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Logic, Logic, and Logic

Lecture 2: FOL 15 April 2021

Informationssysteme CS4130 (Summer 2021) Recap: Role of Logic in CS

Literature Hint: Introductions to Logic

Logic for CS

Lit: M. Huth and M. Ryan. Logic in Computer Science: Modelling and Reasoning about Systems. Cambridge University Press, 2000.

Lit: M. Ben-Ari. Mathematical Logic for Computer Science. Springer, 2. edition, 2001.

Lit: U. Schöning. Logik für Informatiker. Spektrum Akademischer Verlag, 5. edition, 2000.

Lit: M. Fitting. First-Order Logic and Automated Theorem Proving. Graduate texts in computer science. Springer, 1996.

Mathematical Logic

Lit: H.Ebbinghaus, J.Flum, and W.Thomas. Einführung in die mathematische Logik. Hochschul-Taschenbuch. Spektrum Akademischer Verlag, 2007.

Lit: D. J. Monk. Mathematical Logic. Springer, 1976.

Lit: R. Cori and D. Lascar. Mathematical Logic: Propositional calculus, Boolean algebras, predicate calculus. Mathematical Logic: A Course with Exercises. Oxford University Press, 2000.

Recap: First-Order Logic

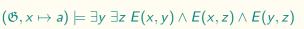
FOL Structures and Interpretations

- ► Structures: $\mathfrak{A} = (A, R_1^{\mathfrak{A}}, \dots R_n^{\mathfrak{A}}, f_1^{\mathfrak{A}}, \dots, f_m^{\mathfrak{A}}, c_1^{\mathfrak{A}}, \dots, c_l^{\mathfrak{A}})$
- ▶ Usually: Universe A assumed to be non-empty Example: Graphs $\mathfrak{G} = (V, E^{\mathfrak{G}})$
- Interpretations $\mathcal{I} = (\mathfrak{A}, \nu)$ Adds assignments ν for free variables.
- Syntax
 - ► Terms (Example: c, f(c, x))
 - Atomic formulae (Example: c = d, E(a, d))
 - ► Formulae: (Example: $\exists y \; \exists z \; E(x,y) \land E(x,z) \land E(y,z)$)

FOL Semantics

- ► Semantics (Satisfaction/truth/modeling |=)
 - ▶ ... ▶ $\mathcal{I} \models \exists x \ \phi$ iff: There is $d \in A$ s.t. $\mathcal{I}_{[x/d]} \models \phi$

Example





Alternative notation:

$$\mathfrak{G} \models (\exists y \; \exists z \; E(x,y) \land E(x,z) \land E(y,z))(x/a)$$

Definition (Derived Semantic Notions)

- ► Entailment: $\Phi \models \psi$ (" Φ entails ψ ") iff for all interpretations \mathcal{I} : if $\mathcal{I} \models \Phi$, then $\mathcal{I} \models \psi$
- \blacktriangleright ψ is satisfiable iff there is an interpretation \mathcal{I} s.t. $\mathcal{I} \models \psi$
- $lackbox{ } \Phi$ is satisfiable iff there is an interpretation $\mathcal I$ s.t. for all $\psi \in \Phi \colon \mathcal I \models \psi$
- ▶ $Mod(\Phi) = \{ \mathcal{I} \mid \mathcal{I} \text{ satisfies all } \psi \in \Phi \}$
- \blacktriangleright ψ is valid iff for all interpretations \mathcal{I} : $\mathcal{I} \models \psi$.
- ψ is contradictory (unsatisfiable) iff for all interpretations \mathcal{I} : Not $\mathcal{I} \models \psi$

FOL: Calculi and Algorithmic Problems

Plan for Today

- We investigate corresponding algorithmic problems for FOL
- ▶ Because, e.g., the definition of entailment does not say anything on how to compute that ψ is entailed by Φ
- Moreover, it does not say how much resources (place, time) are needed
- Example algorithmic problems
 - Given a structure $\mathfrak A$ and formula ϕ : Decide whether $\mathfrak A \models \phi$
 - ightharpoonup Given a formula decide whether ϕ is satisfiable (valid, contradictory, resp.)
 - **▶** Given Φ , ψ decide whether $\Phi \models \psi$.
- ▶ Problems are related by reduction (at least for FOL)

