15-414: Bug Catching: Automated Program Verification

Lecture Notes on Solving SAT with DPLL

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1 Introduction

In this lecture we will switch gears a bit from proving logical theorems "by hand", to algorithmic techniques for proving them automatically. Such algorithms are called **decision procedures**, because given a formula in some logic they attempt to decide their validity after a finite amount of computation.

Until now, we have gradually built up from proving properties about formulas in propositional logic, to doing so for first-order dynamic logic. As we begin discussing decision procedures, we will return to propositional logic so that the techniques applied by these algorithms can be more clearly understood. Decision procedures for propositional logic are often referred to as SAT solvers, as they work by exploiting the relationship between validity and satisfiability, and directly solve the latter problem. Later on, we will see that these same techniques underpin decision procedures for richer logics, and are able to automatically prove properties about programs.

Learning Goals.

After this lecture, you should learn that:

- **Decision procedure** is an algorithm that, given a decision problem, terminates with a correct yes/no answer. In this lecture we present a decision procedure for propositional logic, (aka, a *SAT solver*).
- Local, incomplete and complete, but potentially expensive, algorithms for deciding this problem.

- **Boolean constraint propagation (BCP)** (also known as unit propagation), a powerful way of pruning the search space traversed by the *DPLL* procedure.
- Learning additional clauses from conflicts encountered during search, by applying the resolution principle from the previous lecture, can further prune the search space.

2 Review: Propositional Logic

We'll focus on automating the decision problem for Boolean satisfiability. Let's start by refreshing ourselves on the fundamentals of propositional logic. The formulas F, G of propositional logic are defined by the following grammar (where p is an atomic proposition, or *atom*):

 $F ::= \top \mid \bot \mid p \mid \neg F \mid F \land G \mid F \lor G \mid F \rightarrow G \mid F \leftrightarrow G$

When it comes to the semantics, recall that the meaning of formulas is given by an interpretation *I* that gives the truth value for each atom. Given an interpretation, we can assign values to formulas constructed using the logical operators.

Definition 1 (Semantics of propositional logic). The propositional formula *F* is true in interpretation ω , written $I \models F$, as inductively defined by distinguishing the shape of formula *F*:

- 1. $I \models \top$ for all interpretations *I*.
- 2. $I \not\models \bot$ for all interpretations *I*.
- 3. $I \models p$ iff I(p) = true for atoms p.
- 4. $I \models F \land G$ iff $I \models F$ and $I \models G$.
- 5. $I \models F \lor G$ iff $I \models F$ or $I \models G$.
- 6. $I \models \neg F$ iff $I \not\models F$.
- 7. $I \models F \rightarrow G$ iff $I \not\models F$ or $I \models G$.

Our notation for interpretations is essentially a list of all atoms that are *true*. So, the interpretation:

$$I = \{p, q\}$$

assigns the value *true* to *p* and *q*, and *false* to all others. For example, the formula in Equation 1 below would evaluate to *false* under *I*, because I(p) = true, I(q) = true, I(r) = false so $I \models p \land q$ and $I \nvDash p \land q \rightarrow r$.

$$(p \land q \to r) \land (p \to q) \to (p \to r) \tag{1}$$

We use some additional terminology to refer to formulas that evaluate to \top under some or all possible interpretations.

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Definition 2 (Validity and Satisfiability). A formula *F* is called *valid* iff it is true in all interpretations, i.e. $I \models F$ for all interpretations *I*. Because any interpretation makes valid formulas true, we also write $\models F$ iff formula *F* is valid. A formula *F* is called *satisfiable* iff there is an interpretation ω in which it is true, i.e. $I \models F$. Otherwise it is called *unsatisfiable*.

Satisfiability and validity are duals of each other. That is, a formula *F* is valid if and only if $\neg F$ is unsatisfiable.

$$F \text{ is valid} \leftrightarrow \neg F \text{ is unsatisfiable}$$
(2)

Importantly, this means that we can decide whether a formula is valid by reasoning about the satisfiability of its negation. A proof of validity for *F* from the unsatisfiability of $\neg F$ is called a *refutation*. Most efficient decision procedures use this approach, and therefore attempt to directly prove the satisfiability of a given formula. These tools are called SAT solvers, referring to the propositional SAT problem. If a SAT solver finds no satisfying interpretation for *F*, then we can conclude that $\neg F$ is valid.

