

Lecture 3 — First-Order Theories

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First-Order Theories

First-Order Theories

- When reasoning in first-order logic (FOL), we use **theories** to add semantics to function/predicate symbols.
- A theory restricts the possible interpretations of a formula to those we are interested in.

Example

Is the following

$$\varphi : 1 + 1 = 2$$

a valid FOL formula? Why?

- **Validity**: φ is valid iff $I \models \varphi$ for all interpretations I .
- There are interpretations for which the formula is not true
 - ▶ e.g., $I = \{\mathbb{N}, \alpha_I\}$ s.t. $\alpha_I(+) = \{\dots, (1, 1) \mapsto 3, \dots\}$
- We wish to restrict possible interpretations of $\varphi \rightsquigarrow$ **theories**.

Theories

Theory \mathcal{T} is defined using

- **signature** $\Sigma_{\mathcal{T}}$: set of **function** and **predicate** symbols
 - ▶ note that *constants* are special function symbols!
 - ▶ **$\Sigma_{\mathcal{T}}$ -formula**: a formula over $\Sigma_{\mathcal{T}}$
- **axioms** $\mathcal{A}_{\mathcal{T}}$: set of *closed* FOL formulae over the vocabulary of $\Sigma_{\mathcal{T}}$
 - ▶ often, we need an *infinite* number of axioms \rightsquigarrow axiom schemata
 - ▶ **axiom schema** — a *template* whose instantiations produce axioms
 - ▶ can be seen as a *program* that generates axioms or determines whether a formula is an axiom
 - ▶ axioms are used to **restrict** possible interpretations of formulae to *interesting* ones
- We use **FOL(\mathcal{T})** to denote FOL over $\Sigma_{\mathcal{T}}$ with axioms from $\mathcal{A}_{\mathcal{T}}$.

Fragment of a theory:

- a syntactically restricted subset of formulae of the theory
- e.g., the **quantifier-free fragment**, alternation-free fragment, fragments restricting the number of quantifier alternations, ...
- we often show equivalence of fragments of FOL with other formal models

\mathcal{T} -validity and \mathcal{T} -satisfiability

\mathcal{T} -validity and \mathcal{T} -satisfiability:

- \mathcal{T} -interpretation: an interpretation I that satisfies all axioms of \mathcal{T} :

$$I \models A \quad \text{for every } A \in \mathcal{A}_{\mathcal{T}}.$$

- A $\Sigma_{\mathcal{T}}$ -formula φ is \mathcal{T} -valid if it holds for every \mathcal{T} -interpretation.
 - we denote \mathcal{T} -validity as $\mathcal{T} \models \varphi$
- A $\Sigma_{\mathcal{T}}$ -formula φ is \mathcal{T} -satisfiable if there is a \mathcal{T} -interpretation for which it is true.

Completeness and Consistency

Completeness:

- A theory \mathcal{T} is **complete** if for every *closed* $\Sigma_{\mathcal{T}}$ -formula φ ,

$$\text{either } \mathcal{T} \vdash \varphi \text{ or } \mathcal{T} \vdash \neg\varphi$$

($\mathcal{T} \vdash \varphi$ means “ φ is provable in \mathcal{T} ”).

- ▶ Can be seen as whether the axiomatization restricts interpretations in the right way.
- Do not confuse with the completeness of *proof systems*!
 - ▶ (A proof system S for FOL is *complete* if for every FOL formula φ such that $\models \varphi$, it holds that $\vdash_S \varphi$.)

Consistency:

- A theory \mathcal{T} is **consistent** if there is at least one \mathcal{T} -interpretation.
- Alternative definition: A theory is **inconsistent** if for every $\Sigma_{\mathcal{T}}$ -formula φ it holds that $\mathcal{T} \vdash \varphi$, otherwise it is **consistent**.

