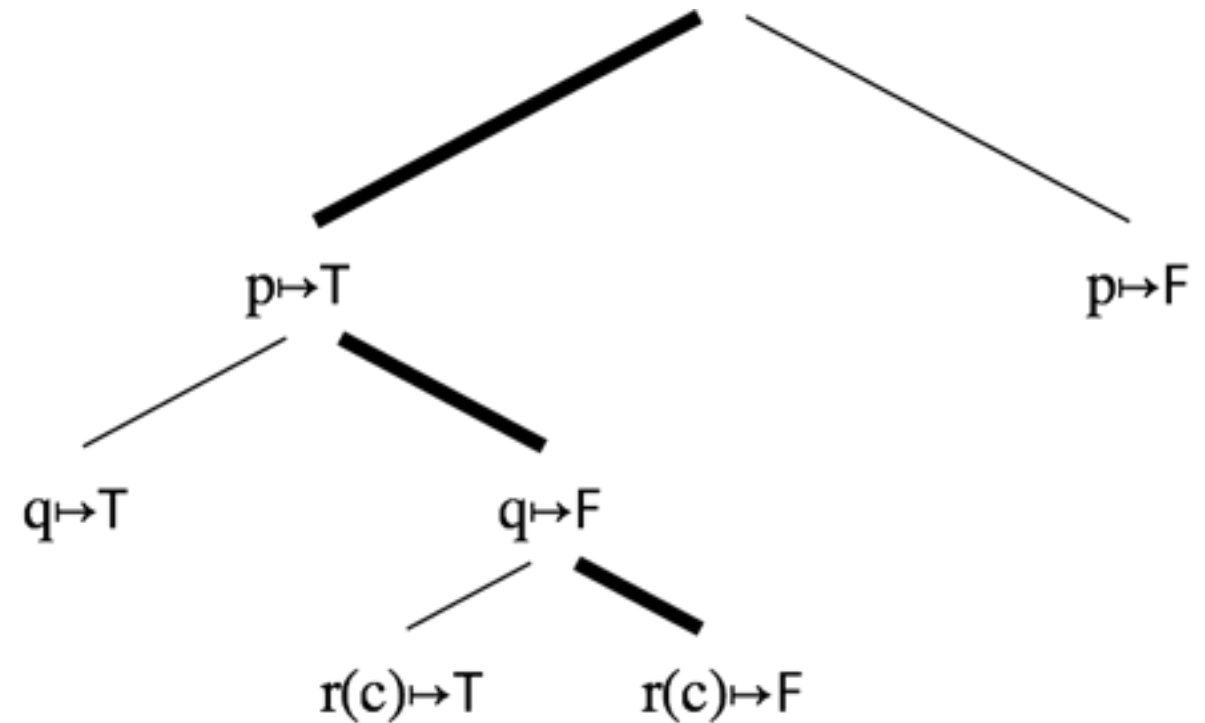
Paths:

```
type_synonym path = bool list
```

Possibly infinite trees:

```
type_synonym inftree = path set
```

```
abbreviation wf_tree :: path set  $\Rightarrow$  bool where
  wf_tree T  $\equiv$  ( $\forall ds\ d. (ds @ d) \in T \longrightarrow ds \in T$ )
```



Falsification by partial interpretation



Falsification by partial interpretation



Falsification of ground clause:

$\{p \mapsto T, q \mapsto F, r(c) \mapsto T\}$ falsifies $\{q, \neg r(c)\}$

Falsification by partial interpretation

Falsification of ground clause:

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abbreviation $\text{falsifies}_g :: \text{path} \Rightarrow \text{fterm clause} \Rightarrow \text{bool}$ where
 $\text{falsifies}_g G C \equiv \text{ground } C \wedge (\forall l \in C. \text{falsifies } G l)$

Falsification by partial interpretation

Falsification of ground clause:

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Falsification of FO clause:

$\{p \mapsto T, q \mapsto F, r(c) \mapsto T\}$ falsifies $\{q, \neg r(x)\}$

Falsification by partial interpretation

Falsification of ground clause:

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Closed semantic tree

Definition of closed semantic tree:

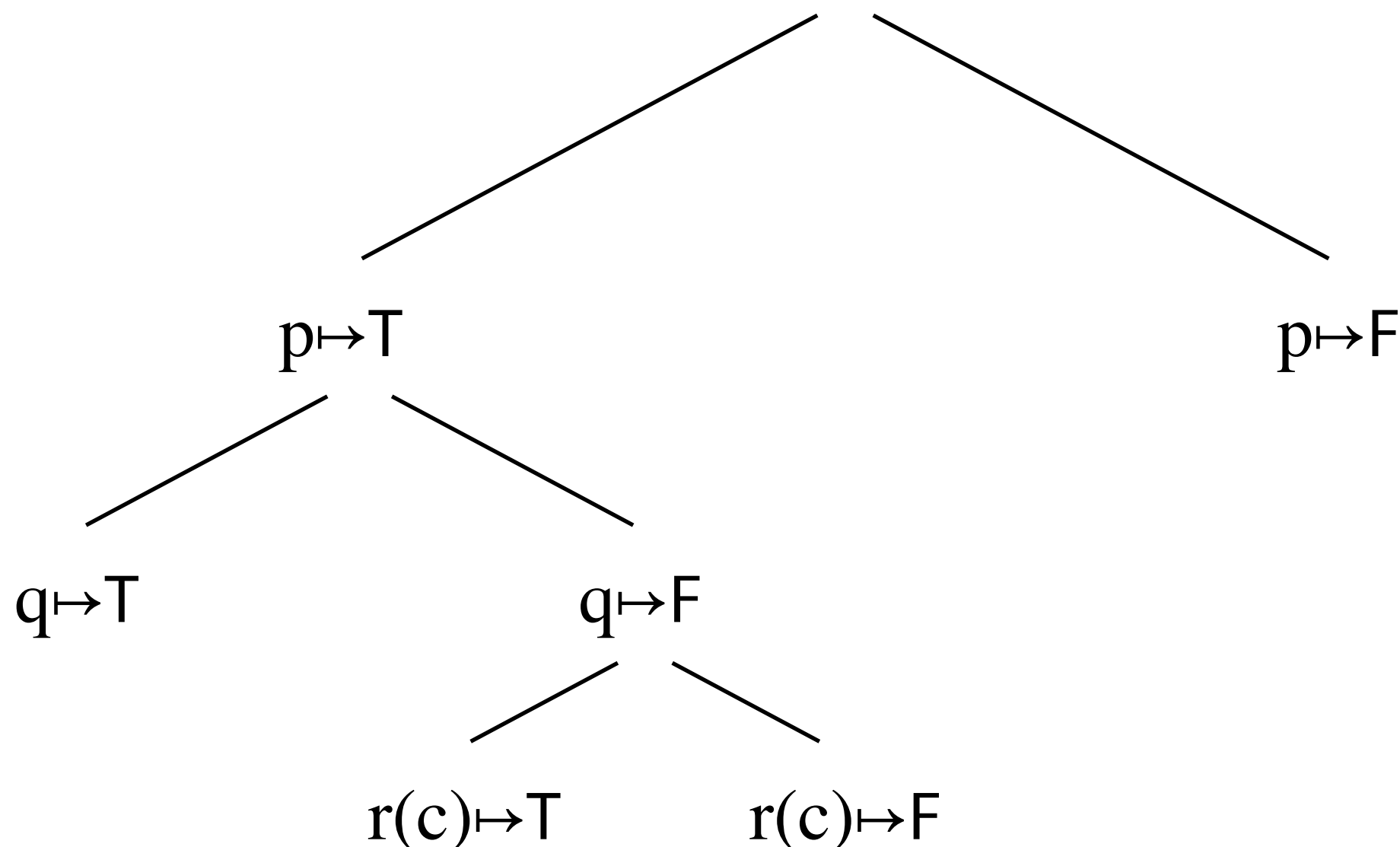
All branches falsify a ground instance of a clause in Cs

Closed semantic tree

Definition of closed semantic tree:

All branches falsify a ground instance of a clause in Cs

$$Cs = \{ \{ \neg q, \neg p \}, \{ r(x) \}, \{ \neg p, q, \neg r(y) \}, \{ p \} \}$$