3 (Mostly) Review: Conjunctive Normal Form

To simplify logic operations, most SAT procedures require that formulas be provided in a *normal form*.

Basic Identities. When a formula contains the constants \top and \bot , a number of simplifications follow directly from the semantics of propositional logic. We will ignore the implication operator, as it can be rewritten in terms of negation and disjunction. For negation, conjunction, and disjunction, we can use the following equivalences to rewrite formulas containing constants in simpler terms:

$$\neg \top \leftrightarrow \bot \leftrightarrow p \land \bot \tag{3}$$

$$\neg \bot \leftrightarrow \top \leftrightarrow p \lor \top \tag{4}$$

$$p \lor \bot \leftrightarrow p \leftrightarrow p \land \top \tag{5}$$

(6)

Repeatedly applying these simplifications to a formula containing *only* constants will eventually lead to either \top or \bot . However, practical SAT solvers use additional strategies to further reduce the space of interpretations that need to be considered by the decision procedure.

Conjunctive Normal Form The common form for current SAT procedures is called conjunctive normal form (CNF).

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Definition 3 (Conjunctive Normal Form (CNF)). A formula *F* is in conjunctive normal form if it is a conjunction of disjunctions of literals, i.e., it has the form:

$$\bigwedge_i \left(\bigvee_j l_{ij}\right)$$

where l_{ij} is the *j*th literal in the *i*th *clause* of *F*.

Every formula can be converted into CNF using basic identities like De Morgan's law, but this may cause the size of the formula to increase exponentially. However, it is possible to transform any propositional formula into an *equisatisfiable* one in linear time. Two formulas F and G are equisatisfiable when F is satisfiable if and only if G is as well. Details of such transformation will be covered in the next lecture.

Definition 4 (Status of a clause under partial interpretation). Given a partial interpretation *I*, a clause is:

- Satisfied, if one or more of its literals is satisfied
- Conflicting, if all of its literals are assigned but not satisfied
- Unit, if it is not satisfied and all but one of its literals are assigned
- Unresolved, otherwise

For example, given the partial interpretation $I = \{p_1, \neg p_2, p_4\}$:

 $(p_1 \lor p_3 \lor \neg p_4)$ is satisfied $(\neg p_1 \lor p_2)$ is conflicting $(\neg p_2 \lor \neg p_4 \lor p_3)$ is unit

 $(\neg p_1 \lor p_3 \lor p_5)$ is unresolved

4 A Simple Incomplete Procedure

A simple approach to try to find a satisfiable interpretation to a propositional formula *F* can be achieved with a simple guess and check procedure:

- 1. Create an initial interpretation I by randomly assigning *true* or *false* to each atom
- 2. Check if interpretation *I* satisfies all clauses of *F*:
 - Yes. Terminate and return *I* as an interpretation that satisfies formula *F*.
 - No. Choose a clause *c* that is unsatisfied by the current interpretation:

Choose a literal *l* in *c* and flip its assignment in the interpretation. This will guarantee that the clause *c* becomes satisfied. Goto step 2 and continue until a satisfiable interpretation *I* is found.

This procedure is known as local search for SAT and be described in the function local_sat below.

```
1 let local_sat (f: formula) (itn: int) : option bool =
2 let ref a = init_assignment f.n in
3 let ref i = 0 in
4 let ref res = None in
5 while is_none res && i < itn do
6 let c = get_unsatisfiable_clause f a in
7 if is_none c then res <- Some True
8 else a <- new_assignment a c ;
9 i <- i + 1
10 done ;
11 res</pre>
```

Where the helper functions behave as outlined below:

- init_assignment: create an initial interpretation that assigns either *true* or *false* to each atom.
- get_unsatisfible_clause: returns a clause that is unsatisfied by the current interpretation
- new_assignment: updates the interpretation by flipping the truth value of one of the literals in the unsatisfied clause

Since this approach does not guarantee termination, it is usually the case that this procedure is limited to a bound number of iterations *itn*. If when reaching the maximum number of iterations a satisfiable interpretation is not found, the algorithm returns None. In this latter case, we do not know if there exists an interpretation that satisfies the formula F or if the formula F is unsatisfiable.

