Logic and Mechanized Reasoning
Basic SAT Techniques

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Tseitin Transformation

Unit Propagation and Resolution

Pure Literals and Autarkies

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Tseitin: Introduction

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How: add definitions and replace parts of the formula (can be seen as the reverse of substitution)

Tseitin: Small Example

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Replacing $(q \wedge r)$ by d results in CNF $p \vee d$

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Consider the formula $\Gamma = p \lor (q \land r)$

We can add the definition $d \leftrightarrow (q \land r)$

Replacing $(q \land r)$ by d results in CNF $p \lor d$

The clauses representing the definition are:

$$(\neg d \lor q) \land (\neg d \lor r) \land (d \lor \neg q \lor \neg r)$$

An equisatisfiable formula of Γ in CNF is:

$$(p \lor d) \land (\neg d \lor q) \land (\neg d \lor r) \land (d \lor \neg q \lor \neg r)$$

Satisfying the resulting formula satisfies Γ on original variables

Tseitin: A Linear-Size Transformation

Why is the Tseitin transformation interesting?

- Each connective can be replaced by a new definition
- At most a linear number of definitions
- Definitions can be easily converted into clauses
- Easily obtain a satisfying assignment for original formula
- Resulting in an efficient transformation into CNF

Tseitin: Implementation and Optimizations

Implementation:

- Convert the formula first to NNF
- Generate the definitions from left to right

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Optimizations:

- Reuse definitions when possible
- Avoid definitions by interpreting an NNF formula as a CNF formula: e.g. $p \vee (q \wedge \neg r) \vee \neg s$
- Mostly one direction of definition is required

Tseitin: Definitions into Clauses

It is easy to turn a definition $d \leftrightarrow \mathrm{DEF}(p_1, \ldots, p_n)$ into clauses

Example

def	Γ_d	$\Gamma_{\neg d}$
$\mathrm{AND}(p_1, \ldots, p_n)$	$(d \vee \neg p_1 \vee \cdots \vee \neg p_n)$	$(\neg d \vee p_1), \ldots, (\neg d \vee p_n)$
$\mathrm{OR}(p_1, \ldots, p_n)$	$(d \vee \neg p_1), \ldots, (d \vee \neg p_n)$	$(\neg d \vee p_1 \vee \cdots \vee p_n)$
$\mathrm{ITE}(c, t, f)$	$(d \vee \neg c \vee \neg t), (d \vee c \vee \neg f)$	$(\neg d \vee \neg c \vee t), (\neg d \vee c \vee f)$

Tseitin: Larger Example without Optimization

Consider the formula $\Gamma = \neg(p \wedge q \leftrightarrow r) \wedge (s \rightarrow (p \wedge t))$

Convert into NNF:

$$\big((p \wedge q \wedge \neg r) \vee (r \wedge (\neg p \vee \neg q))\big) \wedge (\neg s \vee (p \wedge t))$$

Which results in the following definitions:

- $d_0 \leftrightarrow p \wedge q$

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- $d_4 \leftrightarrow d_1 \vee d_3$
- $d_5 \leftrightarrow p \wedge t$
- $d_6 \leftrightarrow \neg s \vee d_5$
- $d_7 \leftrightarrow d_4 \wedge d_6$

Tseitin: Larger Example with Optimization

Consider the formula $\Gamma = \neg(p \wedge q \leftrightarrow r) \wedge (s \rightarrow (p \wedge t))$

Convert into NNF and interpret as CNF:

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- $d_3 \leftrightarrow r \wedge d_2$
- $d_4 \leftrightarrow p \wedge t$

Final result: $(d_1 \vee d_3) \wedge (\neg s \vee d_4)$ plus definition clauses

Tseitin: Plaisted-Greenbaum Encoding

In most cases only one direction of the definition is required.

Example

Recall the formula $\Gamma = p \vee (q \wedge r)$

The Tseitin transformation resulted in the CNF:

$$(p \vee d) \wedge (\neg d \vee q) \wedge (\neg d \vee r) \wedge (d \vee \neg q \vee \neg r)$$

Which clause is redundant (not required for equisatisfiability)?