Decidability

Decidability

- a **theory** \mathcal{T} is **decidable** if there is an **algorithm** that for every $\Sigma_{\mathcal{T}}$ -formula φ terminates with “**yes**” if $\mathcal{T} \models \varphi$ and with “**no**” if $\mathcal{T} \not\models \varphi$ (and the algorithm always terminates).
- $\text{FOL}(\emptyset)$, i.e. FOL without any theory, is **undecidable**
- a **fragment** of \mathcal{T} is decidable if it is decidable for each formula φ that obeys the fragment's syntactic restrictions.
- **quantifier-free** fragment:
 - ▶ validity/satisfiability in FOL are defined for ground formulae only
 - ▶ **satisfiability**: when testing satisfiability, a quantifier-free formula is prefixed by existential quantification of free variables
 - ▶ **validity**: when testing validity, a quantifier-free formula is prefixed by universal quantification of free variables

Theory of Equality \mathcal{T}_E

Theory of Equality \mathcal{T}_E (with Uninterpreted Functions):

- **Signature:** $\{=, f, g, h, \dots, p, q, r, \dots\}$

► equality ($=$)/2 and all function and predicate symbols

- **Axioms:**

1 $\forall x . x = x$ (reflexivity)

2 $\forall x, y . x = y \rightarrow y = x$ (symmetry)

3 $\forall x, y, z . x = y \wedge y = z \rightarrow x = z$ (transitivity)

- 4 for every positive integer n and n -ary function symbol f ,

$$\forall \bar{x}, \bar{y} . \left(\bigwedge_{i=1}^n x_i = y_i \right) \rightarrow f(\bar{x}) = f(\bar{y}) \quad (\text{function congruence})$$

- 5 for every positive integer n and n -ary predicate symbol p ,

$$\forall \bar{x}, \bar{y} . \left(\bigwedge_{i=1}^n x_i = y_i \right) \rightarrow (p(\bar{x}) \leftrightarrow p(\bar{y})) \quad (\text{predicate congruence})$$

\bar{x} denotes a list of variables x_1, \dots, x_n

- Note that only the ($=$) predicate symbol is interpreted.
- Note that [4] and [5] are *axiom schemata*.

Theory of Equality \mathcal{T}_E

- **undecidable**: it allows all functions and predicates
 - ▶ (any FOL formula can be encoded into \mathcal{T}_E)
- the **quantifier-free** fragment is **decidable**
 - ▶ using the **congruence closure** algorithm
- \mathcal{T}_E is often used as a part of other theories
 - ▶ some definitions of FOL treat $(=)$ as a *special* predicate

Example

The formula

$$f(f(f(a))) = a \quad \wedge \quad f(f(f(f(f(a)))))) = a \quad \wedge \quad f(a) \neq a$$

is unsatisfiable.

Peano Arithmetic \mathcal{T}_{PA}

Peano Arithmetic \mathcal{T}_{PA} (first-order arithmetic):

■ **Signature:** $\{0, S, +, \cdot, =\}$

- ▶ $0/0$ is a constant (nullary functions)
- ▶ $S/1$ is a unary function symbol (called *successor*)
- ▶ $(+)/2$ and $(\cdot)/2$ are binary function symbols
- ▶ equality $(=)/2$ is a binary predicate symbol

■ **Axioms:**

- 1 $\forall x. \neg(S(x) = 0)$ (zero)
- 2 $\forall x, y. S(x) = S(y) \rightarrow x = y$ (successor)
- 3 for every $\Sigma_{\mathcal{T}_{PA}}$ -formula φ with precisely one free variable,

$$(\varphi(0) \wedge (\forall x. \varphi(x) \rightarrow \varphi(S(x)))) \rightarrow \forall x. \varphi(x) \quad (\text{induction})$$

- 4 $\forall x. x + 0 = x$ (plus zero)
- 5 $\forall x, y. x + S(y) = S(x + y)$ (plus successor)
- 6 $\forall x. x \cdot 0 = 0$ (times zero)
- 7 $\forall x, y. x \cdot S(y) = x \cdot y + x$ (times successor)

Peano Arithmetic \mathcal{T}_{PA}

■ Intended interpretations:

- ▶ standard meaning of the function and predicate symbols over \mathbb{N}

Example (\leq)

We can define inequality \leq using the following equivalence:

$$x \leq y \quad \Leftrightarrow \quad \exists z . x + z = y.$$

Example

$$\exists x, y, z . x \neq 0 \wedge y \neq 0 \wedge z \neq 0 \wedge xx + yy = zz$$

Peano Arithmetic \mathcal{T}_{PA}

undecidable

Theorem (Gödel's First Incompleteness Theorem (Gödel 1931))

Every consistent recursive FOL theory that contains \mathcal{T}_{PA} is incomplete.