You can try this approach yourself by playing "The SAT Game" as we did during the lecture at http://www.cril.univ-artois.fr/~roussel/satgame/satgame.php?lang= eng. Can you find a satisfiable interpretation for the *easy* problems? What about the *too hard* problems? In the next section, we will describe a simple complete procedure to solve SAT in a more systematic way that is guaranteed to either find a satisfiable interpretation or prove that no interpretation exists and that the formula is unsatisfiable.

5 A Simple Complete Procedure

Conceptually, SAT is not a difficult problem to solve with a complete procedure. Each atom in the formula corresponds to a binary choice, and there are a finite number of them to deal with. Recall from the second lecture how we used truth tables to determine the validity of a formula:

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- 1. Enumerate all possible interpretations of the atoms in *F*.
- 2. Continue evaluating all subformulas until the formula is a Boolean constant.
- 3. *F* is valid iff it is *true* under all interpretations.

We can modify this procedure to decide satisfiability in the natural way.

- 1. Enumerate all possible assignments of the atoms in *F*.
- 2. Continue evaluating all subformulas until the formula is a Boolean constant.
- 3. *F* is satisfiable iff it is *true* under at least one interpretation.

Implementing this procedure is fairly straightforward. The only part that might be tricky is enumerating the valuations, making sure that *i*) we don't miss any, and *ii*) we don't enumerate any of them more than necessary, potentially leading to nontermination.

One natural way to do this is to use recursion, letting the stack implicitly keep track of which valuations have already been tried. We will rely on two helper functions to do this, which are outlined informally below.

- choose_atom: formula -> atom. This function takes a formula argument and returns an arbitrary atom appearing in it.
- subst: formula -> atom -> bool -> formula. Takes a formula, and atom appearing in the formula, and a Boolean value, and returns a new formula with all instances of the atom replaced by the Boolean value. It also simplifies it as much as possible, attempting to reduce the formula to a constant.

The function sat is given below. At each recursive step, the function begins by comparing the formula to the constants true and false, as a final decision can be made immediately in either case. Otherwise, it proceeds by selecting an arbitrary atom p from F, and creating two new formulas Ft and Ff by substituting true and false, respectively, and simplifying them as much as possible so that if there are no unassigned atoms in the formula then they are reduced to the appropriate constant. sat then makes two recursive calls on Ft and Ff, and if either return true then sat does as well.

```
1 let rec sat (f: formula) : bool =
2 if isTrue f then true
3 else if isFalse f then false
4 else begin
5 let p = choose_atom f in
6 let ft = (subst f p true) in
7 let ff = (subst f p false) in
8 sat ft || sat ff
9 end
```

Intuitively, we can think of this approach as exhaustive case splitting. The procedure chooses an atom p, splits it into cases p and $\neg p$, and recursively applies itself to the

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cases. If either is satisfiable, then the original is as well. We know this will terminate because each split eliminates an atom, and there are only a finite number of atoms in a formula.

We now have a basic SAT solver. We know that SAT is a hard problem, and more precisely that it is NP-Complete, and a bit of thought about this code should convince that this solver will experience the worst-case runtime of 2^n much of the time. There is a chance that we might get lucky and conclude that the formula is satisfiable early, but certainly for unsatisfiable formulas sat won't terminate until it has exhausted all of the possible variable assignments. Can we be more clever than this?

6 Unit Propagation

Consider the following CNF formula:

$$\underbrace{(p_1 \lor \neg p_3 \lor \neg p_5)}_{C_1} \land \underbrace{(\neg p_1 \lor p_2)}_{C_2} \land \underbrace{(\neg p_1 \lor \neg p_3 \lor p_4)}_{C_3} \land \underbrace{(\neg p_1 \lor \neg p_2 \lor p_3)}_{C_5} \land \underbrace{(\neg p_4 \lor \neg p_2)}_{C_6}$$
(7)