Wake-Up Exercise

Show: $\Phi \vDash \psi$ iff $\Phi \cup \{\neg \psi\}$ is unsatisfiable

Remember:

- ► Entailment: $\Phi \models \psi$ (" Φ entails ψ ") iff for all interpretations \mathcal{I} : if $\mathcal{I} \models \Phi$, then $\mathcal{I} \models \psi$
- ψ is unsatisfiable (or contradictory) iff for all interpretations \mathcal{I} : Not $\mathcal{I} \models \psi$

Challenges of FOL Algorithmic Problems

- First challenge: Domain of structure may be infinite
- But this is not the main problem (as we will see in lecture on finite model theory)
- ▶ Second challenge: Number of possible structures is infinite
- ► We want to tame the infinite by "syntactifying" the problem

A First Step Towards Algorithmization: Proof Calculi

- ▶ How to approach entailment problem $\Phi \models \psi$?
- ▶ Idea: Break down entailment into smaller entailment steps
 - "Smaller" entailment steps (which are "obvious")
 - ightharpoonup Realized by applying finite number of rules $\mathcal R$
 - lacktriangle Apply rules to Φ and intermediate results to yield ψ

General derivation procedure

- ► Input: Φ, ψ
- ▶ Output: $\Phi \models \psi$
- \triangleright $DS_0 = Encode(\Phi, \psi)$
- ▶ Find derivation $DS_0, ..., DS_n$ where DS_i results from applying a rule from \mathcal{R} to finite set of DS_j with j < i.
- ▶ Decode(DS_n) into answer to $\Phi \models \psi$
- ▶ Differences among calculi regarding: types of rules in \mathcal{R} ; used data structures DS; proof methodology

Well Known Calculi

Calculus	Rule types	Data structures	Methodology
Hilbert	axioms 2 rules	formulae	direct (premises to conclusion)
Natural deduction	I(ntroduction) and E(limination) rules per constructor	formulae	direct
Gentzen style	axioms + I and E rules per constructor	Entailments	direct
Tableaux	"and", "or" rules	formula in a tree	refutation proofs based on DNF
Resolution	resolution rule	quantifier free formula in CNF in a tree	refutation proofs based on CNF

Resolution

Resolution

 Refutation calculus, i.e., calculus for showing unsatisfiability of a formula

► Steps

- Data structures: formulas in clausal-normal form (Corresponds to CNF (conjunctive normal form) in propositional logic)
- One rule: use satisfiability-preserving resolution rule to reduce formulae
- Iteratively apply until empty clause (means: contradiction) is derived
- ► There are mature and efficient resolution provers (with many ingenious optimizations)
- Efficient (but nonetheless complete) resolution procedure SLD part of Prolog

Prenex Normal Form

- ▶ Idea of normalization
 - Transform formulas into a (syntactically) simpler form
 - preserving as much of the semantics as possible

Definition

A formula of the form $Q_1x_1, \ldots, Q_nx_n\psi$, where $Q_i \in \{\forall, \exists\}$ and

- lacktriangledown ψ , the so-called the matrix, does not contain quantifiers
- no variable occurs free and bounded
- every quantifier bounds a different variable

is said to be in prenex normal form (PNF)

- ► Here: Simplicity ensured by un-nesting quantifiers (the main reason for un-feasibility)
- ► Here "preserve semantic" means: Ensure equivalence =

$$\phi \equiv \psi$$
 iff $\phi \models \psi$ and $\psi \models \phi$

Existence of Prenex Normal Form

Theorem

Every FOL formula has an equivalent formula in PNF

Propositional Equivalences

- $\neg (\phi \lor \psi) \equiv \neg \phi \land \neg \psi$

Quantifier-specific equivalences

- $\forall x \phi \equiv \neg \exists x \neg \phi$
- $(\exists x \phi \land \psi) \equiv \exists x (\phi \land \psi)$ (where x not free in \(\psi\))
- $(\exists x \phi \lor \psi) \equiv \exists x (\phi \lor \psi)$ (x not free in ψ)
- $\exists x \phi \lor \exists x \psi \equiv \exists x (\phi \lor \psi)$
- $\exists x \exists y \phi \equiv \exists y \exists x \phi$

Equivalence under bounded substitutions

- $\exists x \phi \equiv \exists y (\phi[x/y])$
- where $\phi[x/y]$ is result of substituting every free x with y in ϕ

- $(\forall x \phi \land \psi) \equiv \forall x (\phi \land \psi)$ (where x not free in \(\psi\))
- $(\forall x \phi \lor \psi) \equiv \forall x (\phi \lor \psi)$ (x not free in \(\psi \))

Substituting with Equivalent Formula

Theorem

Assume $\phi \equiv \psi$ and χ contains ϕ as subformula. If χ' results from substituting ϕ with ψ , then $\chi \equiv \chi'$.

