# Understanding Conflict-Driven SAT Solving Through the Lens of Proof Complexity

Jakob Nordström

KTH Royal Institute of Technology Stockholm, Sweden

> IIT Bombay February 22, 2017

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Can we use computers to solve the SAT problem efficiently?

#### The unreasonable effectiveness of SAT solvers

- The Boolean satisfiability problem (SAT) is NP-complete and so should be exponentially hard
- Yet current state-of-the-art conflict-driven clause learning (CDCL) SAT solvers can deal with formulas containing millions of variables
- How can they work so well? What are their limits?

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- Parameterized complexity

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## How to understand the power of CDCL?

- Community structure
- Parameterized complexity
- This talk: proof complexity
   Rigorous analysis of underlying method of reasoning

## Purpose of This Presentation

- Survey some of the research in the area (most of it **not** mine) including some ongoing work (of mine)
- Show some theoretical "benchmark formulas" used to understand potential and limitations of SAT solvers
- Discuss some (of the many) remaining open problems

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#### Caveats:

- By necessity, selective and somewhat subjective coverage
- Won't do too much name-dropping full references at end of slides

## Some More Caveats and Clarifications

## Only basic propositional logic proof search

- No SMT or first-order logic or anything in this talk
- No discussion of preprocessing techniques

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- In addition, proof complexity considers optimal algorithms (so restrict focus to unsatisfiable formulas)
- Still possible to prove some highly nontrivial theorems
- Separate question how to interpret these theoretical theorems

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## Why theory benchmarks?

- See what SAT solvers can do (sometimes very neat things)
- See what SAT solvers cannot do (provably hard instances)
- See what SAT solvers "should be able" to do (formulas easy for proof system but hard for corresponding SAT solvers)

## Outline

- Resolution and Conflict-Driven Clause Learning
  - The Resolution Proof System
  - Conflict-Driven Clause Learning
  - Theoretical Analysis of CDCL
- 2 Cutting Planes and Pseudo-Boolean SAT Solving
  - The Cutting Planes Proof System
  - Pseudo-Boolean SAT Solving
- 3 Seeking Practical CDCL Insights from Theoretical Benchmarks
  - Experimental Set-up
  - Some Tentative Findings

## Some Notation and Terminology

- Literal a: variable x or its negation  $\overline{x}$  (or  $\neg x$ )
- Clause  $C = a_1 \lor \cdots \lor a_k$ : disjunction of literals (Consider as sets, so no repetitions and order irrelevant)
- CNF formula  $F = C_1 \wedge \cdots \wedge C_m$ : conjunction of clauses
- k-CNF formula: CNF formula with clauses of size  $\leq k$  (where k is some constant)
- N denotes size of formula (# literals counted with repetitions)
- $\mathcal{O}(f(N))$  grows at most as quickly as f(N) asymptotically  $\Omega(g(N))$  grows at least as quickly as g(N) asymptotically  $\Theta(h(N))$  grows equally quickly as h(N) asymptotically

Goal: refute unsatisfiable CNF

Start with clauses of formula (axioms)

Derive new clauses by resolution rule

$$\frac{C \vee x \qquad D \vee \overline{x}}{C \vee D}$$

Done when empty clause  $\perp$  derived

1. 
$$x \lor y$$

$$2. \qquad x \vee \overline{y} \vee z$$

$$3. \quad \overline{x} \vee z$$

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Can represent refutation/proof as	6.	$x \vee \overline{y}$	Res(2,4)
• annotated list or	7.	x	Res(1,6)
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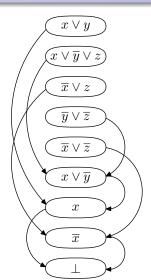
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### The Resolution Proof System Underlying CDCL

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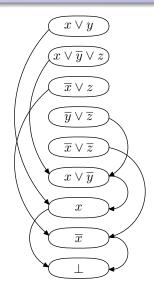
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Tree-like resolution if DAG is tree



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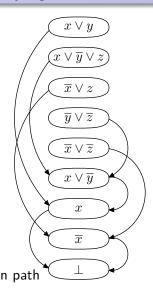
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Tree-like resolution if DAG is tree

Regular if resolved variables don't repeat on path



The Resolution Proof System Conflict-Driven Clause Learning Theoretical Analysis of CDCL

### Making the Connection to DPLL

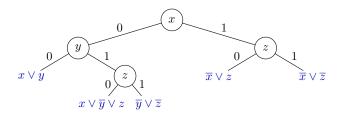
Basis of best modern SAT solvers still DPLL method [DP60, DLL62]

### Making the Connection to DPLL

Basis of best modern SAT solvers still DPLL method [DP60, DLL62]

Visualize execution of DPLL algorithm as search tree

- Branch on variable assignments in internal nodes
- Stop in leaves when falsfied clause found

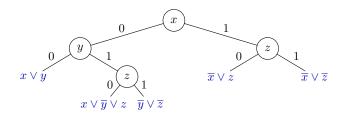


The Resolution Proof System Conflict-Driven Clause Learning Theoretical Analysis of CDCL

### DPLL Execution as Resolution Proof

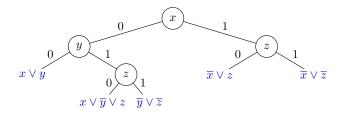
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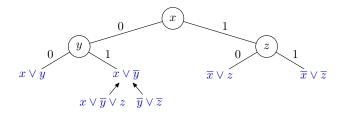
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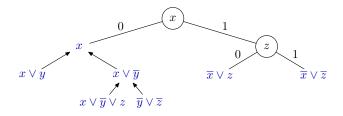
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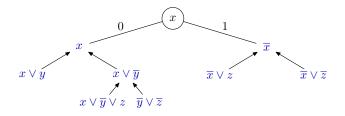
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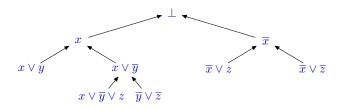
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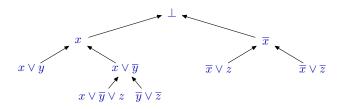
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A DPLL execution is essentially a resolution proof