Suppose that sat begins by choosing to assign p_1 to *true*. This leaves us with:

$$(p_{1} \lor \neg p_{3} \lor \neg p_{5}) \land (\neg p_{1} \lor p_{2}) \land (\neg p_{1} \lor \neg p_{3} \lor p_{4}) \land (\neg p_{1} \lor \neg p_{2} \lor p_{3}) \land (\neg p_{4} \lor \neg p_{2})$$

$$\leftrightarrow (\top \lor \neg p_{3} \lor \neg p_{5}) \land (\bot \lor p_{2}) \land (\bot \lor \neg p_{3} \lor p_{4}) \land (\bot \lor \neg p_{2} \lor p_{3}) \land (\neg p_{4} \lor \neg p_{2})$$

$$\leftrightarrow \top \land p_{2} \land (\neg p_{3} \lor p_{4}) \land (\neg p_{2} \lor p_{3}) \land (\neg p_{4} \lor \neg p_{2})$$

$$\leftrightarrow p_{2} \land (\neg p_{3} \lor p_{4}) \land (\neg p_{2} \lor p_{3}) \land (\neg p_{4} \lor \neg p_{2})$$

Notice the clause C_2 , which was originally $\neg p_1 \lor p_2$, is now simply p_2 . It is obvious that any satisfying interpretation must assign p_2 *true*, so there is really no choice to make given this formula. We say that p_2 is a *unit literal*, which simply means that it occurs in a clause with no other literals.

We can immediately set p_2 to the value that satisfies its literal, and apply equivalences to remove constants from the formula.

$$\top \land (\neg p_3 \lor p_4) \land (\neg \top \lor p_3) \land (\neg p_4 \lor \neg \top) \leftrightarrow (\neg p_3 \lor p_4) \land (\bot \lor p_3) \land (\neg p_4 \lor \bot) \leftrightarrow (\neg p_3 \lor p_4) \land p_3 \land \neg p_4$$

After simplifying, we again have two unit literals p_3 and $\neg p_4$. We can continue by picking p_3 , assigning it a satisfying value, and simplifying.

$$(\neg \top \lor p_4) \land \top \land \neg p_4$$

$$\leftrightarrow (\bot \lor p_4) \land \neg p_4$$

$$\leftrightarrow p_4 \land \neg p_4$$

Now all clauses are unit, and it is clear that if we assign p_1 to *true* then resulting formula is not satisfiable. Notice that once we assigned p_1 to *true*, we were able to determine

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that the resulting formula was unsatisfiable without making any further decisions. All of the resulting simplifications were a logical consequence of this original choice. The process of carrying this to its conclusion is called *Boolean constraint propagation* (BCP), or sometimes *unit propagation* for short.

7 DPLL

BCP allowed us to conclude that the remaining formula, which originally had five variables, was unsatisfiable with just one recursive call instead of the 2^5 that would have been necessary in our original naive implementation. This is a big improvement! Let's add it to our decision procedure and have a look at the consequences.

The natural place to insert this optimization is at the beginning of the procedure, before F is further inspected and any choices are made. This will ensure that if we are given a formula that is already reducible to a constant through BCP, then we won't do any unnecessary work by deciding values that don't matter. The resulting procedure is called the David-Putnam-Loveland-Logemann or DPLL procedure, as it was introduced by Martin Davis, Hilary Putnam, George Logemann, and Donald Loveland in the 1960s [?, ?].

```
1 let rec dpll (f: formula) : bool =
2 let fp = bcp f in
   match fp with
3
   | Some True -> true
4
    | Some False -> false
5
    | None ->
6
7
     begin
     let p = choose_var f in
8
     let ft = (subst_var f p true) in
9
     let ff = (subst_var f p false) in
10
     dpll ft || dpll ff
11
12
      end
13 end
```

Remarkably, although DPLL was introduced over 50 years ago, it still forms the basis of most modern SAT solvers. Much has changed since the 1960's, however, and the scale of SAT problems that are used in practice has increased dramatically. It is not uncommon to encounter instances with millions of atomic propositions and hundreds of thousands of clauses, and in practice it is often feasible to solve such instances.

Using an implementation that resembles the one above for such problems would not yield good results in practice. One immediate problem is that the formula is copied multiple times and mutated in-place with each recursive call. While this makes it easy to keep track of which variables have already been assigned or implied via propagation, even through backtracking, it is extremely slow and cumbersome.