Notes:

- **recursive** theory: there is an algorithm that will, given a formula φ , decide whether φ is an axiom of the theory
 - ▶ all commonly considered theories are recursive
- therefore, if \mathcal{T}_{PA} is consistent, there is a $\Sigma_{\mathcal{T}_{PA}}$ -formula φ such that

$$\text{neither } \mathcal{T}_{PA} \vdash \varphi \text{ nor } \mathcal{T}_{PA} \vdash \neg\varphi$$

- therefore, every **sufficiently strong** formal system (in particular, a system with arithmetic) is either **inconsistent** or **incomplete**

Peano Arithmetic \mathcal{T}_{PA}

Proof. (high-level idea).

- Words over an alphabet Σ can be encoded as numbers in \mathcal{T}_{PA} .

Example

Let $\Sigma = \{a, b, c\}$ and let $\# : \Sigma \rightarrow \mathbb{N}$ be injective, e.g., $\#(a) = 2$, $\#(b) = 3$, $\#(c) = 4$. Then the number

$$2^{\#(a)} \cdot 3^{\#(b)} \cdot 5^{\#(c)} \cdot 7^{\#(b)} \cdot 11^{\#(a)} = 2,801,452,500$$

uniquely encodes the string “*abcba*”.

- Therefore, any formula φ can also be encoded as a number.
 - ▶ called its **Gödel number** $\mathcal{G}(\varphi)$
- A proof $P \rightsquigarrow$ also a number $\mathcal{G}(P)$.
- Application of proof rules \rightsquigarrow manipulation with numbers.
- Consider the formula $\alpha(x, y)$ that encodes the statement

$$\alpha(x, y) \stackrel{\text{def}}{\iff} \mathcal{G}^{-1}(x) \text{ is a proof of the formula } \mathcal{G}^{-1}(y).$$

Proof. (cont.)

$$\alpha(x, y) \stackrel{\text{def}}{\iff} \mathcal{G}^{-1}(x) \text{ is a proof of the formula } \mathcal{G}^{-1}(y).$$

- Now, take the formula

$$Bew(y) \stackrel{\text{def}}{\iff} \exists x . \alpha(x, y)$$

expressing “ $\mathcal{G}^{-1}(y)$ is a provable (*beweisbar*) formula” ($\vdash \mathcal{G}^{-1}(y)$)

- Note that $\mathcal{G}^{-1}(y)$ is provable iff $Bew(y)$ is provable.
- Consider the following statement:

Gödel's Statement

$$\varphi \stackrel{\text{def}}{\iff} \neg Bew(\mathcal{G}(\varphi))$$

$$\models \varphi \quad \Rightarrow \quad \not\vdash \varphi$$

$$\models \neg \varphi \quad \Rightarrow \quad \vdash \varphi$$

“ φ is true iff φ is unprovable.”

- Generalization of the “Liar’s paradox.” (diagonalization)



Peano Arithmetic \mathcal{T}_{PA}

Gödel's **Incompleteness**₂ and **Completeness**₁ Theorems:

Theorem (Gödel's Completeness₁ Theorem)

FOL with the semantic argument proof system is complete₁.

- The theorem also holds for **any other standard proof system**:
 - ▶ Hilbert system, natural deduction, ...
- **Completeness**: two different meanings, complete₁ and complete₂
 - ▶ G's **Completeness**₁ T.: a system S is complete₁ if for any φ s.t. $\models \varphi$ it holds that $\vdash_S \varphi$.
 - ▶ G's **Incompleteness**₂ T.: a theory \mathcal{T} is complete₂ if for any *closed* $\Sigma_{\mathcal{T}}$ -formula φ , either $\mathcal{T} \vdash \varphi$ or $\mathcal{T} \vdash \neg \varphi$.
- G's **Incompleteness**₂ T. says the following:

G's Statement (GS) is neither provable nor disprovable in PA.
- Therefore, by G's **Completeness**₁ T., there are models of PA where GS is **false**. But GS is **true** in the standard model.
- \rightsquigarrow there exist **nondstandard models of Peano Arithmetic**

Presburger Arithmetic $\mathcal{T}_{\mathbb{N}}$

Presburger Arithmetic $\mathcal{T}_{\mathbb{N}}$:

■ Signature: $\{0, S, +, =\}$

- ▶ $0/0$ and is a constant (nullary functions)
- ▶ $S/1$ is a unary function symbol (called *successor*)
- ▶ $(+)/2$ and is a binary function symbol
- ▶ equality $(=)/2$ is a binary predicate symbol

■ Axioms (a subset of Peano arithmetic):

- | | | |
|---|---|------------------|
| 1 | $\forall x. \neg(S(x) = 0)$ | (zero) |
| 2 | $\forall x, y. S(x) = S(y) \rightarrow x = y$ | (successor) |
| 3 | $(\varphi(0) \wedge (\forall x. \varphi(x) \rightarrow \varphi(S(x)))) \rightarrow \forall x. \varphi(x)$ | (induction) |
| 4 | $\forall x. x + 0 = x$ | (plus zero) |
| 5 | $\forall x, y. x + S(y) = S(x + y)$ | (plus successor) |

Presburger Arithmetic $\mathcal{T}_{\mathbb{N}}$

- **intended interpretations:**

- ▶ standard meaning of the function and predicate symbols over \mathbb{N}

- **decidable** [Presburger 1929]

- **decision procedures:**

- ▶ quantifier elimination-based
- ▶ automata-based

- it is easy to extend to integers \mathbb{Z}

Example

The following formula over \mathbb{Z}

$$\forall x, z \exists y . 2x - y = 3z + 5$$

can be written when using variables over \mathbb{N} as

$$\forall x_p, x_n, z_p, z_n \exists y_p, y_n . 2(x_p - x_n) - (y_p - y_n) = 3(z_p - z_n) + 5.$$

Expressed in $\mathcal{T}_{\mathbb{N}}$ by moving negative terms to the other side:

$$\forall x_p, x_n, z_p, z_n \exists y_p, y_n . 2x_p + y_n + 3z_n = 3z_p + 5 + 2x_n + y_p.$$

Theory of Integers $\mathcal{T}_{\mathbb{Z}}$

Theory of Integers $\mathcal{T}_{\mathbb{Z}}$:

■ Signature:

$\{\dots, -2, -1, 0, 1, 2, \dots, (-3\cdot), (-2\cdot), (2\cdot), (3\cdot), \dots, +, -, =, <\}$

- ▶ $\dots, -2, -1, 0, 1, 2, \dots$ are constants intended to be assigned to the obvious values in \mathbb{Z}
- ▶ $\dots, (-2\cdot), (-1\cdot), (1\cdot), (2\cdot), \dots$ are unary functions intended to be assigned to constant coefficients
- ▶ $(+)/2$ and $(-)/2$ are binary function symbols intended to represent $+_{\mathbb{Z}}$ and $-_{\mathbb{Z}}$ respectively
- ▶ $(=)/2$ and $(<)/2$ are binary predicate symbols intended to represent $=_{\mathbb{Z}}$ and $<_{\mathbb{Z}}$ respectively

- Every $\Sigma_{\mathcal{T}_{\mathbb{Z}}}$ -formula can be reduced to $\Sigma_{\mathcal{T}_{\mathbb{N}}}$.

Theory of Reals $\mathcal{T}_{\mathbb{R}}$

Theory of Reals $\mathcal{T}_{\mathbb{R}}$ (elementary algebra):

■ Signature: $\{0, 1, +, \cdot, -, =, \leq\}$

- ▶ $0/0$ and $1/0$ are constants
- ▶ $(+)/2$ and $(\cdot)/2$ are binary function symbols
- ▶ $(-)/1$ is a unary function symbol (additive inverse)
- ▶ $(=)/2$ and $\leq/2$ are binary predicate symbols

■ Axioms: the axioms are split into several groups

■ Axioms of an **abelian group**:

- | | | |
|---|--|-------------------|
| 1 | $\forall x, y, z. (x + y) + z = x + (y + z)$ | (+ associativity) |
| 2 | $\forall x. x + 0 = x$ | (+ identity) |
| 3 | $\forall x. x + (-x) = 0$ | (+ inverse) |
| 4 | $\forall x, y. x + y = y + x$ | (+ commutativity) |