Look at our example again:



and apply resolution rule bottom-up

(Slightly more needed to turn this into formal theorem, but this is essentially it)

Many more ingredients in modern CDCL SAT solvers [BS97, MS99, MMZ<sup>+</sup>01], for instance:

- Choice of branching variables crucial
- In leaf, compute & add reason for failure (clause learning)
- Restart every once in a while (saving learned clauses)

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But CDCL still yields resolution proofs (though clause learning ⇒ general DAGs instead of trees)

Will talk more about this later in the presentation

The Resolution Proof System Conflict-Driven Clause Learning Theoretical Analysis of CDCL

## Resolution Size/Length

```
Size/length of proof = \# clauses (9 in our example)
Length of refuting F = \min over all proofs for F
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Most fundamental measure in proof complexity

Lower bound on CDCL running time (can extract resolution proof from execution trace)

Never worse than  $\exp(\mathcal{O}(N))$ 

Matching  $\exp(\Omega(N))$  lower bounds known

#### Pigeonhole principle (PHP) [Hak85]

"n+1 pigeons don't fit into n holes"

Variables  $p_{i,j} =$  "pigeon i goes into hole j"

$$p_{i,1} \lor p_{i,2} \lor \cdots \lor p_{i,n}$$
 every pigeon  $i$  gets a hole  $\overline{p}_{i,j} \lor \overline{p}_{i',j}$  no hole  $j$  gets two pigeons  $i \neq i'$ 

Can also add "functionality" and "onto" axioms

$$\begin{array}{ll} \overline{p}_{i,j} \vee \overline{p}_{i,j'} & \text{no pigeon } i \text{ gets two holes } j \neq j' \\ p_{1,j} \vee p_{2,j} \vee \cdots \vee p_{n+1,j} & \text{every hole } j \text{ gets a pigeon} \end{array}$$

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Even onto functional PHP formula is hard for resolution "Resolution cannot count"

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"n+1 pigeons don't fit into n holes"

Variables  $p_{i,j}$  = "pigeon i goes into hole j"

$$\begin{array}{ll} p_{i,1} \vee p_{i,2} \vee \dots \vee p_{i,n} & \text{every pigeon } i \text{ gets a hole} \\ \overline{p}_{i,j} \vee \overline{p}_{i',j} & \text{no hole } j \text{ gets two pigeons } i \neq i' \end{array}$$

Can also add "functionality" and "onto" axioms

$$\begin{array}{ll} \overline{p}_{i,j} \vee \overline{p}_{i,j'} & \text{no pigeon } i \text{ gets two holes } j \neq j' \\ \\ p_{1,j} \vee p_{2,j} \vee \cdots \vee p_{n+1,j} & \text{every hole } j \text{ gets a pigeon} \end{array}$$

Even onto functional PHP formula is hard for resolution "Resolution cannot count"

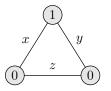
But only length lower bound  $\exp(\Omega(\sqrt[3]{N}))$  in terms of formula size

#### Tseitin formulas [Urq87]

"Sum of degrees of vertices in graph is even"

Variables = edges (in undirected graph of bounded degree)

- Label every vertex 0/1 so that sum of labels odd
- Write CNF requiring parity of # true incident edges = label



$$(x \lor y) \land (\overline{x} \lor z)$$

$$\wedge \ (\overline{x} \vee \overline{y}) \qquad \wedge \ (y \vee \overline{z})$$

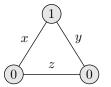
$$\wedge (x \vee \overline{z}) \qquad \wedge (\overline{y} \vee z)$$

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$$\wedge \ (x \vee \overline{z}) \qquad \wedge \ (\overline{y} \vee z)$$

Requires length  $\exp(\Omega(N))$  on well-connected so-called expanders "Resolution cannot count mod 2"

### Subset cardinality formulas [Spe10, VS10, MN14]

```
\begin{pmatrix} \mathbf{1} & \mathbf{1} & 0 & \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & 0 & 0 & 0 \\ 0 & \mathbf{1} & \mathbf{1} & 0 & \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & 0 & 0 \\ 0 & 0 & \mathbf{1} & \mathbf{1} & 0 & \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & 0 & 0 \\ 0 & 0 & \mathbf{1} & \mathbf{1} & 0 & \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & 0 \\ 0 & 0 & 0 & \mathbf{1} & \mathbf{1} & 0 & \mathbf{1} & 0 & 0 & 0 & \mathbf{1} \\ \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & \mathbf{1} & 0 & \mathbf{1} & 0 & 0 & 0 \\ 0 & \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & \mathbf{1} & 0 & \mathbf{1} & 0 & 0 \\ 0 & 0 & \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & \mathbf{1} & 0 & \mathbf{1} & 0 \\ 0 & 0 & 0 & \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & \mathbf{1} & 0 & \mathbf{1} \\ \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & \mathbf{1} \\ \mathbf{1} & 0 & \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & \mathbf{1} & 0 & 0 & \mathbf{1} \end{pmatrix}
```

```
(x_{1,1} \lor x_{1,2} \lor x_{1,4})
\land (x_{1,1} \lor x_{1,2} \lor x_{1,8})
\land (x_{1,1} \lor x_{1,4} \lor x_{1,8})
\land (x_{1,2} \lor x_{1,4} \lor x_{1,8})
\vdots
\land (\overline{x}_{4,11} \lor \overline{x}_{8,11} \lor \overline{x}_{10,11})
\land (\overline{x}_{4,11} \lor \overline{x}_{10,11} \lor \overline{x}_{11,11})
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```

```
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```

#### Subset cardinality formulas [Spe10, VS10, MN14]

Variables = 1s in matrix with four 1s per row/column + extra 1 Row  $\Rightarrow$  majority of variables true; column  $\Rightarrow$  majority false