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Removing $(d \vee \neg q \vee \neg r)$ reduces $d \leftrightarrow q \wedge r$ to $d \rightarrow q \wedge r$

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When starting with NNF, we only need $d \rightarrow \mathrm{DEF}$

Tseitin: Bringing it all Together

Consider the formula $\Gamma = \neg(p \wedge q \leftrightarrow r) \wedge (s \to (p \wedge t))$

Convert into NNF and interpret as CNF:

$$((p \wedge q \wedge \neg r) \vee (r \wedge (\neg p \vee \neg q)) \wedge (\neg s \vee (p \wedge t))$$

The Tseitin transformation results in the following clauses:

$$(d_3 \vee d_1) \wedge (d_4 \vee \neg s) \wedge (\neg d_0 \vee p) \wedge (\neg d_0 \vee q) \wedge (\neg p \vee \neg q \vee d_0) \wedge$$
$$(\neg d_1 \vee d_0) \wedge (\neg d_1 \vee \neg r) \wedge (\neg d_0 \vee r \vee d_1) \wedge (\neg d_2 \vee \neg p \vee \neg q) \wedge$$
$$(p \vee d_2) \wedge (q \vee d_2) \wedge (\neg d_3 \vee r) \wedge (\neg d_3 \vee d_2) \wedge$$
$$(\neg r \vee \neg d_2 \vee d_3) \wedge (\neg d_4 \vee p) \wedge (\neg d_4 \vee t) \wedge (\neg p \vee \neg t \vee d_4)$$

Plaisted-Greenbaum removed the colored ones ($d_i \leftarrow \mathrm{DEF}$).

Tseitin Transformation

Unit Propagation and Resolution

Pure Literals and Autarkies

Unit Propagation: Introduction

Unit propagation (UP) is the most important SAT solving simplification technique:

- A clause is unit if it has only one literal
- The only way to satisfy it is assigning the literal to $\top$
- Removing falsified literals can produce unit clauses
- Satisfying unit clauses until fixpoint can be expensive

Unit Propagation: Partial Assignments

Evaluation of clauses and formulas can be generalized to partial assignments:

- Only some variables are assigned to $\top$, $\bot$
- For a clause C, $[\![C]\!]_\tau$ removes literals falsified by τ from C
  - $[\![C]\!]_\tau = \top$ if τ satisfies a literal in C
- For a formula Γ, $[\![\Gamma]\!]_\tau$ replaces all clauses $C \in \Gamma$ by $[\![C]\!]_\tau$
  - Clauses satisfied by τ are removed from $[\![\Gamma]\!]_\tau$

Partial assignments are very important in SAT solving

Unit Propagation: Extending the Assignment

Unit propagation makes unit clauses true until fixpoint

Given an assignment τ and a formula Γ, unit propagation extends τ by assigning all unit clauses in $[\![\Gamma]\!]_\tau$ to $\top$.

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Two possible fixpoints (termination)

1. $[\![\Gamma]\!]_\tau$ contains a falsified clause ($\bot$)
2. $[\![\Gamma]\!]_\tau$ contains no more unit clauses

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Unit propagation makes unit clauses true until fixpoint

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2. $[\![\Gamma]\!]_\tau$ contains no more unit clauses

Unit propagation can consume 90% of solver runtime

- Data-structures are optimized for unit propagation
- Unit propagation is hard to parallelize

Unit Propagation: Example

$$\Gamma_{\text{unit}} := (\neg p_1 \vee \neg p_3 \vee p_4) \wedge (\neg p_1 \vee \neg p_2 \vee p_3) \wedge$$
$$(\neg p_1 \vee p_2) \wedge (p_1 \vee p_3 \vee p_6) \wedge (\neg p_1 \vee p_4 \vee \neg p_5) \wedge$$
$$(p_1 \vee \neg p_6) \wedge (p_4 \vee p_5 \vee p_6) \wedge (p_5 \vee \neg p_6)$$

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$\tau = \{p_1 = \top\}$

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$$(p_1 \vee \neg p_6) \wedge (p_4 \vee p_5 \vee p_6) \wedge (p_5 \vee \neg p_6)$$

$\tau = \{p_1 = \top,\ p_2 = \top\}$

Unit Propagation: Example

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$$(p_1 \vee \neg p_6) \wedge (p_4 \vee p_5 \vee p_6) \wedge (p_5 \vee \neg p_6)$$

$$\tau = \{p_1 = \top,\ p_2 = \top,\ p_3 = \top\}$$

Unit Propagation: Example

$$\Gamma_{\text{unit}} := (\neg p_1 \lor \neg p_3 \lor p_4) \land (\neg p_1 \lor \neg p_2 \lor p_3) \land (\neg p_1 \lor p_2) \land (p_1 \lor p_3 \lor p_6) \land (\neg p_1 \lor p_4 \lor \neg p_5) \land (p_1 \lor \neg p_6) \land (p_4 \lor p_5 \lor p_6) \land (p_5 \lor \neg p_6)$$

$\tau = \{p_1 = \top,\ p_2 = \top,\ p_3 = \top,\ p_4 = \top\}$

Unit Propagation: Proposition

Proposition

Unit propagation does not change the number of satisfying assignments

True or false?