Theory of Reals $\mathcal{T}_{\mathbb{R}}$

■ Additional axioms of a **ring**:

- 1 $\forall x, y, z. (xy)z = x(yz)$ (\cdot associativity)
- 2 $\forall x. x1 = x$ (\cdot right identity)
- 3 $\forall x. 1x = x$ (\cdot left identity)
- 4 $\forall x, y, z. x(y + z) = xy + xz$ (\cdot left distributivity over $+$)
- 5 $\forall x, y, z. (x + y)z = xz + yz$ (\cdot right distributivity over $+$)

■ Additional axioms of a **field**:

- 1 $\forall x, y. xy = yx$ (\cdot commutativity)
- 2 $0 \neq 1$ (separate identities)
- 3 $\forall x. x \neq 0 \rightarrow \exists y. xy = 1$ (\cdot inverse)

Theory of Reals $\mathcal{T}_{\mathbb{R}}$

■ Axioms of a **total order**:

- 1 $\forall x, y. x \leq y \wedge y \leq x \rightarrow x = y$ (antisymmetry)
- 2 $\forall x, y, z. x \leq y \wedge y \leq z \rightarrow x \leq z$ (transitivity)
- 3 $\forall x, y. x \leq y \vee y \leq x$ (totality)

■ Additional axioms of a **real closed field**:

- 1 $\forall x, y, z. x \leq y \rightarrow x + z \leq y + z$ (+ ordered)
- 2 $\forall x, y. 0 \leq x \wedge 0 \leq y \rightarrow 0 \leq xy$ (\cdot ordered)
- 3 $\forall x \exists y. x = y^2 \vee x = -y^2$ (square root)
- 4 for every odd integer n ,

$$\forall \bar{x} \exists y. y^n + x_1 y^{n-1} + \cdots + x_{n-1} y + x_n = 0 \quad (\text{at least one root})$$

Theory of Reals $\mathcal{T}_{\mathbb{R}}$

- **decidable** [Tarski 1956]
 - ▶ via quantifier elimination

Example

Can you find a quantifier-free formula $\mathcal{T}_{\mathbb{R}}$ -equivalent to the formula

$$\exists x . ax^2 + bx + c = 0?$$

Solution: the formula

$$b^2 - 4ac \geq 0.$$

Theory of Rationals $\mathcal{T}_{\mathbb{Q}}$

Theory of Rationals $\mathcal{T}_{\mathbb{Q}}$:

■ **Signature:** $\{0, 1, +, -, =, \leq\}$

▶ (same as for $\mathcal{T}_{\mathbb{R}}$ excluding $(\cdot)/2$)

■ **Axioms:**

1 $\forall x, y. x \leq y \wedge y \leq x \rightarrow x = y$ (antisymmetry)

2 $\forall x, y, z. x \leq y \wedge y \leq z \rightarrow x \leq z$ (transitivity)

3 $\forall x, y. x \leq y \vee y \leq x$ (totality)

4 $\forall x, y, z. (x + y) + z = x + (y + z)$ (+ associativity)

5 $\forall x. x + 0 = x$ (+ identity)

6 $\forall x. x + (-x) = 0$ (+ inverse)

7 $\forall x, y. x + y = y + x$ (+ commutativity)

8 $\forall x, y, z. x \leq y \rightarrow x + z \leq y + z$ (+ ordered)

9 for each positive integer n ,

$\forall x. nx = 0 \rightarrow x = 0$ (torsion-free)

10 for each positive integer n ,

$\forall x \exists y. x = ny$ (divisible)

where nx denotes $\overbrace{x + \cdots + x}^n$

Theory of Rationals $\mathcal{T}_{\mathbb{Q}}$

■ decidable

- ▶ via quantifier elimination

Example

The formula

$$\frac{1}{2}x + \frac{2}{3}y \geq 4$$

can be expressed as the $\Sigma_{\mathcal{T}_{\mathbb{Z}}}$ -formula

$$3x + 4y \geq 24.$$

Example

The formula

$$\exists x . xx = 2$$

is a valid formula of $\mathcal{T}_{\mathbb{R}}$ but is expressible in neither $\mathcal{T}_{\mathbb{Q}}$ nor $\mathcal{T}_{\mathbb{Z}}$.