Modern solvers address this by using imperative loops rather than recursive calls, and mutating an interpretation rather than the formula itself. The interpretation remains *partial* throughout most of the execution, which means that parts of the formula cannot be evaluated fully to a constant, but are instead *unresolved*.

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As we discussed earlier, when a clause C is unit under partial interpretation I, I must be extended so that C's unassigned literal ℓ is satisfied. There is no need to backtrack on ℓ before the assignments in I that made C unit have already changed, because ℓ 's value was implied by those assignments. Rather, backtracking can safely proceed to the *most recent decision*, erasing any assignments that arose from unit propagation in the meantime. Implementing this backtracking optimization correctly is essential to an efficient SAT solver, as it is what allows DPLL to avoid explicitly enumerating large portions of the search space in practice.

Learning conflict clauses. Consider the following CNF:

$$\underbrace{(\neg p_1 \lor p_2)}_{C_1} \land \underbrace{(\neg p_3 \lor p_4)}_{C_2} \land \underbrace{(\neg p_6 \lor \neg p_5 \lor \neg p_2)}_{C_3} \land \underbrace{(\neg p_5 \lor p_6)}_{C_4} \land \underbrace{(p_5 \lor p_7)}_{C_5} \land \underbrace{(\neg p_1 \lor p_5 \lor \neg p_7)}_{C_6}$$

And suppose we make the following decisions and propagations.

- 1. Decide p_1
- 2. Propagate p_2 from clause C_1
- 3. Decide p_3
- 4. Propagate p_4 from clause C_2
- 5. Decide p_5
- 6. Propagate p_6 from clause C_4
- 7. Conflicted clause C_3

At this point C_3 is conflicted. We should take a moment to reflect on our choices, and how they influenced this unfortunate outcome. We know that some subset of the decisions contributed to a partial assignment that cannot be extended in a way that leads to satisfiability, but which ones?

Tracing backwards, the implication p_6 was chronologically the most direct culprit, as it was incidental to the conflict in C_3 . This was a consequence of our decision to set p_5 , so we could conclude that this to blame and proceed backtracking to this point and change the decision. However, C_3 would not have been conflicting, even with p_5 and p_6 , if not for p_2 . Looking back at the trace, p_2 was a consequence of our decision to set p_1 .

Thus, we learn from this outcome that $\neg p_1 \lor \neg p_5$ is logically entailed by our original CNF. The process that we used to arrive at this clause is called *resolution*, and corresponds to repeated application of the binary resolution rule.

(res)
$$\frac{\Gamma \vdash P, \Delta \quad \Gamma \vdash \neg P, \Delta}{\Gamma \vdash \Delta}$$

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Indeed, we can use this to quickly derive a proof that the clauses in our formula imply $\neg p_1 \lor \neg p_5$. In the following, let *F* be our original formula.

$$\begin{array}{c} \underbrace{\overset{\vee \mathsf{L}}{\stackrel{}{\xrightarrow{}}}_{\overline{F} \vdash \neg p_{6}, \neg p_{5}, \neg p_{2}} & \overset{\downarrow}{\vee \mathsf{L}}{\stackrel{}{\xrightarrow{}}_{\overline{F} \vdash \neg p_{5}, p_{6}}}_{F \vdash \neg p_{5}, \neg p_{2}} & \underbrace{\overset{\mathrm{id}}{\stackrel{}{\xrightarrow{}}_{\overline{F}, \neg p_{1} \vdash \neg p_{1}, p_{2}}}_{V \sqcup & \overline{F} \vdash \neg p_{1}, p_{2}} \\ \underbrace{\overset{\mathrm{res}}{\xrightarrow{}}_{F \vdash \neg p_{5}, \neg p_{2}} & \overset{\vee \mathsf{L}}{F \vdash \neg p_{1}, \neg p_{5}} \\ \underbrace{\overset{\vee \mathsf{R}}{\xrightarrow{}}_{F \vdash \neg p_{1} \lor \neg p_{5}}}_{F \vdash \neg p_{1} \lor \neg p_{5}} \end{array}$$

In the above proof, we omitted the remaining applications of id for the sake of brevity; these proofs are nearly identical to the proof of $F \vdash \neg p_1, p_2$ on the right side.