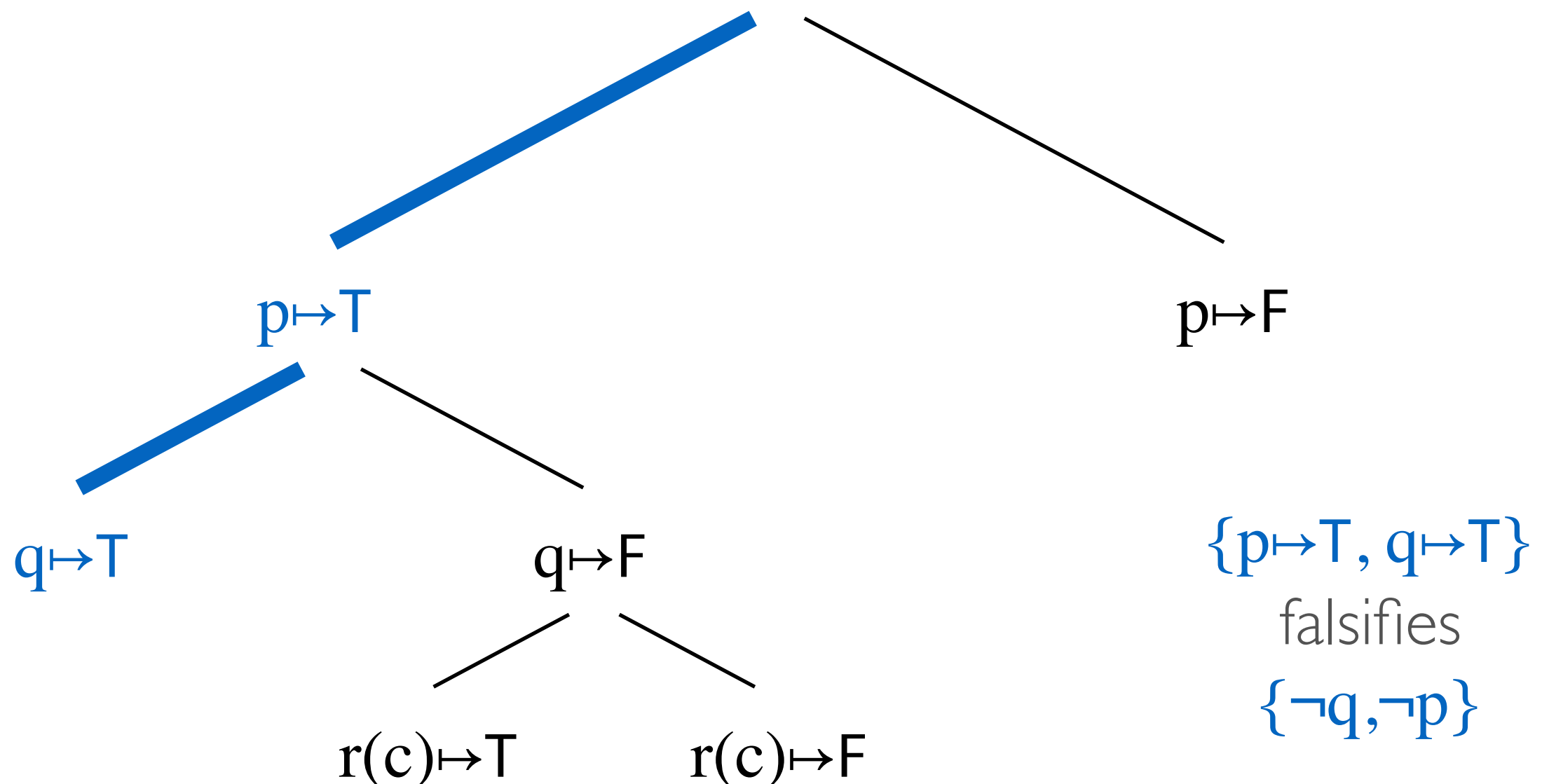


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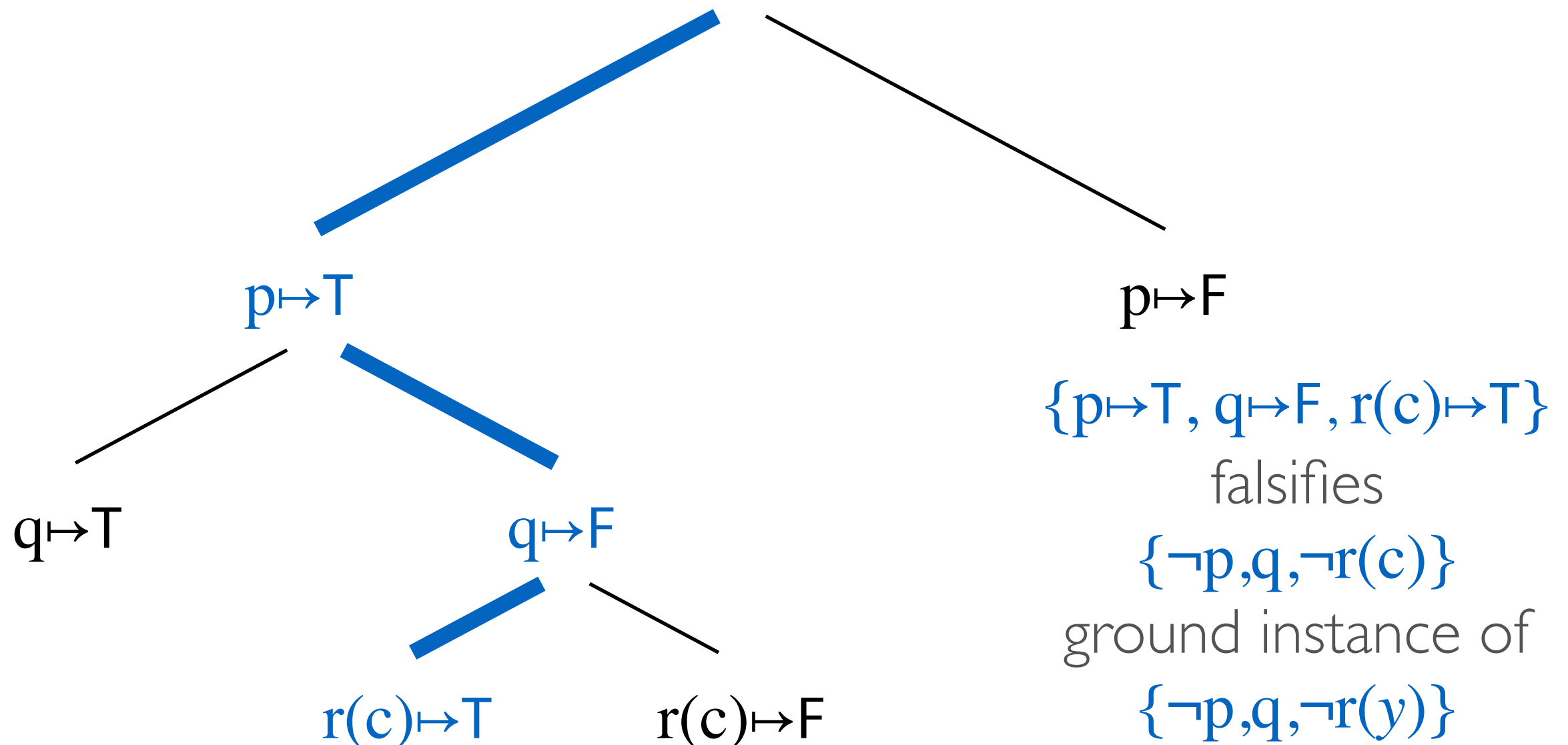


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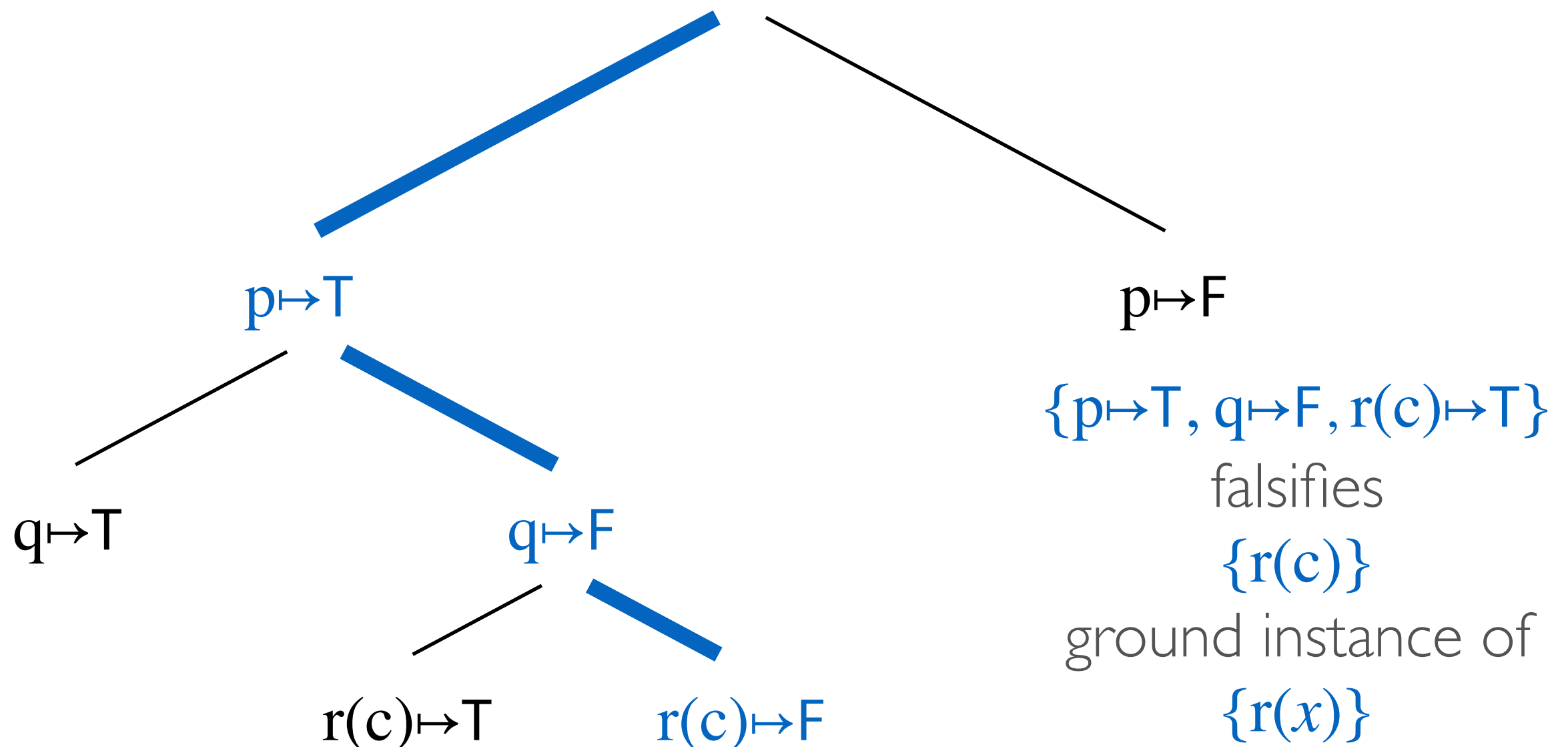


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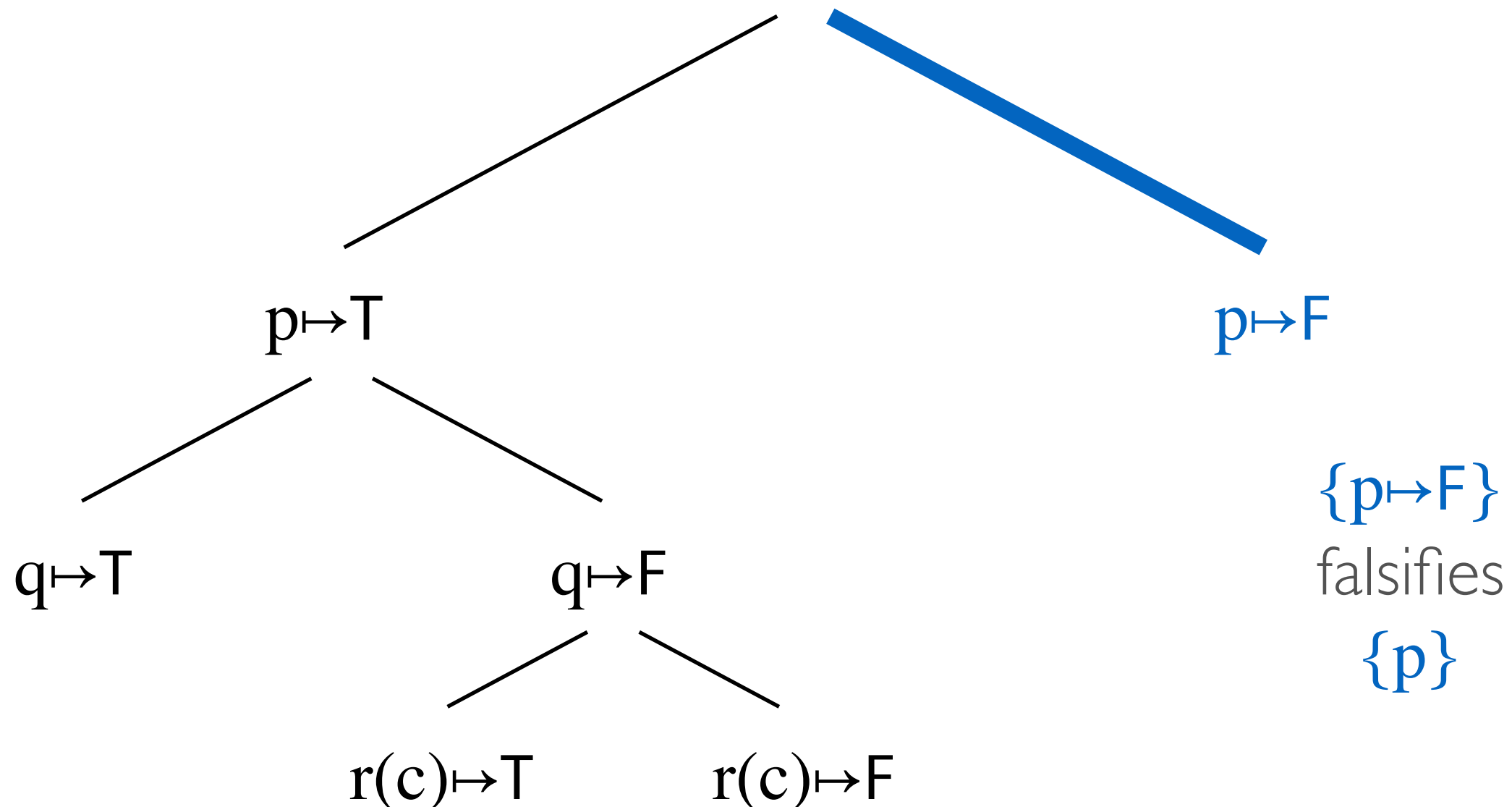


Closed semantic tree

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All branches falsify a ground instance of a clause in Cs

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Completeness proof

1. Herbrand's theorem:
Any unsatisfiable set of clauses has a finite closed semantic tree.
2. $\{\}$ is derivable from any set of clauses with a closed semantic tree.

The proof follows Chang & Lee (1973).

Completeness proof

↳ 1. Herbrand's theorem 2. Deriving $\{\}$

Herbrand's theorem:

Any unsatisfiable set of clauses Cs has a finite closed semantic tree.

Proof:

Let T be a full infinite semantic tree.

Consider any infinite p path in T .

p is an interpretation and thus falsifies Cs .

A (finite) prefix also falsifies Cs .

Let T' be a copy of T with all paths replaced with finite falsifying prefixes.

T' is finite by König's lemma.

Completeness proof

↳ 1. Herbrand's theorem 2. Deriving {}

Herbrand's theorem:

Any unsatisfiable set of clauses Cs has a finite closed semantic tree.

Proof:

Let T be a full infinite semantic tree.

Consider any infinite p path in T .

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p is an interpretation?

A path is a list of bools.

An interpretation is a

`fun_sym` \Rightarrow 'u list \Rightarrow 'u

and a

`pred_sym` \Rightarrow 'u list \Rightarrow bool

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A path is a list of bools.

An interpretation is a

`fun_sym ⇒ 'u list ⇒ 'u`

and a

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Yes, we can make a
conversion function
extend.

Completeness proof

↳ 1. Herbrand's theorem

2. Deriving $\{ \}$

Herbrand's theorem:

Any unsatisfiable set of clauses Cs has a finite closed semantic tree.

Proof:

Let T be a full infinite semantic tree.

Consider any infinite p path in T .

p is an interpretation and thus falsifies Cs .