Unit Propagation: Proposition

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True or false?

Proof.

True. Let formula Γ have a unit clause p. All satisfying assignments of Γ must assign p to $\top$. Hence there cannot be a satisfying assignment with p assigned to $\bot$. $\square$

Unit Propagation: Resolution

The resolution rule allows for a formula containing the clauses $C \vee p$ and $\neg p \vee D$ to be extended by the clause $C \vee D$

$$\frac{C \vee p \qquad \neg p \vee D}{C \vee D}$$

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Resolution proofs:

- A resolution proof is a sequence $C_1, \ldots, C_m$ of clauses.
- Every clause is either contained in the formula or derived from two earlier clauses via the resolution rule.
- C_m is the empty clause (containing no literals): $\bot$.
- There exists a resolution proof for every unsatisfiable formula.

Unit Propagation: Resolution Proofs

Example

$\Gamma := (\neg p \lor \neg q \lor r) \land (\neg r) \land (p \lor \neg q) \land (\neg s \lor q) \land (s)$

Resolution proof: $(\neg p \lor \neg q \lor r)$, $(\neg r)$, $(\neg p \lor \neg q)$, $(p \lor \neg q)$, $(\neg q)$, $(\neg s \lor q)$, $(\neg s)$, (s), $\bot$

$$\dfrac{\dfrac{\neg s \lor q \qquad \dfrac{\dfrac{\neg p \lor \neg q \lor r \qquad \neg r}{\neg p \lor \neg q} \qquad p \lor \neg q}{\neg q}}{\neg s} \qquad s}{\bot}$$

Unit Propagation: Relation to Resolution

Let Γ be a formula. A clause C is implied by Γ via unit propagation (UP) if UP on $\Gamma \wedge \neg C$ results in a conflict.

Example

$$\begin{aligned}\Gamma \; := \; & (p \vee q \vee \neg r) \wedge (\neg p \vee \neg q \vee r) \wedge (q \vee r \vee \neg s) \; \wedge \\ & (\neg q \vee \neg r \vee s) \wedge (p \vee r \vee s) \wedge (\neg p \vee \neg r \vee \neg s)\end{aligned}$$

Unit Propagation: Relation to Resolution

Let Γ be a formula. A clause C is implied by Γ via unit propagation (UP) if UP on $\Gamma \land \neg C$ results in a conflict.

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$$\Gamma := (p \lor q \lor \neg r) \land (\neg p \lor \neg q \lor r) \land (q \lor r \lor \neg s) \land (\neg q \lor \neg r \lor s) \land (p \lor r \lor s) \land (\neg p \lor \neg r \lor \neg s)$$

clause	$(p \lor q)$
units	$\neg p \land \neg q$

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clause	$(p \vee q)$	$(p \vee q \vee \neg r)$
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clause	$(p \vee q)$	$(p \vee q \vee \neg r)$	$(q \vee r \vee \neg s)$
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clause	$(p \vee q)$	$(p \vee q \vee \neg r)$	$(q \vee r \vee \neg s)$	$(p \vee r \vee s)$
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clause	$(p \vee q)$	$(p \vee q \vee \neg r)$	$(q \vee r \vee \neg s)$	$(p \vee r \vee s)$
units	$\neg p \wedge \neg q$	$\neg r$	$\neg s$	$\bot$

$$\dfrac{\dfrac{(p \vee r \vee s) \qquad (q \vee r \vee \neg s)}{(p \vee q \vee r)} \qquad (p \vee q \vee \neg r)}{(p \vee q)}$$

Tseitin Transformation

Unit Propagation and Resolution

Pure Literals and Autarkies

Autarkies: Pure Literal Rule

A literal ℓ is pure in a CNF formula Γ if the literal $\neg\ell$ does not occur in Γ.

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The pure literal rule simplifies a formula by making pure literals true.

Example

Consider the formula $\Gamma = (p \vee \neg q) \wedge (q \vee \neg r) \wedge (\neg q \vee r)$.
The literal p is pure in Γ.
Let $\tau(p) = \top$. The pure literal rule will reduce Γ to $[\![\Gamma]\!]_\tau$.
In other words, it will remove the first clause.