Proof: By structural induction.

Satisfiably Equivalent

- ► Formulae in PNF are going to be transformed to formula in clausal normal form
- ► Resulting formula are satisfiably equivalent

$$\phi \equiv_{\mathsf{sat}} \psi \text{ iff: } \mathsf{Mod}(\phi) \neq \emptyset \text{ iff } \mathsf{Mod}(\psi) \neq \emptyset$$

One cannot guarantee equivalence

Elimination of Exists Quantifiers: Skolemization

- ▶ Input a PNF formula ϕ : $\forall_1 x_1, ... \forall_n x_n \exists y \psi$
- ▶ Output ϕ' : $\forall_1 x_1, \dots \forall_n x_n \psi[y/f(x_1, \dots, x_n)]$ where f a fresh n-ary function symbol ϕ' results from skolemization out of ϕ , f called Skolem function (or Skolem constant if n = 0)
- ➤ Can be iteratively applied (starting with left-most ∃) until all ∃ are eliminated. Result is said to be in Skolem form and to be the skolemization of the original formula

Theorem

A formula and its skolemization are satisfiably equivalent.

Example (Skolem Form)

Given formula

$$\phi = \forall x \forall y (P(x, y) \to Q(x)) \to \exists x (\forall y \neg Q(y) \to \exists y \neg P(y, x))$$

transform it to Skolem form

$$\forall x \forall y (P(x,y) \rightarrow Q(x)) \rightarrow \exists x (\forall y \neg Q(y) \rightarrow \exists y \neg P(y,x))$$

$$\equiv \forall x \forall y (\neg P(x,y) \lor Q(x)) \rightarrow \exists x (\neg \forall y \neg Q(y) \lor \exists y \neg P(y,x))$$

$$\equiv \neg \forall x \forall y (\neg P(x,y) \lor Q(x)) \lor \exists x (\neg \forall y \neg Q(y) \lor \exists y \neg P(y,x))$$

$$\equiv \exists x \exists y \neg (\neg P(x,y) \lor Q(x)) \lor \exists x (\exists y \neg \neg Q(y) \lor \exists y \neg P(y,x))$$

$$\equiv \exists x \exists y (\neg \neg P(x,y) \land \neg Q(x)) \lor \exists x (\exists y \neg \neg Q(y) \lor \exists y \neg P(y,x))$$

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$$\equiv \exists x \exists y (P(x,y) \land \neg Q(x,y)) \lor (P(x,y,x)) \lor (P(x,y,x)) \lor (P(x,y,x))$$

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$$\exists x \exists x (P(x,y) \land P(x,y)$$

$$\exists x (P(x,y) \land P(x$$

Clausal Normal Form

Definition

 ψ is in clausal normal form (CLNF) iff it is in Skolem form, contains no free variables, and its matrix is in CNF

Definition

A quantifier-free formula is in conjunctive normal form (CNF) iff it is a conjunction of clauses

- ► Clause: Disjunction of literals
- Literal: atomic FOL formula or negated atomic FOL formula

Example CNF:
$$(R(a,x) \vee \neg P(x)) \wedge (\neg P(b) \vee Q(y))$$

Theorem

For every ψ there exists a satisfiably equivalent ψ' in CLNF

Resolution Idea

Observation used for resolution:

$$(\alpha \vee \phi) \wedge (\neg \alpha \vee \psi) \wedge \chi \equiv_{\mathsf{sat}} (\phi \vee \psi) \wedge \chi$$

where

- $\{\alpha, \neg \alpha\}$ is a pair of complementary literals
- $ightharpoonup \phi, \psi, \chi$ arbitrary formulae
- ► Apply this equivalence iteratively on the matrix of formula in CLNF until empty clause (i.e. contradiction) is derived
- ► More convenient set notation for clauses
 - ► Clause $L_1 \lor \cdots \lor L_n$ written as set $\{L_1, \ldots, L_n\}$
 - ► \overline{L}_i is complement of \underline{L}_i E.g.: $\overline{R(a)} = \neg R(a)$, $\overline{\neg R(a)} = R(a)$