A (finite) prefix also falsifies Cs . ← Does it?

Let T' be a copy of T with all paths replaced with finite falsifying prefixes.

T' is finite by König's lemma.

Completeness proof

↳ 1. Herbrand's theorem

2. Deriving {}

If an infinite path falsifies a set of clauses, then so does a finite prefix.

	FO clause set
Interpretation	Cs falsified by extend p
Partial interpretation	<div> <div> </div> </div> Cs falsified by prefix of p

Completeness proof

↳ 1. Herbrand's theorem

2. Deriving {}

If an infinite path falsifies a set of clauses, then so does a finite prefix.

	FO clause set	Ground clause set
Interpretation	Cs falsified by extend p	
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↳ 1. Herbrand's theorem

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Completeness proof

- ↳ 1. Herbrand's theorem
- 2. Deriving $\{\}$

Completeness proof

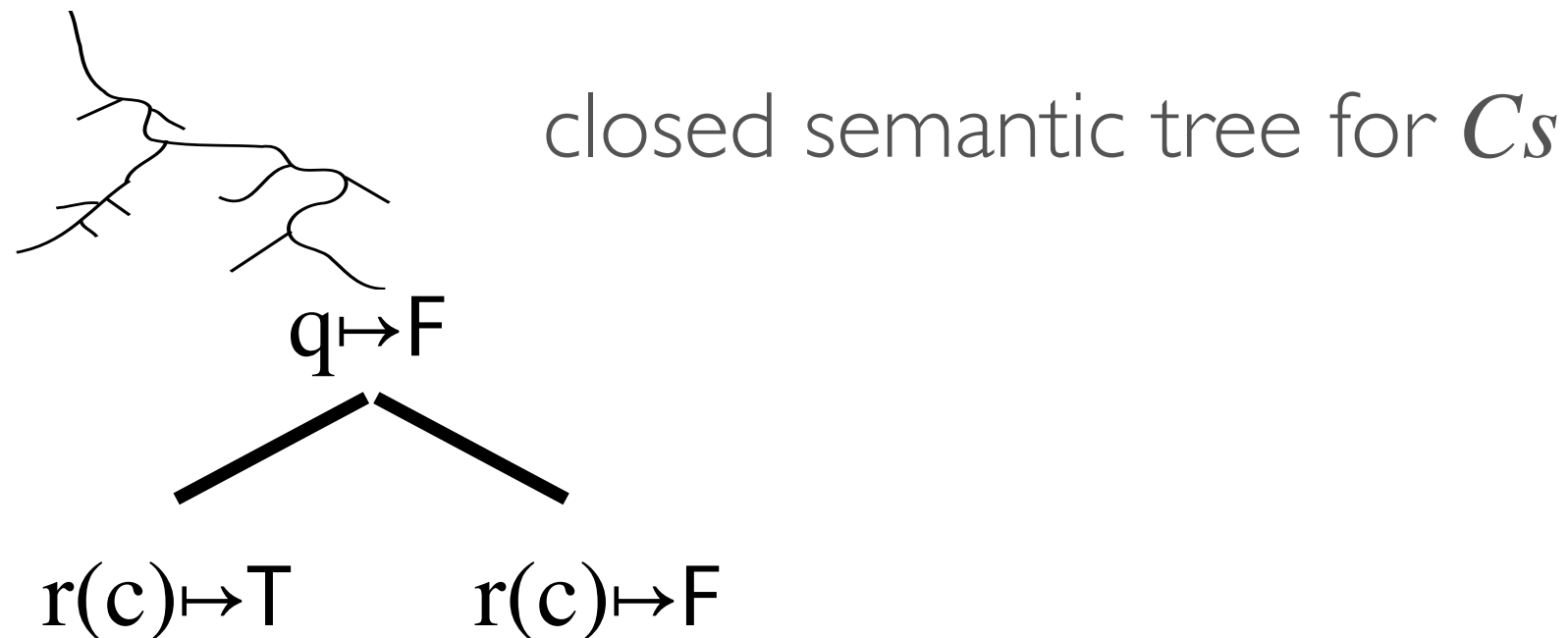
1. Herbrand's theorem

↳ 2. Deriving $\{$

Completeness proof