```
\begin{pmatrix} \mathbf{1} & \mathbf{1} & 0 & \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & 0 & 0 & 0 \\ 0 & \mathbf{1} & \mathbf{1} & 0 & \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & 0 & 0 \\ 0 & \mathbf{1} & \mathbf{1} & 0 & \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & 0 & 0 \\ 0 & 0 & \mathbf{1} & \mathbf{1} & 0 & \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & 0 \\ 0 & 0 & 0 & \mathbf{1} & \mathbf{1} & 0 & \mathbf{1} & 0 & 0 & 0 & \mathbf{1} \\ \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & \mathbf{1} & 0 & \mathbf{1} & 0 & 0 & 0 \\ 0 & \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & \mathbf{1} & 0 & \mathbf{1} & 0 & 0 \\ 0 & 0 & \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & \mathbf{1} & 0 & \mathbf{1} & 0 \\ 0 & 0 & 0 & \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & \mathbf{1} & 0 & \mathbf{1} \\ \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & \mathbf{1} & 0 \\ 0 & 1 & 0 & 0 & 0 & \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & \mathbf{1} \\ \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & 0 & 0 & 0 & \mathbf{1} & \mathbf{1} \\ \mathbf{1} & 0 & 1 & 0 & 0 & 0 & \mathbf{1} & \mathbf{1} & 0 & \mathbf{0} \\ \end{pmatrix}
```

Lower bound  $\exp(\Omega(N))$  on expanding matrices (well spread-out)

-	<pre>e = max # clauses in memory performing refutation</pre>	1.	$x \vee y$	Axiom
	Notivated by solver memory usage (but lso of intrinsical theory interest)	2.	$x \vee \overline{y} \vee z$	Axiom
also of		3.	$\overline{x} \lor z$	Axiom
	an be measured in different ways — nakes most sense here to focus on ause space	4.	$\overline{y} \vee \overline{z}$	Axiom
clause		5.	$\overline{x} \vee \overline{z}$	Axiom
•		6.	$x \vee \overline{y}$	Res(2,4)
		7.	x	Res(1,6)
		8.	$\overline{x}$	Res(3,5)
		9.	$\perp$	Res(7,8)

	<b>Space</b> = max # clauses in memory when performing refutation	1.	$x \vee y$	Axiom	
	otivated by solver memory usage (but	2.	$x \vee \overline{y} \vee z$	Axiom	
	also of intrinsical theory interest)	3.	$\overline{x} \lor z$	Axiom	
	Can be measured in different ways — makes most sense here to focus on	4.	$\overline{y} \vee \overline{z}$	Axiom	
clause sp	clause space	5.	$\overline{x} \vee \overline{z}$	Axiom	
	Space at step $t=\#$ clauses at steps $\leq t$ used at steps $\geq t$	6.	$x \vee \overline{y}$	Res(2,4)	
Example: Space at step 7		7.	$\boldsymbol{x}$	Res(1,6)	
	F 1 Sp. 11 Step 1 11	8.	$\overline{x}$	Res(3,5)	
		9.	$\perp$	Res(7,8)	

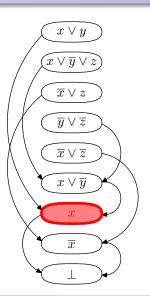
**Space** = max # clauses in memory when performing refutation

Motivated by solver memory usage (but also of intrinsical theory interest)

Can be measured in different ways — makes most sense here to focus on clause space

Space at step t=# clauses at steps  $\leq t$  used at steps  $\geq t$ 

**Example:** Space at step 7 . . .



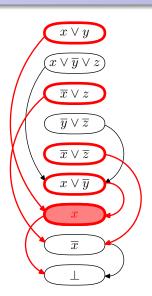
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Motivated by solver memory usage (but also of intrinsical theory interest)

Can be measured in different ways — makes most sense here to focus on clause space

 $\begin{array}{l} \text{Space at step } t = \# \text{ clauses at steps} \\ \leq t \text{ used at steps} \geq t \end{array}$ 

**Example:** Space at step 7 is 5



**Space** = max # clauses in memory when performing refutation

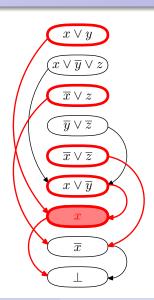
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Can be measured in different ways — makes most sense here to focus on clause space

Space at step t=# clauses at steps  $\leq t$  used at steps  $\geq t$ 

**Example:** Space at step 7 is 5

 $\mathsf{Space} \,\, \mathsf{of} \,\, \mathsf{proof} \,\, = \mathsf{max} \,\, \mathsf{over} \,\, \mathsf{all} \,\, \mathsf{steps}$ 



**Space** = max # clauses in memory when performing refutation

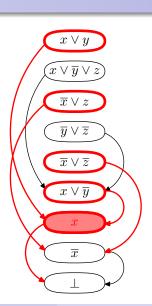
Motivated by solver memory usage (but also of intrinsical theory interest)

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 $\begin{array}{l} \text{Space at step } t = \# \text{ clauses at steps} \\ \leq t \text{ used at steps} \geq t \end{array}$ 

**Example:** Space at step 7 is 5

Space of proof = max over all steps Space of refuting F= min over all proofs



The Resolution Proof System Conflict-Driven Clause Learning Theoretical Analysis of CDCL

### Bounds on Resolution Space

Space always at most  $N + \mathcal{O}(1)$  (!) [ET01]

Matching  $\Omega(N)$  lower bounds known [ABRW02, BG03, ET01]

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Space always at most  $N + \mathcal{O}(1)$  (!) [ET01]

Matching  $\Omega(N)$  lower bounds known [ABRW02, BG03, ET01]

Linear space lower bounds might not seem so impressive. . .