Lazy Proof Strategy by Unification

- Want to identify literals as complementary using unification
- \triangleright Substitution σ : function from variables to terms
- $ightharpoonup \sigma$ unifies literals L_1, L_2 iff $L_1 \sigma = L_2 \sigma$
- ► Example
 - ► $L_1 = P(x, y), L_2 = P(g(z), a)$
- ► Laziness: Find a most general unifier (mgu)
 - σ_1 more general than $\sigma_2 = [x/g(a), y/a, z/a]$.
 - σ is an mgu iff for all unifiers σ' there is substitution σ'' such that $\sigma' = \sigma \circ \sigma''$.

Theorem (Robinson)

Every unifyable finite set of literals has a mgu.

Resolution Step

Definition

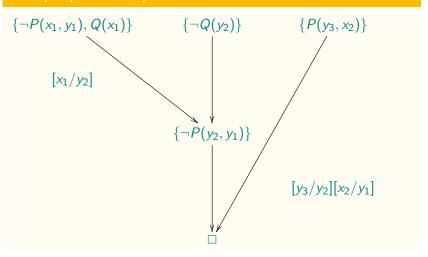
Given clauses Cl_1 , Cl_2 , the clause RCI is a resolvent of Cl_1 , Cl_2 iff

- 1. There are variable renamings σ_1, σ_2 s.t. $Cl_1\sigma_1$ and $Cl_2\sigma_2$ contain different variables.
- 2. There is a literal $L_1 \in Cl_1\sigma_1$ and $L'_1 \in Cl_2\sigma_2$ s.t. $\{L_1, \overline{L'}_1\}$ unifiable with mgu σ
- 3. $RCI = (CL_1\sigma_1 \setminus \{L_1\} \cup CL_2\sigma_2 \setminus \{L_1'\})\sigma$

A convenient graphical notation



Example (Resolution)



Correctness and Completeness

Definition

A calculus C is

- ► correct w.r.t. entailment iff: Whenever $\Phi \vdash_C \psi$, then $\Phi \models \psi$
- ▶ complete w.r.t. entailment iff: Whenever $\Phi \vDash \psi$, then $\Phi \vdash_{\mathcal{C}} \psi$
- Correctness means: you can prove entailments only that really hold
- ► Completeness means: Whenever an entailment holds then there is also a proof for it. (Proved by ingenious Gödel)

Theorem

All aforementioned calculi are correct and complete

Resolution Theorem

- \blacktriangleright Let ψ be a clause set
- $ightharpoonup Res(\psi) = \psi \cup \{RCI \mid RCI \text{ is a resolvent of clauses in } \psi\}$
- $ightharpoonup R^{i+1}(\psi) = Res(Res^i(\psi))$
- $ightharpoonup Res^{i}(\psi) = \bigcup Res^{i}(\psi)$

Theorem

Every ϕ in CLNF with matrix ψ is unsatisfiable iff $\Box \in Res^*(\psi)$ (or equivalently: if there is a derivation graph ending in \Box .)

- ► This shows correctness and completeness w.r.t. unsatisfiability testing
- But entailment can be reduced to it (remember wake-up question).
- ► Possible proof based on Herbrand models

Optional Slide: Completeness and Correctness for Resolution

- ► Herbrand structures blur syntax-semantic distinctions.
- ightharpoonup Given ψ in Skolem form.
- ▶ Herbrand terms $HT(\psi)$: all possible closed terms from function symbols (and constants) in ψ
- ▶ Herbrand structure $HS(\psi)$
 - ▶ Domain: $HT(\psi)$
 - Interpretation of function symbols: $f^{HS(\psi)}(t_1, \dots, t_n) = f(t_1, \dots, t_n)$
 - Relation symbols arbitrarily

Theorem

A formula is satisfiable iff it (its CLNF) has a Herbrand model

► Construction of Herband model: Interpret relation symbols R as $R^{HS(\psi)}(t_1, \ldots, t_n)$ if $\mathcal{I}(t_1), \ldots, \mathcal{I}(t_n) \in R^{\mathcal{I}}$ for satisfying \mathcal{I} .