1. Herbrand's theorem

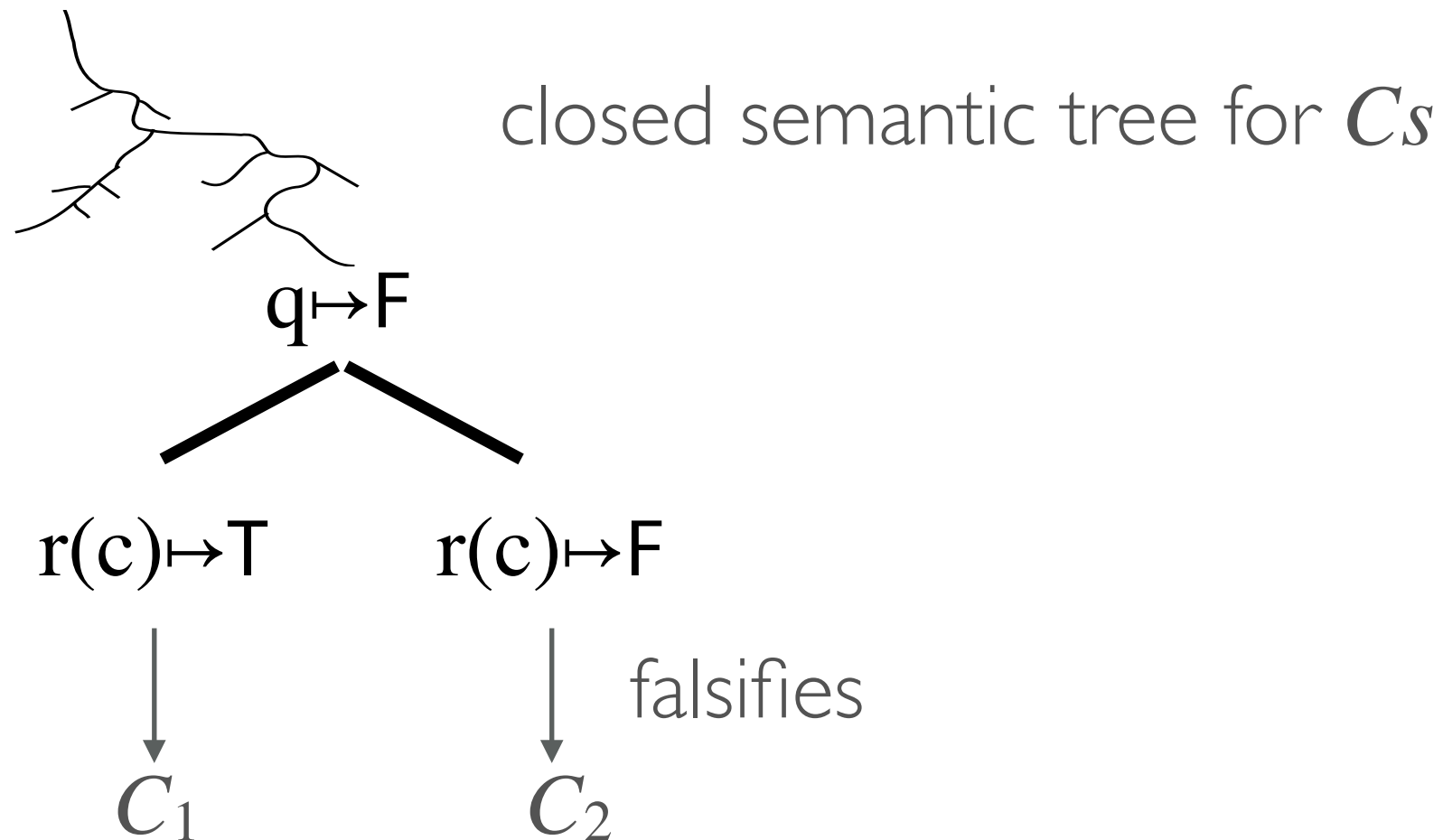
↳ 2. Deriving $\{\}$



Completeness proof

1. Herbrand's theorem

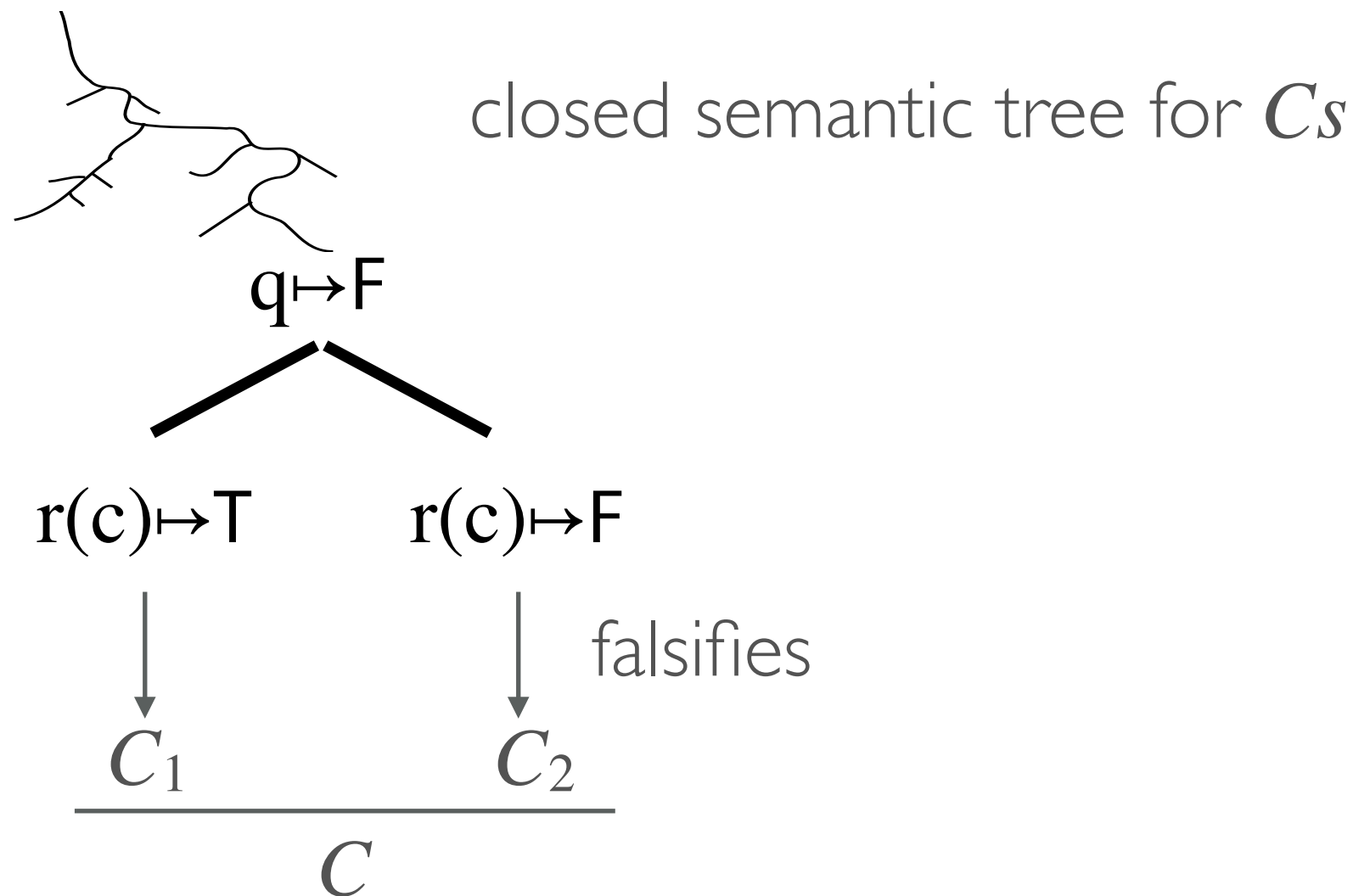
↳ 2. Deriving $\{$



Completeness proof

1. Herbrand's theorem

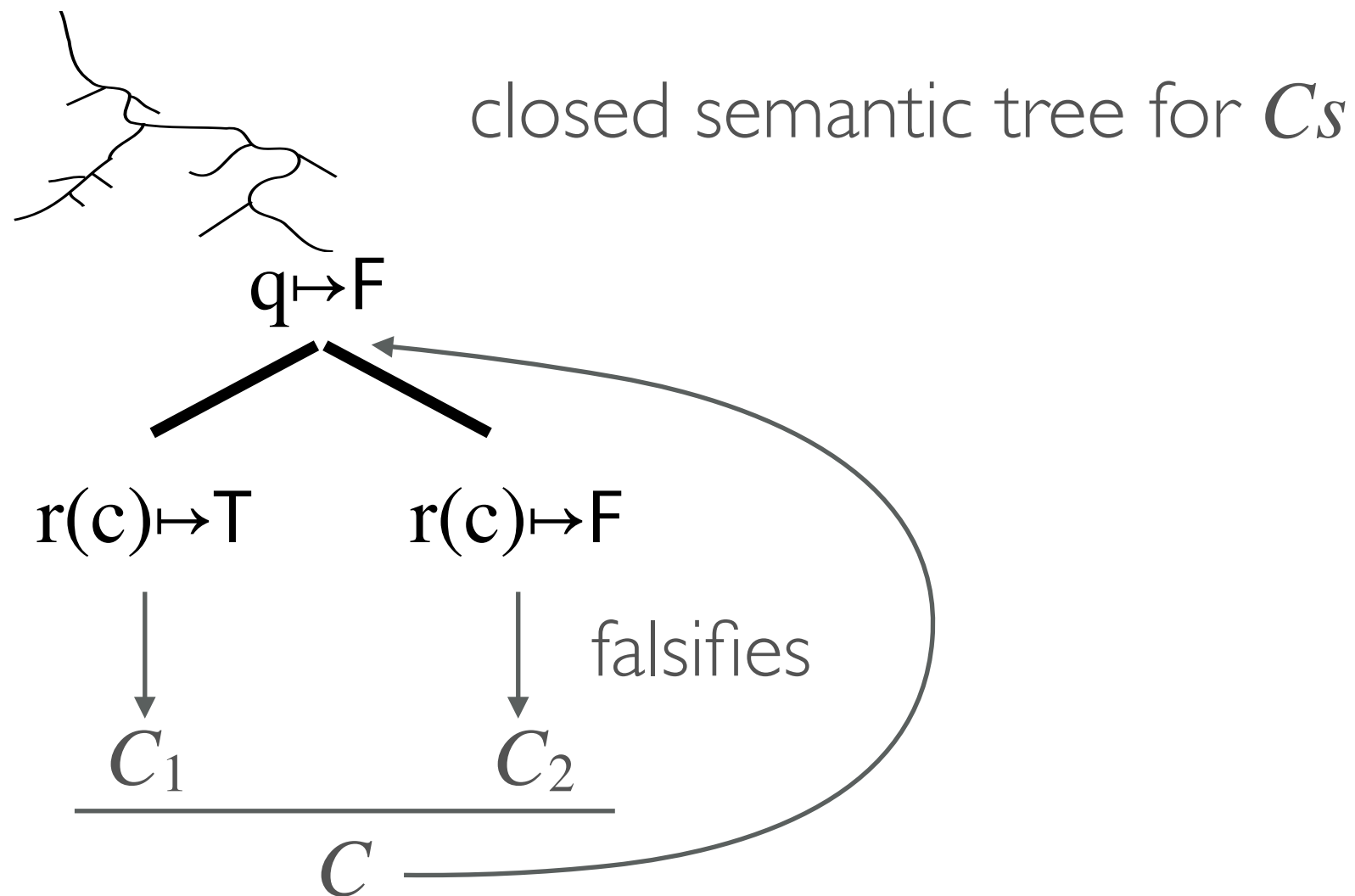
↳ 2. Deriving $\{$



Completeness proof

1. Herbrand's theorem

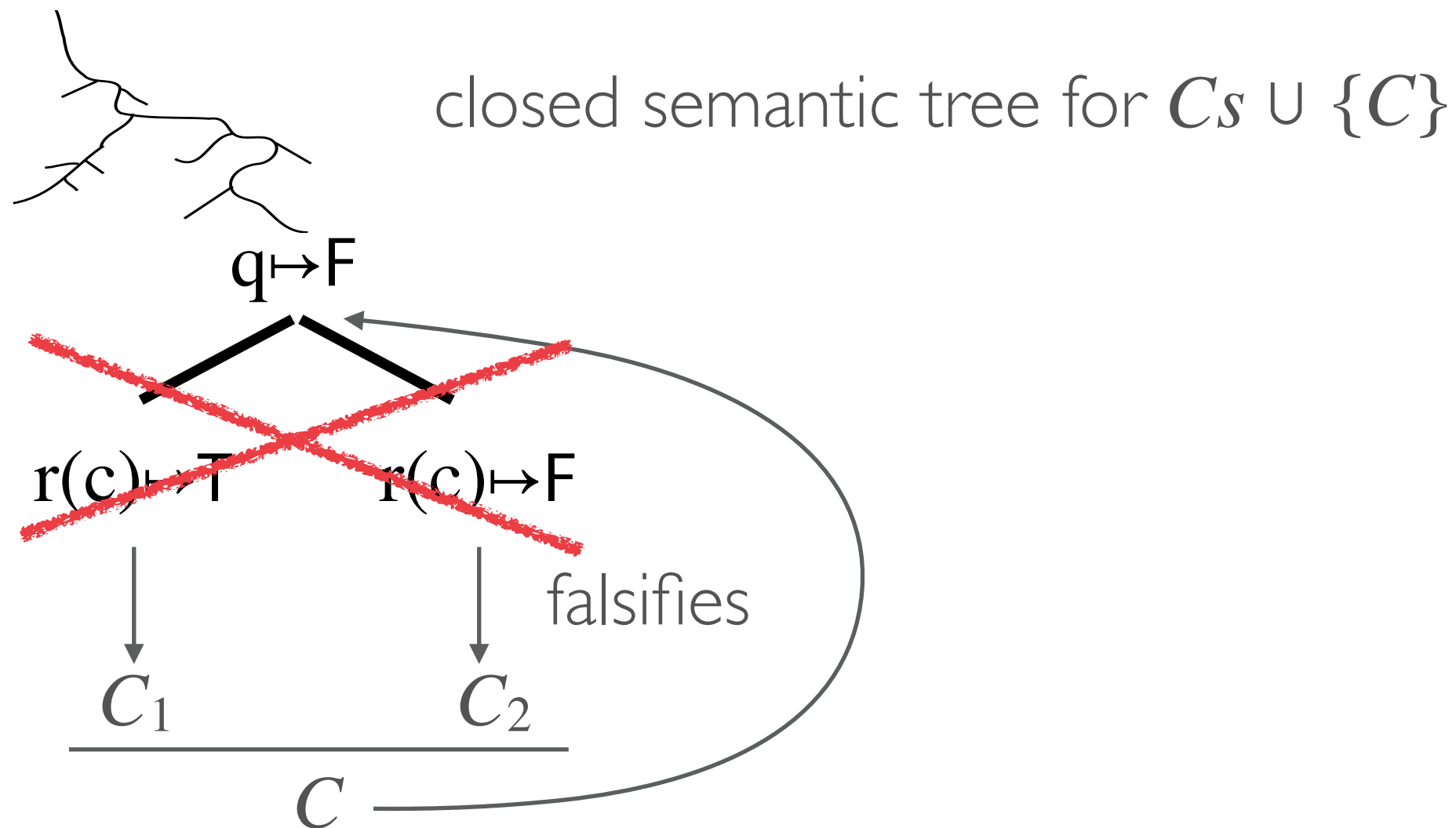
↳ 2. Deriving $\{$



Completeness proof

1. Herbrand's theorem

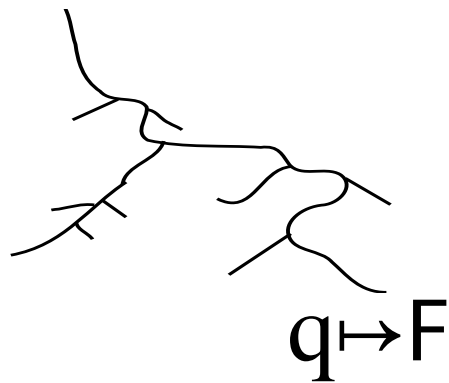
↳ 2. Deriving $\{ \}$



Completeness proof

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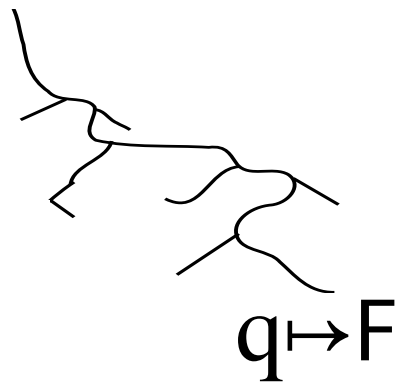


closed semantic tree for $C_s \cup \{C\}$

Completeness proof

1. Herbrand's theorem

↳ 2. Deriving $\{\}$

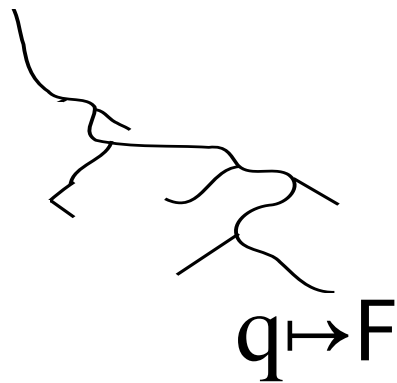


closed semantic tree for $C_s \cup \{C\}$

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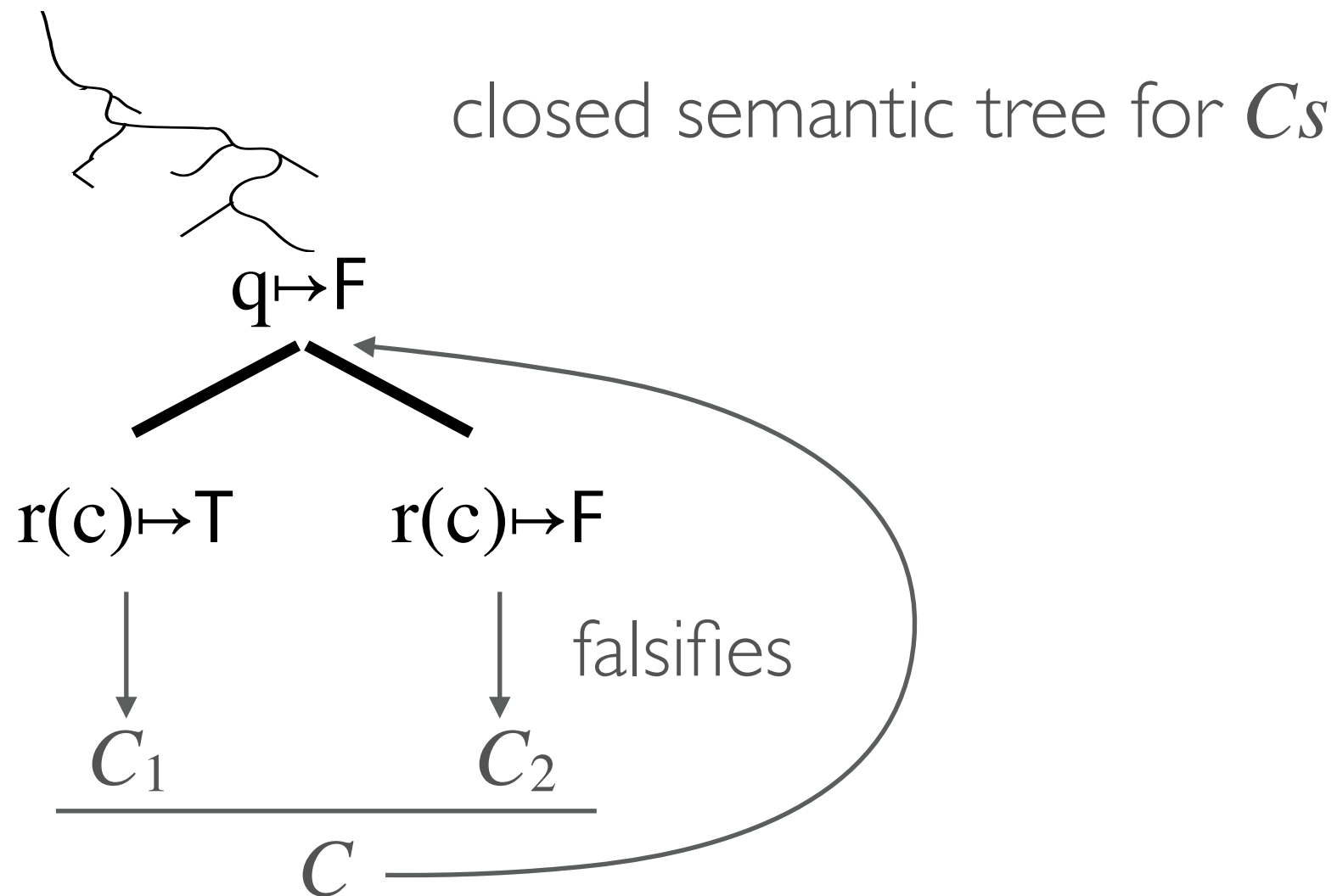
Eventually the empty tree is closed for our Cs .