#### But:

- Apply for space on top of storing formula
- Hold even for optimal algorithms that magically know exactly which clauses to throw away or keep
- So significantly more space might be needed in practice
- And linear space upper bound obtained for proofs of exponential size

The Resolution Proof System Conflict-Driven Clause Learning Theoretical Analysis of CDCL

### Length and Space

Exist space-efficient proofs  $\Rightarrow$  exist short proofs [AD08] (for k-CNF formulas, to be precise)

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Existence of short proofs  $\Rightarrow$  existence of space-efficient proofs? No!

# Length and Space

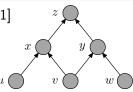
```
Exist space-efficient proofs \Rightarrow exist short proofs [AD08] (for k-CNF formulas, to be precise)
```

Existence of short proofs  $\Rightarrow$  existence of space-efficient proofs? No!

### Pebbling formulas [Nor09, NH13, BN08]

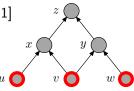
- Can be refuted in length  $\mathcal{O}(N)$
- May require space  $\Omega(N/\log N)$

- 1.  $u_1 \oplus u_2$
- $2. \quad v_1 \oplus v_2$
- 3.  $w_1 \oplus w_2$
- 4.  $(u_1 \oplus u_2) \land (v_1 \oplus v_2) \rightarrow (x_1 \oplus x_2)$
- 5.  $(v_1 \oplus v_2) \wedge (w_1 \oplus w_2) \rightarrow (y_1 \oplus y_2)$
- 6.  $(x_1 \oplus x_2) \wedge (y_1 \oplus y_2) \rightarrow (z_1 \oplus z_2)$
- 7.  $\neg(z_1 \oplus z_2)$



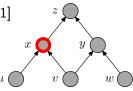
- sources are true
- truth propagates upwards
- but sink is false

- 1.  $u_1 \oplus u_2$
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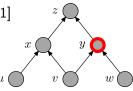
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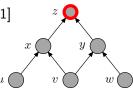
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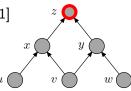
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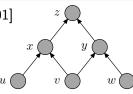
### Encode so-called pebble games on DAGs [BW01]

- 1.  $u_1 \oplus u_2$
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- 3.  $w_1 \oplus w_2$
- 4.  $(u_1 \oplus u_2) \wedge (v_1 \oplus v_2) \rightarrow (x_1 \oplus x_2)$
- 5.  $(v_1 \oplus v_2) \wedge (w_1 \oplus w_2) \rightarrow (y_1 \oplus y_2)$
- 6.  $(x_1 \oplus x_2) \wedge (y_1 \oplus y_2) \rightarrow (z_1 \oplus z_2)$
- 7.  $\neg(z_1 \oplus z_2)$

#### Write in CNF

E.g.,  $(x_1 \oplus x_2) \rightarrow (y_1 \oplus y_2)$  becomes

$$(x_1 \vee \overline{x}_2 \vee y_1 \vee y_2) \wedge (x_1 \vee \overline{x}_2 \vee \overline{y}_1 \vee \overline{y}_2)$$
$$\wedge (\overline{x}_1 \vee x_2 \vee y_1 \vee y_2) \wedge (\overline{x}_1 \vee x_2 \vee \overline{y}_1 \vee \overline{y}_2)$$



- sources are true
- truth propagates upwards
- but sink is false

### Encode so-called pebble games on DAGs [BW01]

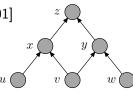
- 1.  $u_1 \oplus u_2$
- $v_1 \oplus v_2$
- 3.  $w_1 \oplus w_2$
- 4.  $(u_1 \oplus u_2) \wedge (v_1 \oplus v_2) \rightarrow (x_1 \oplus x_2)$
- 5.  $(v_1 \oplus v_2) \wedge (w_1 \oplus w_2) \rightarrow (y_1 \oplus y_2)$
- 6.  $(x_1 \oplus x_2) \wedge (y_1 \oplus y_2) \rightarrow (z_1 \oplus z_2)$
- 7.  $\neg(z_1 \oplus z_2)$

#### Write in CNF

E.g.,  $(x_1 \oplus x_2) \rightarrow (y_1 \oplus y_2)$  becomes

$$(x_1 \vee \overline{x}_2 \vee y_1 \vee y_2) \wedge (x_1 \vee \overline{x}_2 \vee \overline{y}_1 \vee \overline{y}_2) \\ \wedge (\overline{x}_1 \vee x_2 \vee y_1 \vee y_2) \wedge (\overline{x}_1 \vee x_2 \vee \overline{y}_1 \vee \overline{y}_2)$$

Pebbling space lower bounds  $\Rightarrow$  resolution space lower bounds



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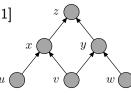
- $u_1 \oplus u_2$
- $v_1 \oplus v_2$
- 3  $w_1 \oplus w_2$
- 4.  $(u_1 \oplus u_2) \land (v_1 \oplus v_2) \to (x_1 \oplus x_2)$
- 5.  $(v_1 \oplus v_2) \wedge (w_1 \oplus w_2) \rightarrow (y_1 \oplus y_2)$
- 6.  $(x_1 \oplus x_2) \wedge (y_1 \oplus y_2) \rightarrow (z_1 \oplus z_2)$
- 7.  $\neg(z_1 \oplus z_2)$

#### Write in CNF

E.g., 
$$(x_1 \oplus x_2) \to (y_1 \oplus y_2)$$
 becomes

$$(x_1 \vee \overline{x}_2 \vee y_1 \vee y_2) \wedge (x_1 \vee \overline{x}_2 \vee \overline{y}_1 \vee \overline{y}_2)$$
  
 
$$\wedge (\overline{x}_1 \vee x_2 \vee y_1 \vee y_2) \wedge (\overline{x}_1 \vee x_2 \vee \overline{y}_1 \vee \overline{y}_2)$$

Pebbling space lower bounds  $\Rightarrow$  resolution space lower bounds (Works also for other functions than  $\oplus$ )



- sources are true
- truth propagates upwards
- but sink is false

The Resolution Proof System Conflict-Driven Clause Learning Theoretical Analysis of CDCL

## Length-Space Trade-offs

Length  $\approx$  running time; space  $\approx$  memory consumption SAT solvers aggressively try to minimize both — is this possible?