Optional Slide: Herbrand Expansion

- ▶ Given ψ in Skolem form $\forall x_1, \dots, \forall x_n \phi$
- \blacktriangleright *HE*(ψ): All "groundings" of the matrix with Herbrand terms

$$\{\psi[x_1/t_1,\ldots,x_n/t_n]\mid t_i\in HS(\psi)\}$$

Theorem (Herbrand)

Skolem formula ψ is satisfiable iff a finite subset of $HE(\psi)$ is satisfiable

Proof idea

- lacktriangle Show that ψ is satisfiable iff it has a Herbrand model
- \blacktriangleright Show that ψ has a Herbrand model iff $HE(\psi)$ is satisfiable
- ► Use compactness of propositional logic (discussed later)

But wait....

- ► We have shown completeness of calculi
- ▶ Doesn't this mean that we have a decision procedure for entailment (unsatisfiability)?
 - ► NO!

Theorem

Deciding validity (unsatisfiability, entailment) is un-decidable

But semi-decidability holds: if formula is valid you will eventually find a derivation; if formula not valid you won't know

Turing Machines

- One of the first precise computation models are Turing machines (TMs)
- Specifies precisely what it means to solve a problem algorithmically
 - Starting from a finite input (encoding)
 - ▶ give after a (finite number) of discrete steps
 - an encoding of the desired output
- Other alternative computation models: recursive functions, lambda calculus, register machines
- These computation models have been shown to be equivalent

Church Turing Thesis

What is intuitively computable is computable by a Turing machine

VIDEO: A LegoTM Turing machine https://www.youtube.com/watch?v=FTSAiF9AHN4

Semi-decidability

$\mathsf{Theorem}$

FOL entailment is semi-decidable, i.e., there is a TM s.t.

- ▶ If Φ and ψ are inputs with $\Phi \models \psi$, then TM stops with yes
- otherwise it stops with no or it does not stop.

Proof sketch:

- ▶ Given a calculus C with derivation relation ⊢_C complete and correct for entailment
- ▶ The possible inferences starting from Φ make up a tree (with finite set of children for every node)
 - ► The root (level 0) is $Encode(\Phi, \psi)$
 - ▶ The finitely many children at level n + 1 are those D_i that are generated from children at level up to n
 - ▶ Do a breadth first search until $Encode(\Phi \models \psi)$ appears

Why is FOL so Important?

Why is FOL so Successful (w.r.t.) CS

- ► Theoretical Answer: FOL is most expressive logic w.r.t. relevant properties (Lindström Theorems)
 ⇒ today
- Practical Answer: Has proven useful for query answering on SQL DBs and much more
 - → next lectures

Compactness in Topology

"Ah, Kompaktheit, eine wundervolle Eigenschaft" (Jaenich 2008, S.24)

- Compactness notion stems from mathematical field topology
- ▶ Topologies $\mathfrak{T} = (X, \mathcal{O})$
 - ▶ Domain X and open sets $\mathcal{O} \subseteq Pot(X)$ with
 - Every union of open sets is open
 - Every finite intersection is open
 - ➤ X and Ø are open
- ▶ Open covering of XFamily of open sets $\{U_i\}_{i\in I}$ with $U_i \in \mathcal{O}$ and $\bigcup_{i\in I} U_i = X$

Lit: K. Jänich. Topologie. Springer, 8th edition, 2008.

Compactness in Topology

Definition

 (X, \mathcal{O}) is compact iff every open covering of X has a finite sub-covering.

- How compactness is used to infer global properties from local properties
 - ▶ Let P be a property such that if open U, V have it, then also $U \cup V$ has it.
 - ▶ Then: If for every point $a \in X$ there is an open U_a having P, then X has P.

Wake-Up Exercise

Prove the correctness of this type of reasoning from local to global within compact spaces!

Proof

- Assume that if open U, V have P, then also $U \cup V$ has it. (*)
- Assume further that for all a there is U_a having P.
- ▶ $\{U_a\}_{a \in X}$ is a covering of X.
- ▶ Because of compactness there is a finite covering $U_{a_1} \cup \cdots \cup U_{a_n} = X$.
- ▶ Because of (*) it follows that U_{a_1}, \ldots, U_{a_n} has P, i.e., X has P.