Then we have derived $\{\}$.

Completeness proof

1. Herbrand's theorem

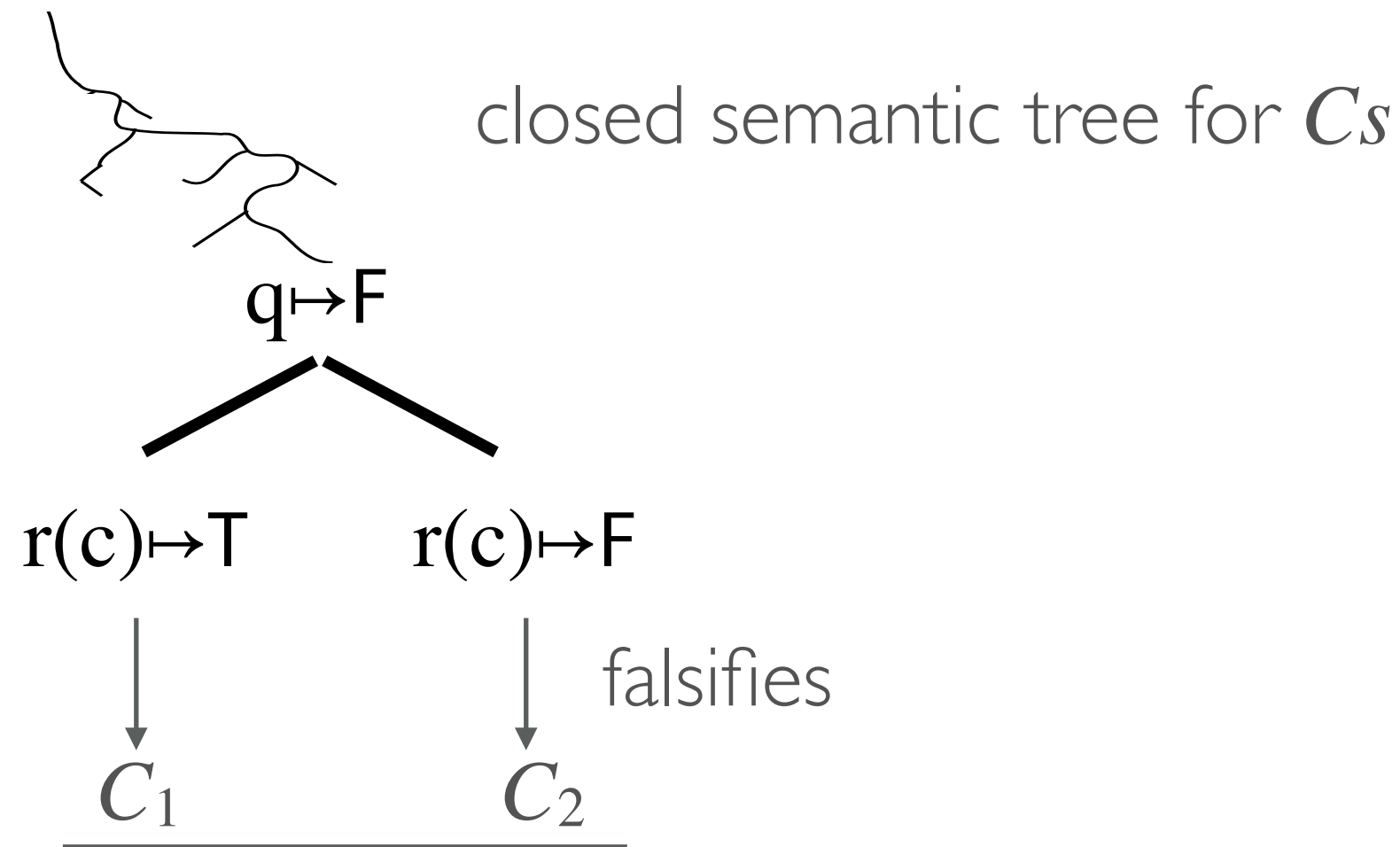
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Completeness proof

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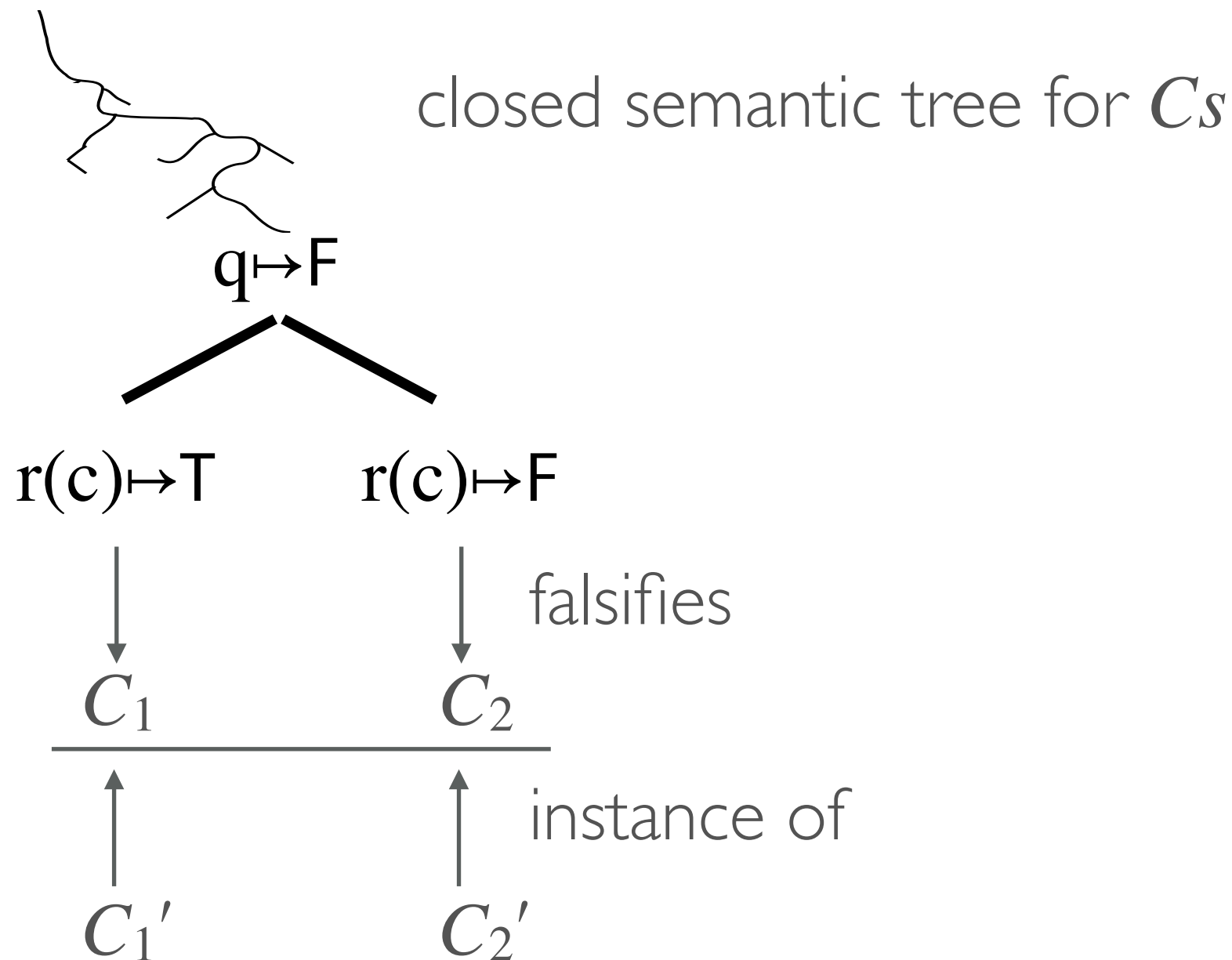
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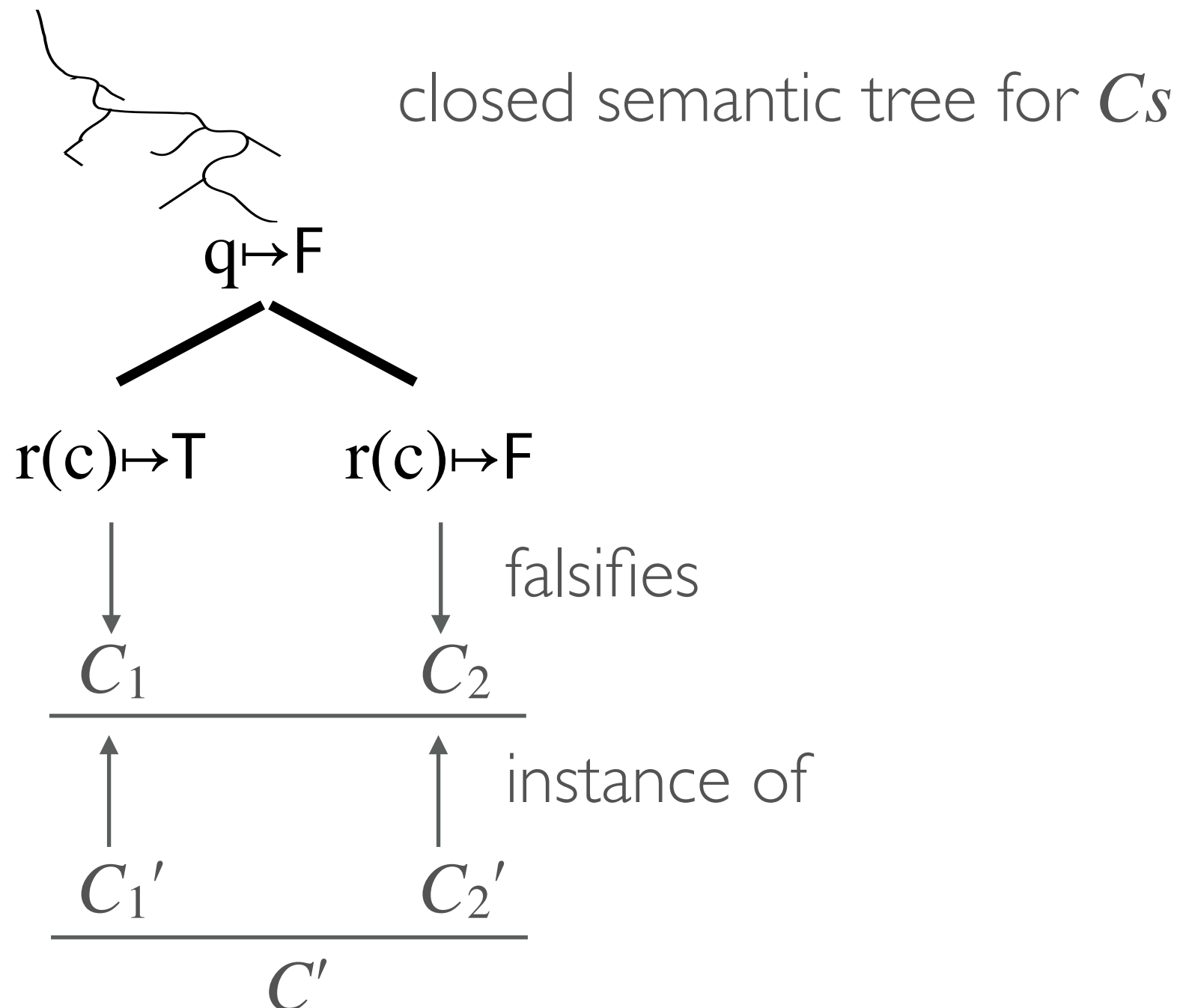
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Completeness proof