Example

The formula

$$\forall x, y . x < y \rightarrow \exists z . x < z \wedge z < y$$

is a valid formula of $\mathcal{T}_{\mathbb{R}}$ and $\mathcal{T}_{\mathbb{Q}}$, but an invalid formula of $\mathcal{T}_{\mathbb{N}}$ and $\mathcal{T}_{\mathbb{Z}}$.

Theory of Lists $\mathcal{T}_{\text{List}}$

Theory of Lists $\mathcal{T}_{\text{List}}$:

■ Signature: $\{\text{cons}, \text{car}, \text{cdr}, \text{atom}, =\}$

- ▶ $\text{cons}/2$ is a function called the **constructor**
- ▶ $\text{car}/1$ and $\text{cdr}/1$ are functions called **left** and **right projector**
- ▶ $\text{atom}/1$ and $(=)/2$ are predicates

■ Axioms:

- 1 (reflexivity), (symmetry), and (transitivity) of \mathcal{T}_E
- 2 instantiations of the (function congruence) axiom scheme of \mathcal{T}_E :

$$\forall x_1, x_2, y_1, y_2 . x_1 = x_2 \wedge y_1 = y_2 \rightarrow \text{cons}(x_1, y_1) = \text{cons}(x_2, y_2)$$

$$\forall x, y . x = y \rightarrow \text{car}(x) = \text{car}(y)$$

$$\forall x, y . x = y \rightarrow \text{cdr}(x) = \text{cdr}(y)$$

- 3 an instantiation of the (predicate congruence) axiom scheme of \mathcal{T}_E :

$$\forall x, y . x = y \rightarrow (\text{atom}(x) \leftrightarrow \text{atom}(y))$$

- 4 $\forall x, y . \text{car}(\text{cons}(x, y)) = x$ (left projection)
- 5 $\forall x, y . \text{cdr}(\text{cons}(x, y)) = y$ (right projection)
- 6 $\forall x . \neg \text{atom}(x) \rightarrow \text{cons}(\text{car}(x), \text{cdr}(x)) = x$ (construction)
- 7 $\forall x, y . \neg \text{atom}(\text{cons}(x, y))$ (atom)

Theory of Lists $\mathcal{T}_{\text{List}}$

- **undecidable**

- **Theory of Acyclic Lists** $\mathcal{T}_{\text{List}}^+$:

- ▶ created by adding the following axiom schema:

$$\forall x . \text{car}(x) \neq x$$

$$\forall x . \text{cdr}(x) \neq x$$

$$\forall x . \text{car}(\text{car}(x)) \neq x$$

$$\forall x . \text{car}(\text{cdr}(x)) \neq x$$

...

- ▶ **decidable**

- the **quantifier-free** fragment is **decidable**

- a more general **Theory of Recursive Data Structures** available

Theory of Arrays \mathcal{T}_A

Theory of Arrays \mathcal{T}_A :

■ Signature: $\{\cdot[\cdot], \cdot\langle\cdot\triangleleft\cdot\rangle, =\}$

- ▶ $\cdot[\cdot]/2$ is a function called the **read**
- ▶ $\cdot\langle\cdot\triangleleft\cdot\rangle/3$ is a function called the **write**
- ▶ $(=)/2$ is a predicate

■ Axioms:

1 (reflexivity), (symmetry), and (transitivity) of \mathcal{T}_E

2 $\forall a, i, j . i = j \rightarrow a[i] = a[j]$ (array congruence)

3 $\forall a, v, i, j . i = j \rightarrow a\langle i\triangleleft v\rangle[j] = v$ (read over write 1)

4 $\forall a, v, i, j . i \neq j \rightarrow a\langle i\triangleleft v\rangle[j] = a[j]$ (read over write 2)

Theory of Arrays \mathcal{T}_A

■ undecidable

- ▶ arbitrary functions can be encoded using multi-dimensional arrays

■ extended with the (extensionality) axiom, the quantifier-free fragment is decidable

$$\forall a, b . (\forall i . a[i] = b[i]) \quad \leftrightarrow \quad a = b \quad \text{(extensionality)}$$

Example

The formula

$$a[i] = e \quad \rightarrow \quad \forall j . a\langle i \triangleleft e \rangle[j] = a[j]$$

is \mathcal{T}_A -valid.

References

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