Clauses derived in this way are called *conflict clauses*, and they are useful in pruning the search space. In the current example, suppose that we added the conflict clause $\neg p_1 \lor \neg p_5$ to our set. Then any partial interpretation with p_1 makes this clause unit, implying the assignment $\neg p_5$.

- 5. Backtrack to p_5
- 6. Learn clause $C_7 \leftrightarrow \neg p_1 \lor \neg p_5$
- 7. Propagate $\neg p_5$ from clause C_7
- 8. ...

Without this, if we eventually backtrack past p_5 to change the assignment to p_3 , then when the procedure revisits p_5 it will attempt both assignments p_5 and $\neg p_5$, encountering the same conflict again.

To summarize, the procedure for finding a conflict clause under partial assignment *I* is as follows.

- 1. Let C be a conflicting clause under I
- 2. While *C* contains implied literals, do:
- 3. Let ℓ be the most recent implied literal in *C*
- 4. Let C' be the clause that implied ℓ by unit propagation
- 5. Update *C* by applying resolution to *C* and *C'* on ℓ

This procedure terminates when all of the literals in *C* correspond to decisions made by dpll. However, the conflict clause produced in this way is by no means the only sound or useful such clause that can be derived. The most efficient way to find others is to construct an *implication graph*.

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7.1 Worked example.

To get a better sense of how DPLL with clause learning works, we will illustrate its full application to an example formula, given by the set of CNF clauses below.

$p \lor q$	C_1
$\neg p \lor q$	C_2
$\neg r \vee \neg q$	C_3
$r \vee \neg q$	C_4

The following trace of DPLL with clause learning demonstrates the unsatisfiability of these clauses.

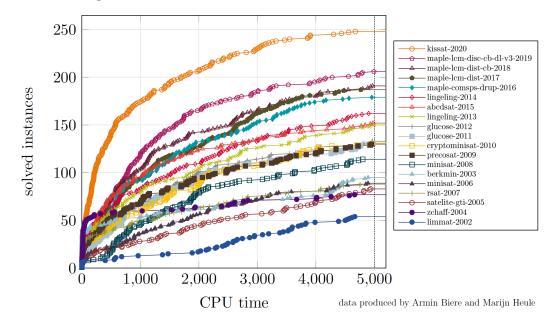
- 1. Decide p
- 2. Propagate q from C_2
- 3. Propagate $\neg r$ from C_3
- 4. Conflict on C_4
- 5. Backtrack to *p*
- 6. Learn $\neg p$ by resolving C_4 with C_3 (yielding $\neg q$), and then with C_2
- 7. Propagate q from C_1
- 8. Propagate $\neg r$ from C_3
- 9. Conflict on C_4
- 10. Return unsat

Notice that the procedure ended after encountering the second conflict on C_4 . After adding the learned clause $\neg p$ to the formula and applying BCP, this conflict arose without having made any more decisions. In other words, the original clauses entailed the unit clause $\neg p$ via resolution, and when the resulting formula is simplified by applying unit propagation, C_4 is simplified to \bot . This means that the formula must be unsatisfiable, so the procedure can stop and return that result.

8 SAT Solvers in Practice

Figure 1 shows the evolution of the best SAT solvers during the past 20 years. This plot shows ordered running times for solved instances by each SAT solver. Note that these solvers were all run in the same hardware and over the same instances. The number of solved instances by kissat is $5 \times$ more than the best SAT solver in 2002! Even though

Progress of SAT Solvers



SAT Competition Winners on the SC2020 Benchmark Suite

Figure 1: Evolution of SAT solvers in the last twenty years

they have been improved with additional techniques, the backbone of these solvers is still based in the DPLL framework with BCP and clause learning.

If you want to try SAT solving yourself note that z3 can also solve propositional formulas and has its own implementation of a SAT solver.

Other complete SAT solvers in different programming languages can be found at:

- cadical (C++): https://github.com/arminbiere/cadical
- kissat (C): https://github.com/arminbiere/kissat
- SAT4J (Java): https://www.sat4j.org/products.php#sat
- PySAT (Python): https://pysathq.github.io/

If you are interested on local search SAT solvers they also exist and can be helpful for certain kind of problems:

- UBCSAT: http://ubcsat.dtompkins.com/
- YalSAT: http://fmv.jku.at/yalsat/

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