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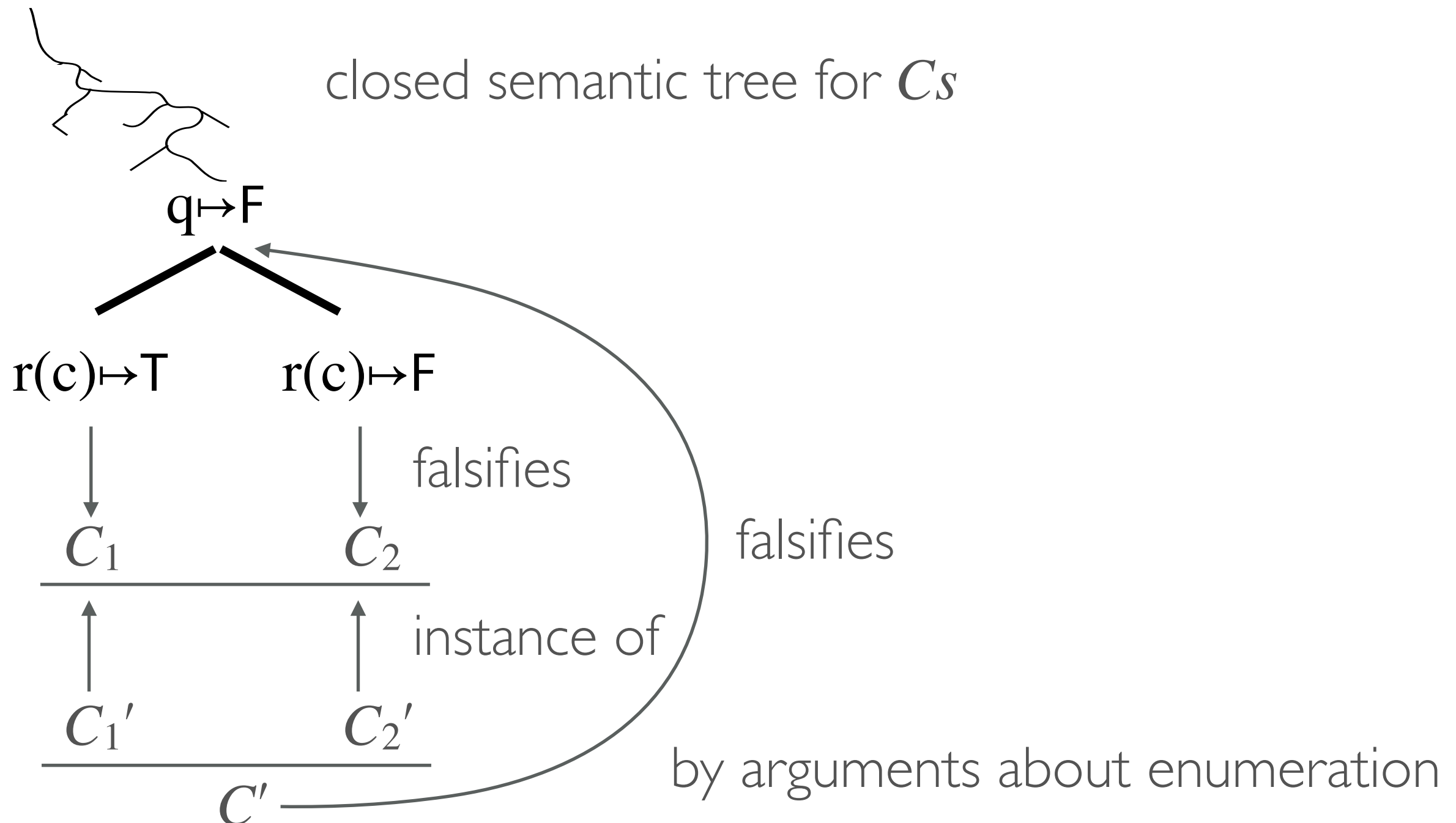
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Completeness proof

1. Herbrand's theorem

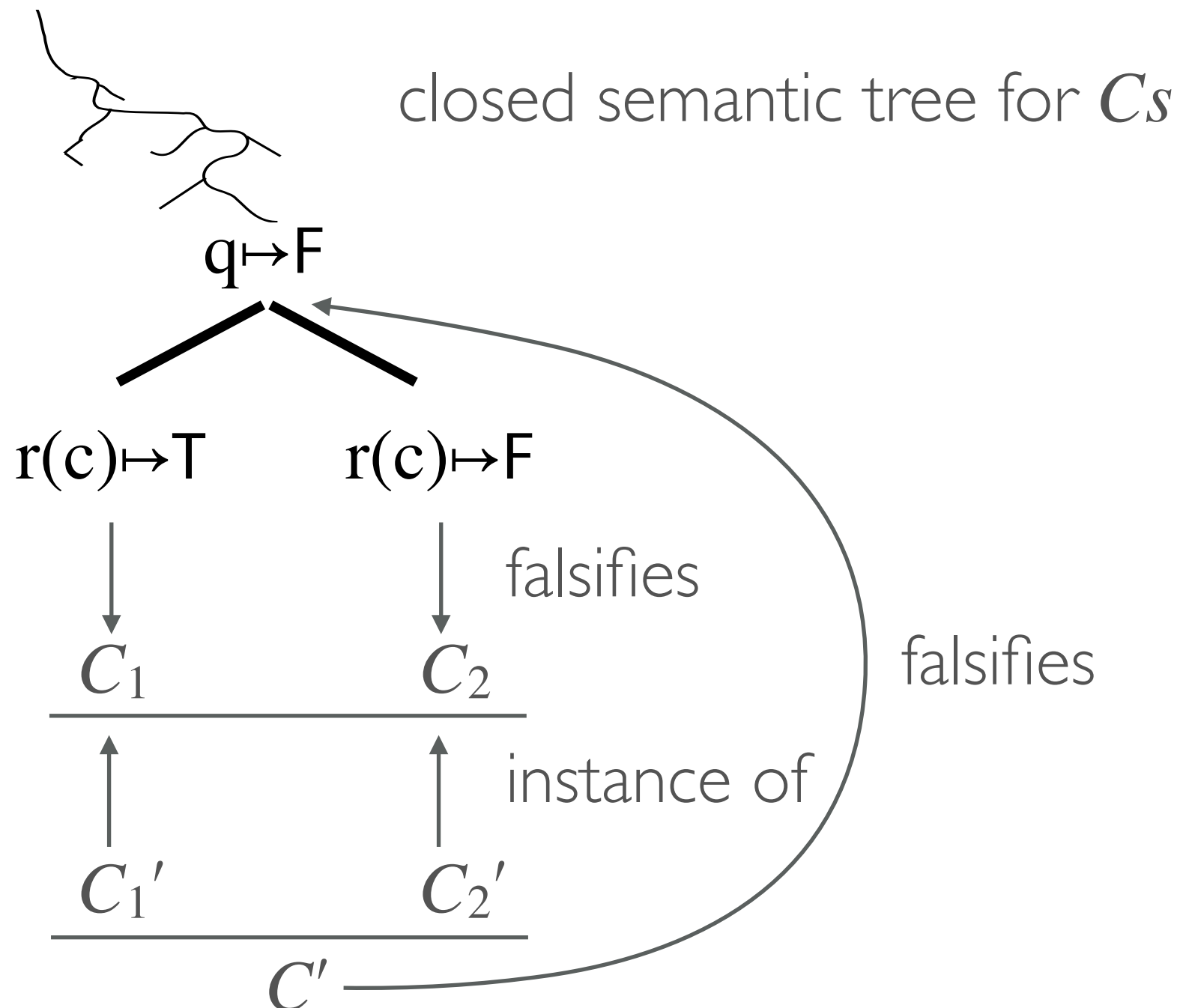
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Completeness proof

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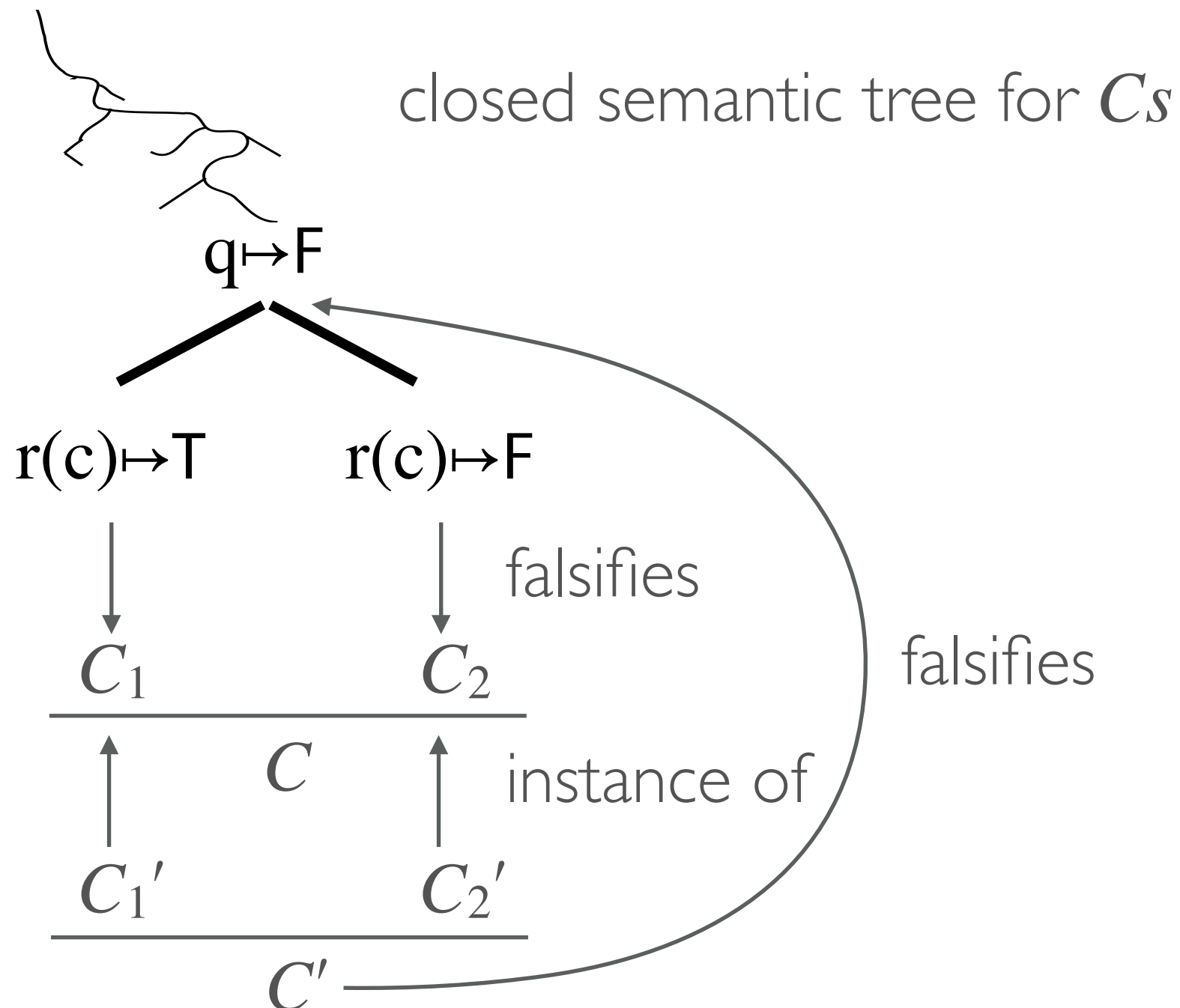
↳ 2. Deriving $\{ \}$