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### Theorem ([BN11, BBI12, BNT13])

There are formulas for which

- exist refutations in short length
- exist refutations in small space
- optimization of one measure causes dramatic blow-up for other measure

#### Holds for

- Pebbling formulas on the right graphs
- Tseitin formulas on long, narrow rectangular grids

So simultaneous optimization not possible [at least in theory]

**Trail:** a stack of decisions  $x_i \stackrel{\mathsf{d}}{=} b$  and unit propagations  $x_i \stackrel{C}{=} b$ 

$$(\underbrace{x_7 \stackrel{\mathsf{d}}{=} 0}_{\text{dec. level 1}}, \underbrace{x_2 \stackrel{\mathsf{d}}{=} 1, x_{12} \stackrel{C_1}{=} 0}_{\text{decision level 2}}, \underbrace{x_6 \stackrel{\mathsf{d}}{=} 1, x_4 \stackrel{C_2}{=} 1, x_1 \stackrel{C_3}{=} 0}_{\text{decision level 3}}, \underbrace{x_{11} \stackrel{\mathsf{d}}{=} 0, x_{59} \stackrel{C_4}{=} 1}_{\text{decision level 4}})$$

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- **1** decide if to apply database reduction to  $\mathcal{D}$ ;
- move to Decision

**Unit** Pick clause  $C \in \mathcal{D}$  that is unit w.r.t. trail Add propagated assignment  $x \stackrel{C}{=} b$  to trail Move to **Default** 

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**Decision** Use decision scheme to add decision  $x \stackrel{\rm d}{=} b$  to trail Move to **Default** 

Description from [EJL<sup>+</sup>16] drawing heavily on [AFT11, BHJ08, PD11]

Too small formula for interesting example. . .

$$(x\vee y)\wedge(x\vee\overline{y}\vee z)\wedge(\overline{x}\vee z)\wedge(\overline{y}\vee\overline{z})\wedge(\overline{x}\vee\overline{z})$$

The Resolution Proof System Conflict-Driven Clause Learning Theoretical Analysis of CDCL

# CDCL Execution Example

$$(u \vee x \vee y) \wedge (x \vee \overline{y} \vee z) \wedge (\overline{x} \vee z) \wedge (\overline{y} \vee \overline{z}) \wedge (\overline{x} \vee \overline{z}) \wedge (\overline{u} \vee w) \wedge (\overline{u} \vee \overline{w})$$

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$$w \stackrel{\mathsf{d}}{=} 0$$

$$(u \vee x \vee y) \wedge (x \vee \overline{y} \vee z) \wedge (\overline{x} \vee z) \wedge (\overline{y} \vee \overline{z}) \wedge (\overline{x} \vee \overline{z}) \wedge (\overline{u} \vee w) \wedge (\overline{u} \vee \overline{w})$$

$$\begin{bmatrix} w \stackrel{\mathsf{d}}{=} 0 \\ u \stackrel{\overline{=}}{=} 0 \end{bmatrix}$$

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$$\begin{bmatrix} x \stackrel{d}{=} 0 \\ v \stackrel{u \vee x \vee y}{=} 1 \end{bmatrix}$$

$$(u \vee x \vee y) \wedge (\underline{x} \vee \overline{y} \vee \underline{z}) \wedge (\overline{x} \vee z) \wedge (\overline{y} \vee \overline{z}) \wedge (\overline{x} \vee \overline{z}) \wedge (\overline{u} \vee w) \wedge (\overline{u} \vee \overline{w})$$

$$\begin{bmatrix} w \stackrel{d}{=} 0 \\ u \stackrel{\overline{u} \lor w}{=} 0 \end{bmatrix}$$

$$\begin{bmatrix} x \stackrel{d}{=} 0 \\ y \stackrel{u \lor x \lor y}{=} 1 \end{bmatrix}$$

$$x \lor \overline{y} \lor z \downarrow$$

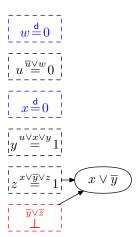
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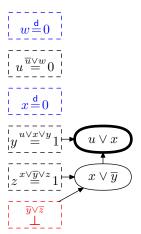
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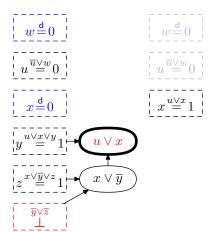
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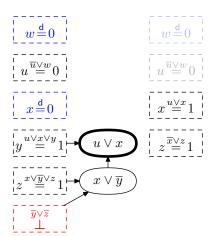
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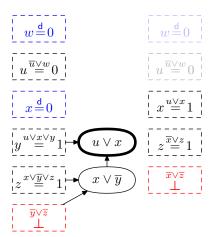
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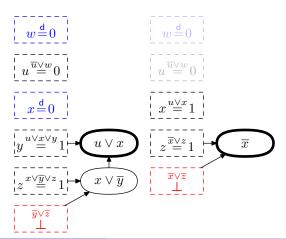
$$(u \lor x \lor y) \land (x \lor \overline{y} \lor z) \land (\overline{x} \lor z) \land (\overline{y} \lor \overline{z}) \land (\overline{x} \lor \overline{z}) \land (\overline{u} \lor w) \land (\overline{u} \lor \overline{w})$$



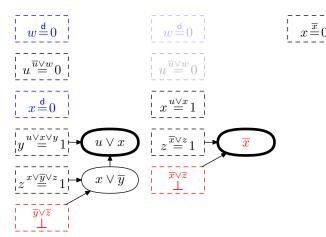
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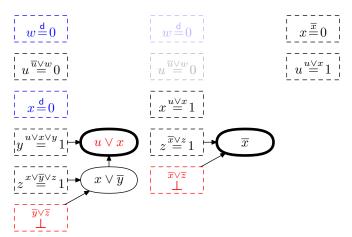
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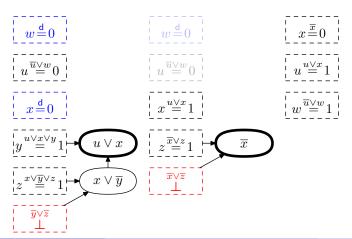
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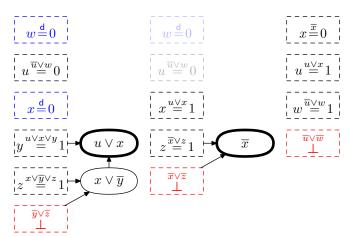
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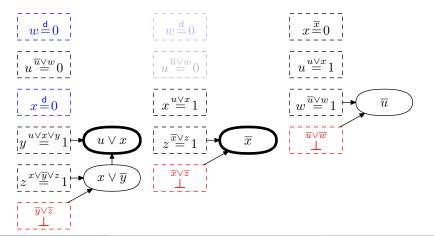
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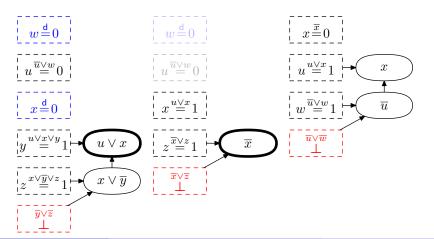
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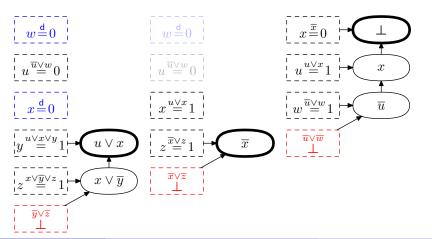
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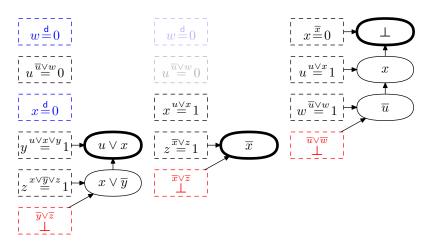
The Resolution Proof System Conflict-Driven Clause Learning Theoretical Analysis of CDCL

# CDCL Execution Example as Resolution Refutation

Obtain resolution refutation...

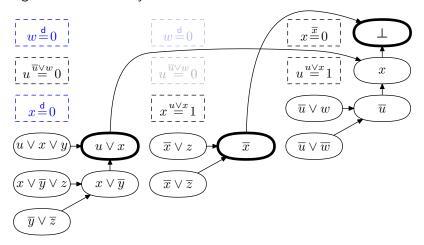