Definition ((Logical) Compactness)

A logic \mathcal{L} has the compactness property if the following holds: For all sets Φ of formulae in \mathcal{L} : If every finite subset of Φ has a model, then Φ has a model.

- ► Equivalent definition:
 - If $\Phi \vDash \psi$, then already $\Phi_0 \vDash \psi$ for a finite Φ_0
- Intuitively: Infiniteness adds not additional expressive power for FOL

$\mathsf{Theorem}$

FOL has the compactness property.

- ► Logical compactness derived from topological notion
- ► FOL compactness is a corollary of Tychonoff's Theorem ("Any product of compact topological spaces is compact")

Application: Reachability is not FOL Expressible

Query Q_{reach} : List all cities reachable from Hamburg!

```
\begin{array}{lcl} \textit{Q}_{\textit{reach}}(\textit{x}) & = & \textit{Flight}(\textit{Hamburg}, \textit{x}) \lor \\ & & \exists \textit{x}_1 \textit{Flight}(\textit{Hamburg}, \textit{x}_1) \land \textit{Flight}(\textit{x}_1, \textit{x}) \lor \\ & & \exists \textit{x}_1, \textit{x}_2 \textit{Flight}(\textit{Hamburg}, \textit{x}_2) \land \textit{Flight}(\textit{x}_2, \textit{x}_1) \land \textit{Flight}(\textit{x}_1, \textit{x}) \lor \dots \end{array}
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Theorem

Reachability is not expressible in FOL.

Proof

- ► For contradiction assume there is FOL $\phi_{reach}(x, y)$ expressing reachability over edges E
- ▶ Consider FOL formulae ϕ_n : "There is an *n*-path from *c* to *c*"
- ▶ Let $\Psi = \{ \neg \phi_i \mid i \in \mathbb{N} \} \cup \{ \phi_{reach}(c, c') \}$
- ▶ Ψ is unsatisfiable, but every finite subset is satisfiable £

Application: Infinitesimal Probabilities

- Over continuous domains "low-dimensional" events have probability 0
- ► Conditional probability P(B|A) undefined for P(A) = 0
- ▶ But P(point on east hemisphere | point on equator) should be 1/2 (and not undefined)
 - ⇒ Need infinitesimal positive probability weights
- ► Consider $T = Th(\mathbb{R}) \cup \{a < \Omega \mid a \text{ is name of a real number}\}$
- ► Every finite subset of *T* satisfiable; with compactness *T* is satisfiable
- \triangleright 1/ Ω infinitesimal element
 - **Lit:** J. Weisberg. Varieties of bayesianism. In D. M. Gabbay, S. Hartmann, and J. Woods, editors, Inductive Logic, volume 10 of Handbook of the History of Logic, pages 477–551. North-Holland, 2011.

Lit: A. Robinson. Non-standard Analysis. Princeton Landmarks in Mathematics. Princeton University Press, 1996.

FOL has the Löwenheim-Skolem-Property

Theorem (Downward Löwenheim-Skolem-Property)

Every satisfiable, countable set of FOL sentences (theory) has a countable model.

- Intuitively: If you can talk with countably many sentences about structures, then there is a countable model verifying this fact.
- ► Can be shown by Herbrand expansions
- ► Leads to Skolem's paradox
 - ➤ You can formalize mathematics within countable FOL theory, namely, Zermelo-Fränkel Set Theory (ZFC)
 - ► ZFC ⊨ "there are uncountable sets".

Why FOL is so Important: Lindström Theorems

Theorem (First Lindström Theorem)

There is no (regular) logic that is more expressive than FOL and fulfills compactness and Löwenheim-Skolem Property

- ► Meta theorem
- ► Intuitively: FOL is the most expressive (regular) logic fulfilling compactness and the Löwenheim-Skolem Property
- ► Regularity of logic
 - Contains boolean operators
 - Allows relativizing formula to domains
 - Allows substituting constants and function symbols by relation symbols

Limits of FOL

- ► Positive: FOL can be used for effective query answering on one model (in data complexity)!
- ▶ Negative
 - ► Entailment problem, satisfiability etc. not decidable
 - ⇒ Calls for restriction to feasible fragments
 - Expressivity not sufficient (no recursion)
 - ⇒ Calls for extensions (and restrictions)