Completeness proof

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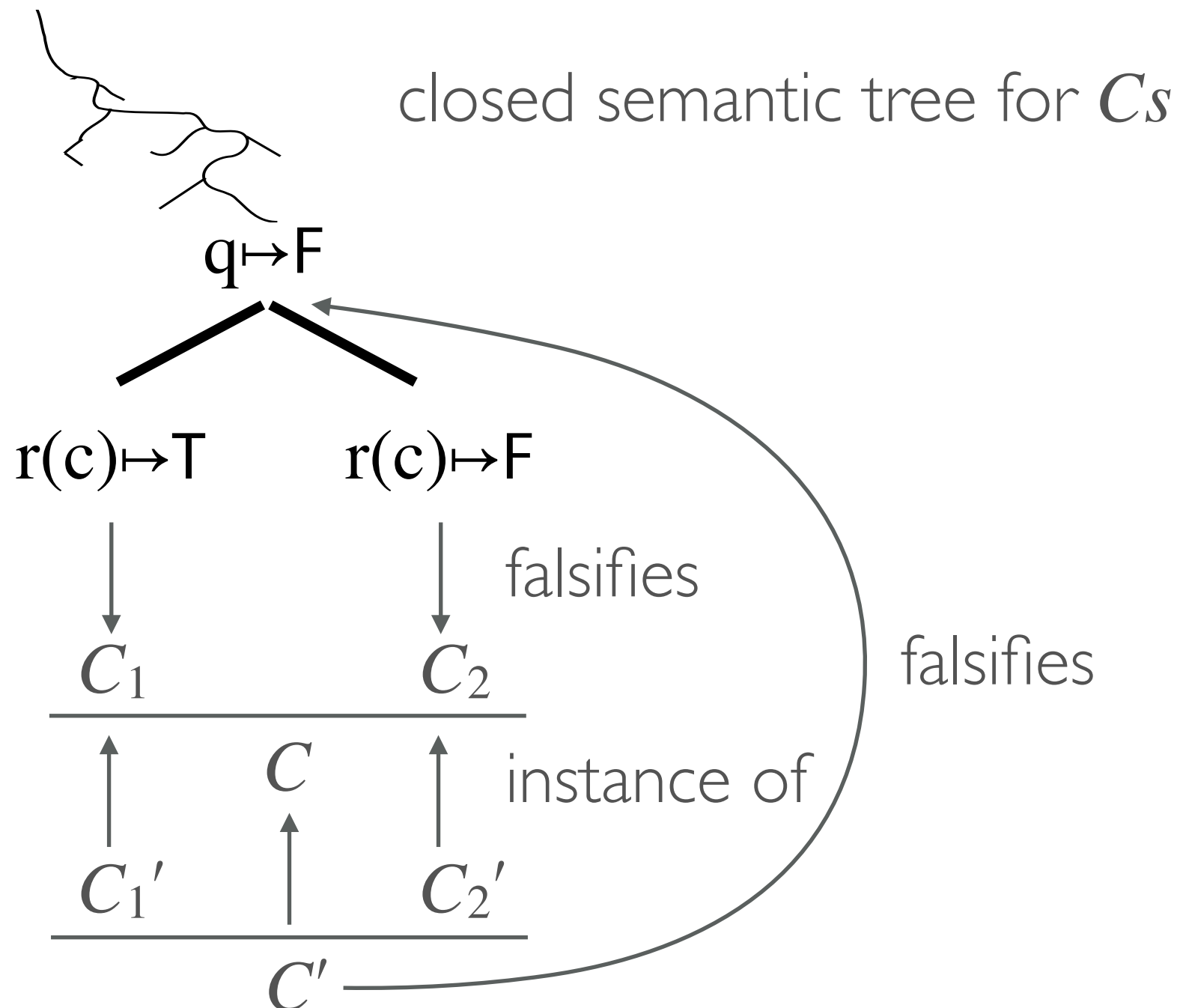
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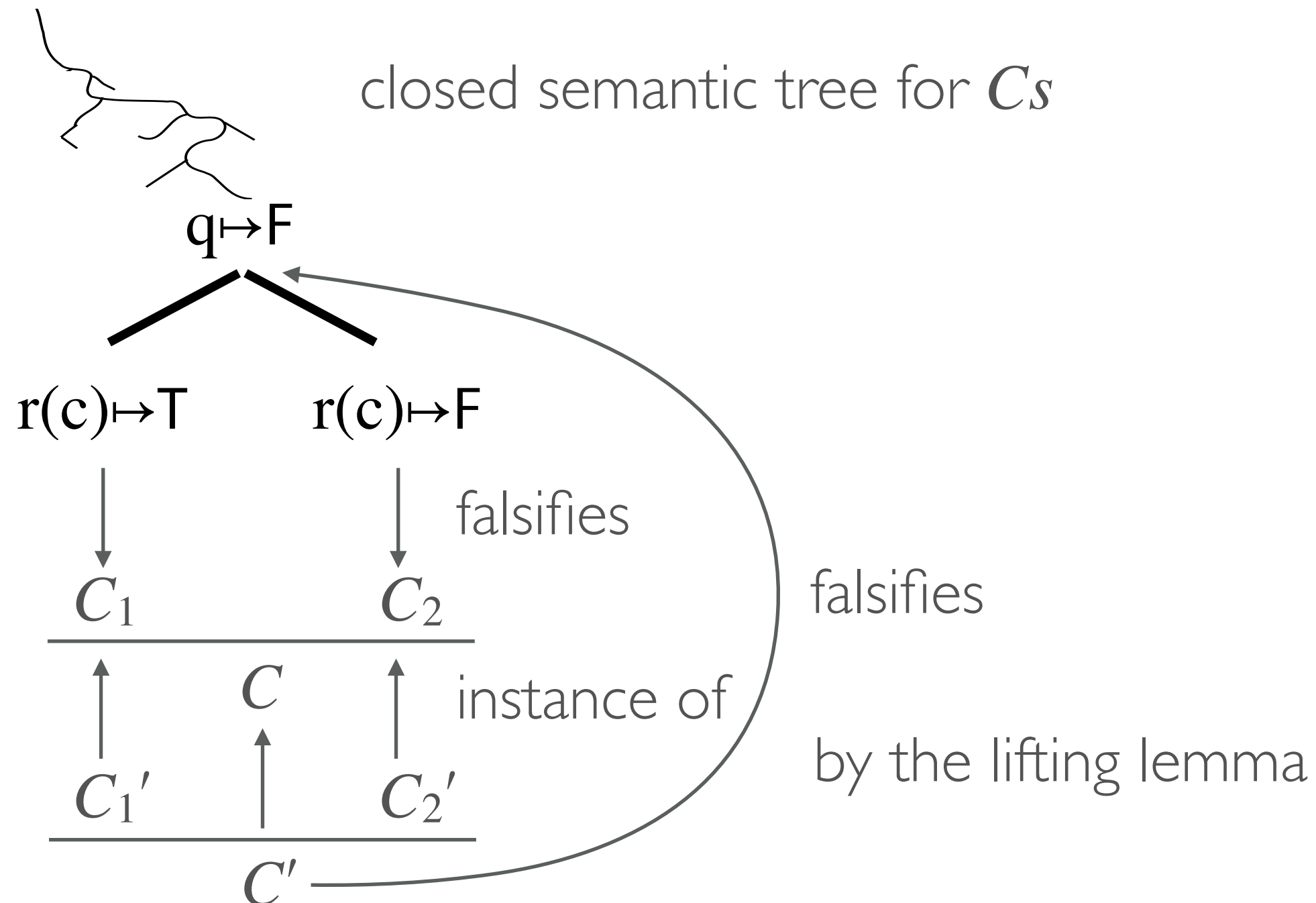
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Completeness proof