## CDCL Execution Example as Resolution Refutation

Obtain resolution refutation from CDCL execution...



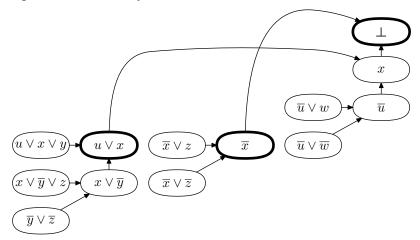
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- But CDCL only finds proofs with very specific structure can it match resolution upper bounds?
- Long line of work aimed at proving that CDCL explores resolution search space efficiently, e.g., [BKS04, Van05, BHJ08, HBPV08]
- Challenging problem progress only by making assumptions such as
  - artificial preprocessing
  - decisions past conflicts
  - non-standard learning scheme
  - no unit propagation(!)

## Proof Plan for CDCL Simulation of Resolution

#### General idea is obvious:

- Given resolution proof  $(C_1, C_2, \ldots, C_{\tau})$
- Force solver to efficiently learn  $C_t$  for  $t = 1, 2, 3, \dots$

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- Given resolution proof  $(C_1, C_2, \dots, C_{\tau})$
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#### Not as easy as it seems...

- Unit propagation + clause database cause problems
- Suppose have  $C \vee x$  and  $D \vee \overline{x}$  and now want to learn  $C \vee D$
- Why not just decide to make  $C \vee D$  false  $\Rightarrow$  conflict on x?!
- Might not be possible: other clauses can propagate literals to "wrong values" ⇒ proof search veers off in different direction
- And even if possible, might not learn  $C \vee D$

## Proof Plan for CDCL Simulation of Resolution

#### General idea is obvious:

- Given resolution proof  $(C_1, C_2, \dots, C_{\tau})$
- Force solver to efficiently learn  $C_t$  for  $t = 1, 2, 3, \dots$

#### Not as easy as it seems...

- Unit propagation + clause database cause problems
- Suppose have  $C \vee x$  and  $D \vee \overline{x}$  and now want to learn  $C \vee D$
- Why not just decide to make  $C \vee D$  false  $\Rightarrow$  conflict on x?!
- Might not be possible: other clauses can propagate literals to "wrong values" ⇒ proof search veers off in different direction
- And even if possible, might not learn  $C \vee D$

Non-standard assumptions needed precisely for these reasons

• First result in clean model in [PD11]: CDCL as proof system polynomially simulates resolution w.r.t. time/size

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- ullet Key insight: Don't have to learn *exactly* clauses  $C_t$  in proof
- Enough to learn other clauses yielding at least same unit propagations as  $C_t$  (absorption)
- Good, so then we're done understanding CDCL?
   Not quite...

# Room for Further Improvement of [AFT11, PD11]? (1/2)

#### Learning scheme

- Learned clause assertive but otherwise adversarially chosen
- Very strong aspect of result
- But does not come for free costs a lot for efficiency of simulation

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#### Restart policy

- Restarts are not too frequent (unless Luby is too frequent)
- But no progress at all in between restarts
- Restarts seem important, but not quite that important?!

The Resolution Proof System Conflict-Driven Clause Learning Theoretical Analysis of CDCL

# Room for Further Improvement of [AFT11, PD11]? (2/2)

### **Decision strategy**

- In [PD11], crucially relies on (unknown) resolution proof
- In [AFT11], crucially needs to be (essentially totally) random
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#### Simulation efficiency

- ullet Solvers typically have to run in (close to) linear time  $\mathcal{O}(n)$
- ullet But simulation will yield something like  $\mathcal{O}(n^5)$  running time

### What We Would Want

#### Want a more fine-grained and realistic CDCL model...

- Capture restarts, clause learning, memory management, etc.
- Modular design to allow study of different features
- Theoretical analogue of projects in [KSM11, SM11, ENSS16]

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#### ... Leading to improved theoretical insights

- Can CDCL proof search be time and space efficient?
- And can it be really efficient? (No large polynomial blow-ups)
- How does memory management affect proof search quality?
- Do restarts increase reasoning power?
- How do other heuristics help or hinder proof search?

# What We Have So Far (1/2)

 $\bullet$  This is ongoing work — reporting results so far in [EJL $^+$ 16]

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  - Et cetera... (see paper for details)
- Time/Size: # decisions + propagations + conflict analysis steps
   Space: (Size of clause database) (size of formula)

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- Intuitively plausible results, but quite painful to formalize
- Cannot locally verify proof but need global view (doubleplusunnice)

### Sanity Check: CDCL Cannot Do Better than Resolution

```
Theorem ([EJL<sup>+</sup>16])
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If CDCL with "standard" learning scheme (e.g., 1UIP) decides F in time  $\tau$  and space s then F has resolution proof in size  $< \tau$  and space  $< s + \mathcal{O}(1)$ 

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A priori not so obvious for space (but proof not hard once one gets the model right)

So lower bounds in resolution trade-offs automatically carry over But can CDCL find time-efficient and space-efficient proofs?

## Time-Space Trade-Offs for CDCL (in Math Notation)

We obtain CDCL analogues of (almost all) trade-off results in [BN11, BBI12, BNT13] — here is one sample:

#### Theorem ([EJL+16], slightly informal)

For your favourite  $k \in \mathbb{N}^+$   $\exists$  explicit formulas  $F_N$  of size  $\approx N$  such that

- CDCL with 1UIP learning and no restarts can decide  $F_N$  in time  $\mathcal{O}(N^k)$  and space  $\mathcal{O}(N^k)$
- CDCL with 1UIP learning and no restarts can decide  $F_N$  in space  $\mathcal{O}(\log^2 N)$  and time  $N^{\mathcal{O}(\log N)}$
- For any CDCL run in time au and space s using any learning scheme and restart policy it holds that  $au \gtrsim \left(N^k/s\right)^{\Omega(\log\log N/\log\log\log N)}$

## Time-Space Trade-Offs for CDCL (in English)

Very informal statement of theorem to convey high-level message:

- Somewhat tricky formulas  $F_N$  (require superlinear time)
- CDCL can solve them efficiently for generous memory management (even without restarts)
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#### Interpretation:

- This is only a mathematical theorem about asymptotic properties of theoretical benchmarks
- But have some indications of similar behaviour for scaled-down versions in practical experiments [ENSS16]

## **Cutting Planes**

Introduced in [CCT87] based on integer LP in [Gom63, Chv73]

Clauses interpreted as linear inequalities over the reals with integer coefficients (identifying  $1 \equiv true$  and  $0 \equiv false$ )

**Example:**  $x \lor y \lor \overline{z}$  gets translated to  $x + y + (1 - z) \ge 1$ 

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#### Derivation rules

Variable axioms 
$$\frac{\sum a_i x_i \ge A}{\sum c a_i x_i \ge c A}$$

Addition 
$$\frac{\sum a_i x_i \geq A \quad \sum b_i x_i \geq B}{\sum (a_i + b_i) x_i \geq A + B}$$
 Division  $\frac{\sum c a_i x_i \geq A}{\sum a_i x_i \geq \lceil A/c \rceil}$ 

**Goal:** Derive  $0 \ge 1 \Leftrightarrow$  formula unsatisfiable

**Length** = total # lines/inequalities in refutation

**Size** = sum also size of coefficients

 $\textbf{Space} = \max \# \text{ lines in memory during refutation}$ 

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   PHP [CCT87] and subset cardinality formulas efficiently
- is strictly stronger w.r.t. space can refute any CNF in constant space 5 (!) [GPT15] (But coefficients will be exponentially large — what if also coefficient size counted?)