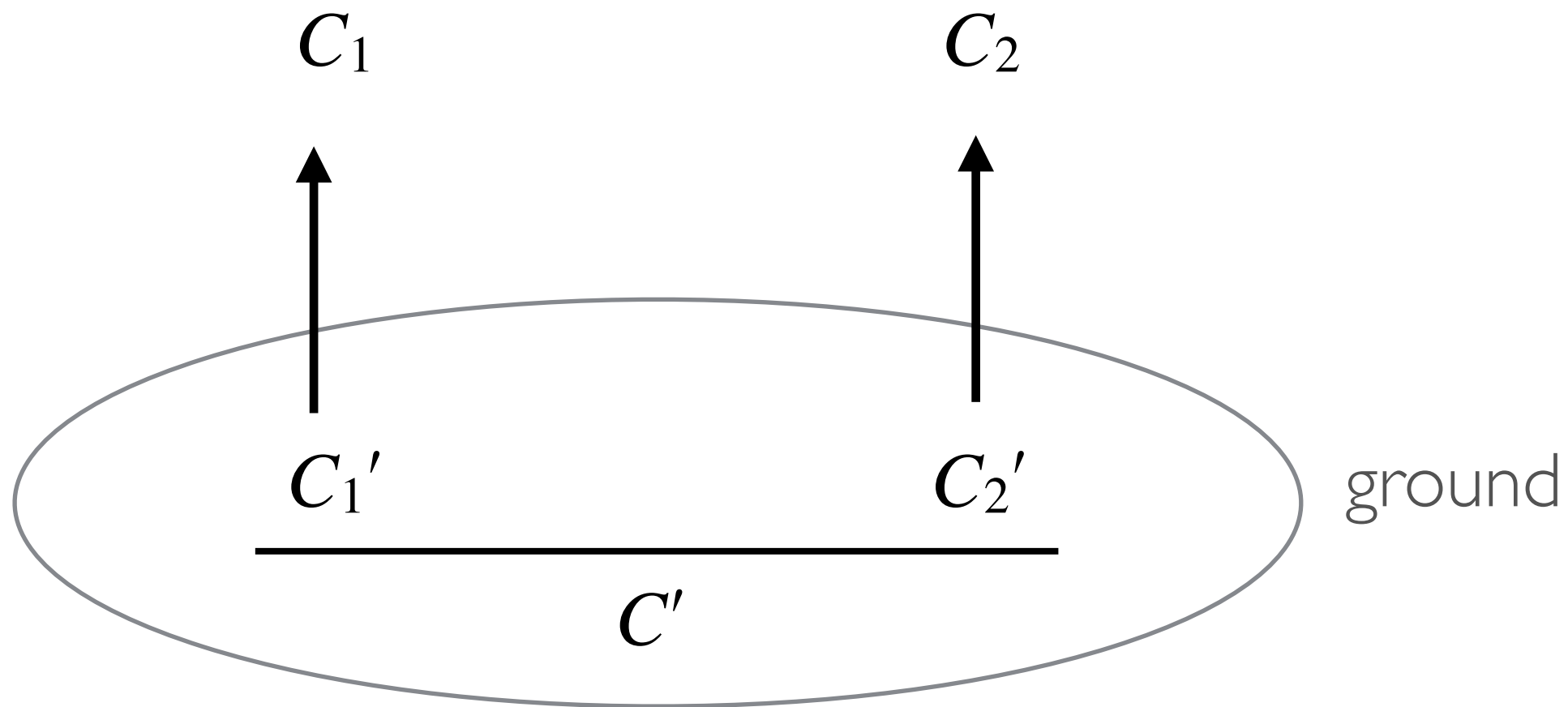
1. Herbrand's theorem

↳ 2. Deriving $\{ \}$



Lifting lemma

↑ means instantiation, e.g. C_1' instance of C_1

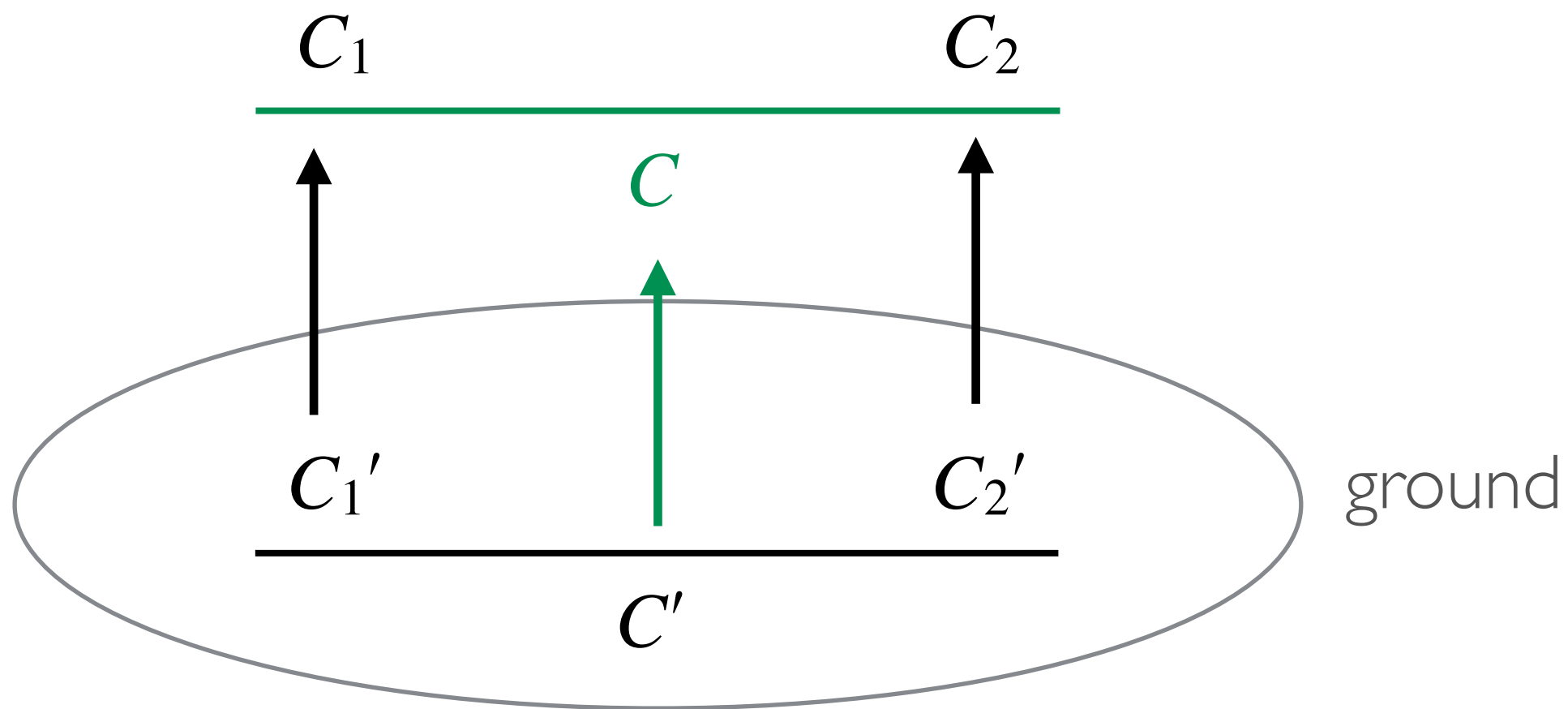


Lifting lemma

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Black: Assumptions

Green: Established by lemma

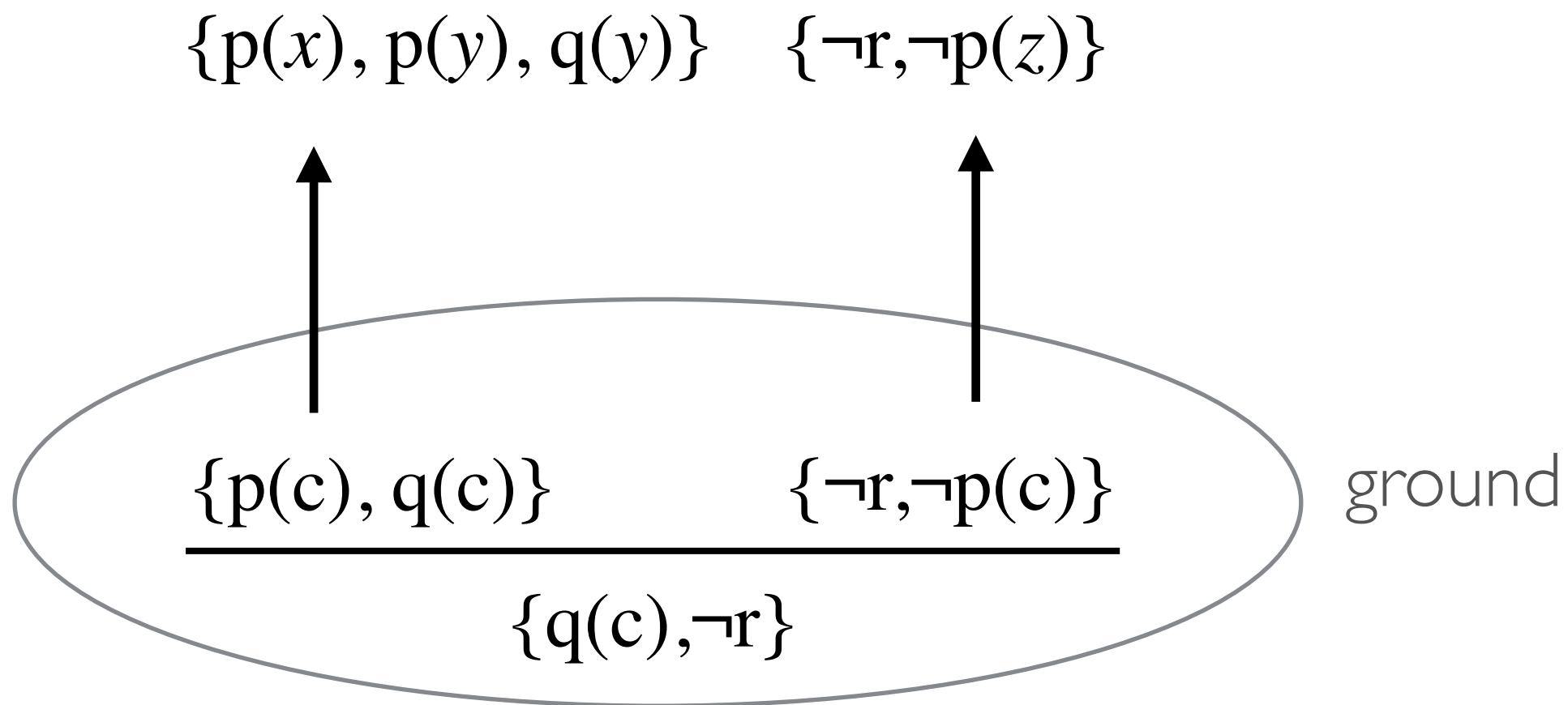


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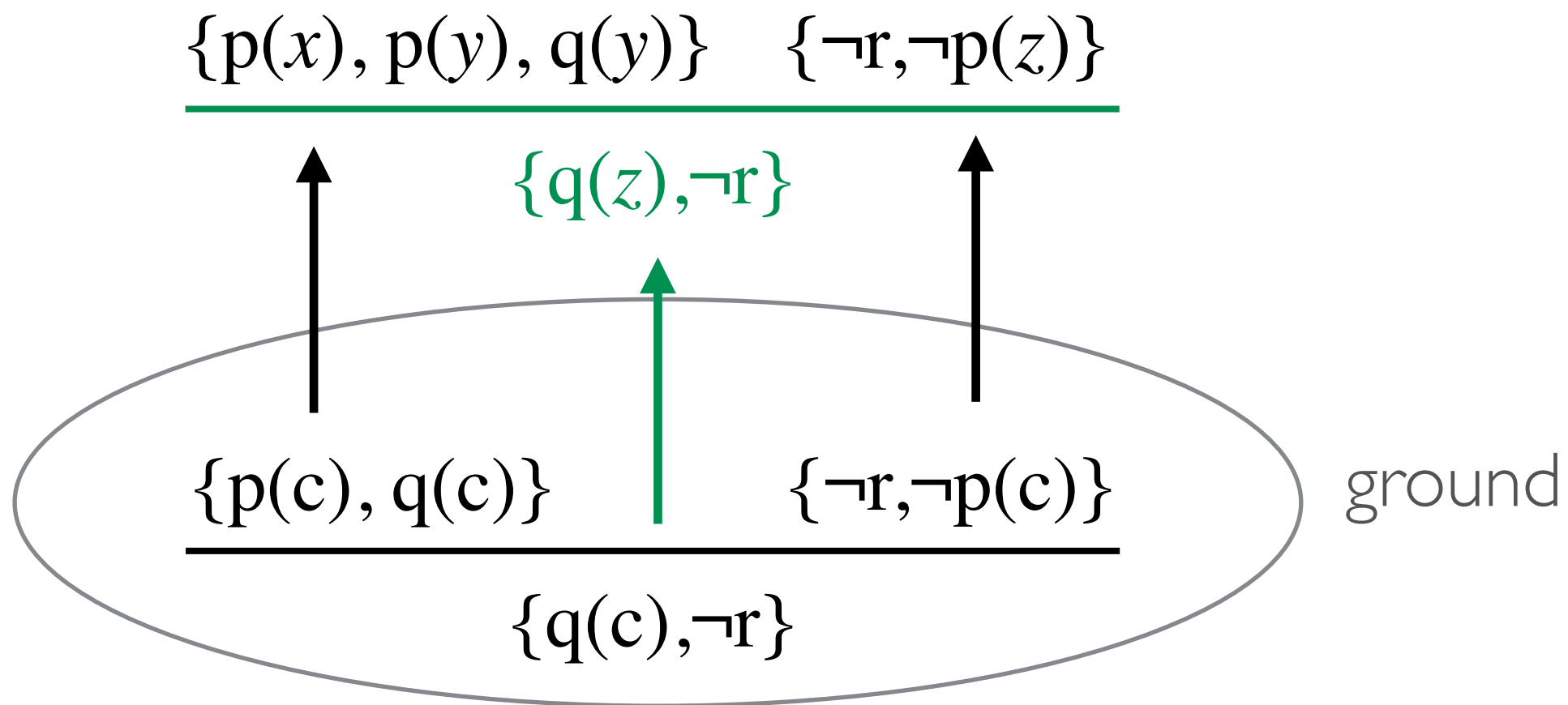


Lifting lemma

↑ means instantiation, e.g. C_1' instance of C_1

Black: Assumptions

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Lifting lemma

Challenge 1: Showing the existence of MGUs.

Solution: Reuse theorem from IsaFoR.

Challenge 2: Proof by Chang & Lee (1973) is flawed.

Lifting lemma

Let

$$\begin{aligned}
 C &= ((C_1\lambda)\sigma - L_1\sigma) \cup ((C_2\lambda)\sigma - L_2\sigma) \\
 &= ((C_1\lambda)\sigma - (\{L_1^1, \dots, L_1^{r_1}\}\lambda)\sigma) \cup ((C_2\lambda)\sigma - (\{L_2^1, \dots, L_2^{r_2}\}\lambda)\sigma) \\
 &= (C_1(\lambda \circ \sigma) - \{L_1^1, \dots, L_1^{r_1}\}(\lambda \circ \sigma)) \cup (C_2(\lambda \circ \sigma) - \{L_2^1, \dots, L_2^{r_2}\}(\lambda \circ \sigma)).
 \end{aligned}$$

C is a resolvent of C_1 and C_2 . Clearly, C' is an instance of C since

$$\begin{aligned}
 C' &= (C_1'\gamma - L_1'\gamma) \cup (C_2'\gamma - L_2'\gamma) \\
 &= ((C_1\theta)\gamma - (\{L_1^1, \dots, L_1^{r_1}\}\theta)\gamma) \cup ((C_2\theta)\gamma - (\{L_2^1, \dots, L_2^{r_2}\}\theta)\gamma) \\
 &= (C_1(\theta \circ \gamma) - \{L_1^1, \dots, L_1^{r_1}\}(\theta \circ \gamma)) \cup (C_2(\theta \circ \gamma) - \{L_2^1, \dots, L_2^{r_2}\}(\theta \circ \gamma))
 \end{aligned}$$

and $\lambda \circ \sigma$ is more general than $\theta \circ \gamma$. Thus we complete the proof of this lemma.

- Chang & Lee (1973)

Lifting lemma

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 &= (C_1(\theta \circ \gamma) - \{L_1^1, \dots, L_1^{r_1}\}(\theta \circ \gamma)) \cup (C_2(\theta \circ \gamma) - \{L_2^1, \dots, L_2^{r_2}\}(\theta \circ \gamma))
 \end{aligned}$$

and $\lambda \circ \sigma$ is more general than $\theta \circ \gamma$. Thus we complete the proof of this lemma.

- Chang & Lee (1973)

Lifting lemma

The flaw was already discovered by Leitsch (Mathematical Logic Quarterly, 1989).

Chang & Lee do resolution on factors of clauses and remove literals *before* applying substitution.

Other calculi (e.g. by Leitsch (1997)) remove literals *after* applying substitution.

This allows for a simple proof of the lifting lemma.

Completeness

The lifting lemma completes the completeness proof.

theorem completeness:

assumes finite Cs \wedge ($\forall C \in Cs$. finite C)

assumes $\forall (F::\text{hterm fun_denot}) (G::\text{hterm pred_denot}). \neg \text{eval } F \ G \ Cs$

shows $\exists Cs'$. resolution_deriv $Cs \ Cs'$ $\wedge \{\} \in Cs'$

<proof>

Conclusion

Soundness and completeness of resolution is formalized.

It was particularly challenging to formalize the lifting lemma.

Available in the IsaFoL repository + AFP:

bitbucket.org/jasmin_blanchette/isafol/
isa-afp.org/entries/Resolution_FOL.shtml

I am now working on **extensions** (ordered resolution, redundancy, selection) to get closer to the theory of modern ATP's that use the **superposition** calculus.

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A machine-oriented logic based on the resolution principle

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M. Ben-Ari, 3rd ed, Springer, 2012

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C. L. Chang and R. C.T. Lee, Academic Press, 1973

The Resolution Calculus

A. Leitsch, Springer, 1997

IsaFoR (Isabelle Formalization of Rewriting)

cl-informatik.uibk.ac.at/software/ceta/

IsaFoR developers

On different concepts of resolution

A. Leitsch, Mathematical Logic Quarterly, 1989

For precise references to the related work, see my paper.

Picture of J.A. Robinson by D. Monniaux [CC BY-SA 3.0], via Wikimedia Commons