## Hard Formulas w.r.t. Cutting Planes Length

#### Clique-coclique formulas [Pud97]

"A graph with an m-clique is not (m-1)-colourable"

$$p_{i,j}=$$
 indicator variables for edges in an  $n$ -vertex graph  $q_{k,i}=$  identifiers for members of  $m$ -clique in graph  $r_{i,\ell}=$  encoding of legal  $(m-1)$ -colouring of vertices

$$\begin{array}{ll} q_{k,1} \vee q_{k,2} \vee \cdots \vee q_{k,n} & \text{some vertex is $k$th member of clique} \\ \overline{q}_{k,i} \vee \overline{q}_{k',i} & \text{clique members are uniquely defined} \\ p_{i,j} \vee \overline{q}_{k,i} \vee \overline{q}_{k',j} & \text{clique members are connected by edges} \\ r_{i,1} \vee r_{i,2} \vee \cdots \vee r_{i,m-1} & \text{every vertex $i$ has a colour} \\ \overline{p}_{i,j} \vee \overline{r}_{i,\ell} \vee \overline{r}_{j,\ell} & \text{neighbours have distinct colours} \end{array}$$

Exponential lower bound via interpolation and circuit complexity Technique very specifically tied to structure of formula

# Open Problems for Cutting Planes Length and Space

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Prove length lower bounds for cutting planes

- for Tseitin formulas
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#### Open Problems

Prove space lower bounds for cutting planes

- with constant-size coefficients (very weak bounds in [GPT15])
- with polynomial-size coefficients (nothing known)

### Size-Space Trade-offs for Cutting Planes?

- Short cutting planes refutations of (lifted) Tseitin formulas on expanders need large space [GP14] (but probably don't exist)
- Short cutting planes refutations of (some) pebbling formulas need large space [HN12, GP14] (and such refutations exist)

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#### Open Problem

Are there trade-offs where the space-efficient CP refutations have small coefficients? (Say, of polynomial or even constant size)

### Size-Space Trade-offs for Cutting Planes!

Recent news: Yes, there are such trade-offs!

#### Theorem ([dRNV16])

There exist flavours of pebbling formulas such that

- ∃ *small-size refutations* with constant-size coefficients
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- Decreasing the space even for refutations with exponentially large coefficients causes exponential blow-up of length
- Again uses communication complexity (+ several other twists)
- Downside: Parameters worse than in previous results

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### Several challenges:

- How detect unit propagation? Not enough to watch just 2 literals (or any finite number)
- Linear constraints more complicated than clauses and integer arithmetic can become expensive
- Not obvious how to do conflict analysis
  - Can sometimes skip "resolution steps" in conflict analysis with propagating constraints on reason side — good or bad?
  - Can happen that "resolvent" is not conflicting can be fixed in several ways, but what way is best?

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- Roadblock 2(?): Solvers seem inefficient for systems of inequalities that have rational but not integral solutions (too limited form of division?)
- Fail on, e.g., even colouring formulas [Mar06] for no obvious good reason
- Not well understood at all work in progress

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- Study effect of different CDCL heuristics on performance

- Study tweaked versions of well-studied formulas with:
  - short resolution proofs that can in principle be found by CDCL
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  - often even without any restarts
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- Practical note: many (though not quite all) formulas generated using the tool CNFgen [CNF, LENV16]

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Yields huge number of potential combinations

- Not all combinations make sense, but many do
- Test also settings where "convential wisdom" knows answer

# Some Preliminary Conclusions (1/2)

## Importance of restarts

- Sometimes very frequent restarts very important
- Crucial in [AFT11, PD11] for CDCL to simulate resolution efficiently
- Also seems to matter in practice for some formulas which are hard for subsystems of resolution such as regular resolution (stone formulas [AJPU07])

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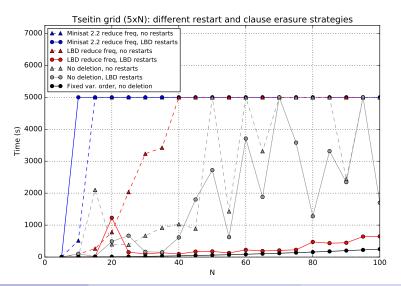
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#### Clause erasure

- Theory says very aggressive clause removal could hurt badly
- Seem to see this on scaled-down versions of time-space trade-off formulas in [BBI12, BNT13] (Tseitin formulas)
- Even no erasure at all can be competitive for these formulas for frequent enough restarts

## Plot 1: Tseitin Formulas on Grids



# Some Preliminary Conclusions (2/2)

#### Clause assessment

- Can LBD (literal block distance) heuristic balance aggressive erasures by identifying important clauses? Maybe...
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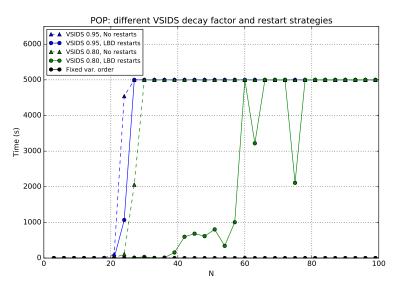
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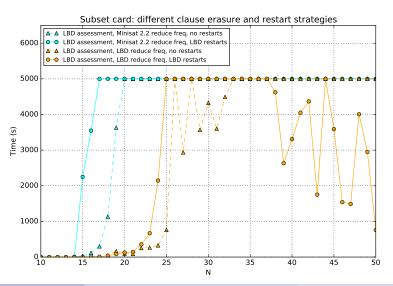
#### CDCL vs. resolution

- Sometimes CDCL fails miserably on easy formulas (Tseitin, even colouring) — VSIDS just goes dead wrong
- Sometimes strange easy-hard-easy patterns (subset cardinality)

# Plot 2: Ordering Principle Formulas



# Plot 3: Subset Cardinality Formulas



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- Are there formulas for which VSIDS goes provably wrong?
- Can study of subsystems of cutting planes explain power and limitations of pseudo-Boolean solvers?
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## Thank you for your attention!

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