Autarkies: Proposition

Proposition

Assigning a pure literal to $\top$ does not change the number of satisfying assignments

True or false?

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Proof.

False. A counterexample:
$\Gamma = (p \vee \neg q) \wedge (q \vee \neg r) \wedge (\neg q \vee r)$ has three satisfying assignments, while $[\![\Gamma]\!]_\tau$ with $\tau(p) = \top$ has only two. □

Autarkies: Definition

An autarky is a partial assignment that satisfies all clauses that are "touched" by the assignment:

- a pure literal is an autarky
- a satisfying assignment is an autarky
- "interesting" autarkies are between pure literals and satisfying assignments
- removing clauses that are satisfied by an autarky results in an equisatisfiable formula
- observe that for an autarky τ it holds that $[\![\Gamma]\!]_\tau \subseteq \Gamma$

Autarkies: Example

$$\Gamma_{\text{unit}} := (\neg p_1 \vee \neg p_3 \vee p_4) \wedge (\neg p_1 \vee \neg p_2 \vee p_3) \wedge$$
$$(\neg p_1 \vee p_2) \wedge (p_1 \vee p_3 \vee p_6) \wedge (\neg p_1 \vee p_4 \vee \neg p_5) \wedge$$
$$(p_1 \vee \neg p_6) \wedge (p_4 \vee p_5 \vee p_6) \wedge (p_5 \vee \neg p_6)$$

Autarkies: Example

$$\Gamma_{\text{unit}} := (\neg p_1 \vee \neg p_3 \vee p_4) \wedge (\neg p_1 \vee \neg p_2 \vee p_3) \wedge$$
$$(\neg p_1 \vee p_2) \wedge (p_1 \vee p_3 \vee p_6) \wedge (\neg p_1 \vee p_4 \vee \neg p_5) \wedge$$
$$(p_1 \vee \neg p_6) \wedge (p_4 \vee p_5 \vee p_6) \wedge (p_5 \vee \neg p_6)$$

$\tau = \{p_1 = \top\}$

Autarkies: Example

$$\Gamma_{\text{unit}} := (\neg p_1 \lor \neg p_3 \lor p_4) \land (\neg p_1 \lor \neg p_2 \lor p_3) \land \\ (\neg p_1 \lor p_2) \land (p_1 \lor p_3 \lor p_6) \land (\neg p_1 \lor p_4 \lor \neg p_5) \land \\ (p_1 \lor \neg p_6) \land (p_4 \lor p_5 \lor p_6) \land (p_5 \lor \neg p_6)$$

$\tau = \{p_1 = \top,\ p_2 = \top\}$

Autarkies: Example

$$\Gamma_{\text{unit}} := (\neg p_1 \vee \neg p_3 \vee p_4) \wedge (\neg p_1 \vee \neg p_2 \vee p_3) \wedge$$
$$(\neg p_1 \vee p_2) \wedge (p_1 \vee p_3 \vee p_6) \wedge (\neg p_1 \vee p_4 \vee \neg p_5) \wedge$$
$$(p_1 \vee \neg p_6) \wedge (p_4 \vee p_5 \vee p_6) \wedge (p_5 \vee \neg p_6)$$

$$\tau = \{p_1 = \top,\ p_2 = \top,\ p_3 = \top\}$$

Autarkies: Example

$$\Gamma_{\text{unit}} := (\neg p_1 \vee \neg p_3 \vee p_4) \wedge (\neg p_1 \vee \neg p_2 \vee p_3) \wedge$$
$$(\neg p_1 \vee p_2) \wedge (p_1 \vee p_3 \vee p_6) \wedge (\neg p_1 \vee p_4 \vee \neg p_5) \wedge$$
$$(p_1 \vee \neg p_6) \wedge (p_4 \vee p_5 \vee p_6) \wedge (p_5 \vee \neg p_6)$$

$\tau = \{p_1 = \top,\ p_2 = \top,\ p_3 = \top,\ p_4 = \top\}$

Autarkies: Example

$$\Gamma_{\text{unit}} := (\neg p_1 \lor \neg p_3 \lor p_4) \land (\neg p_1 \lor \neg p_2 \lor p_3) \land$$
$$(\neg p_1 \lor p_2) \land (p_1 \lor p_3 \lor p_6) \land (\neg p_1 \lor p_4 \lor \neg p_5) \land$$
$$(p_1 \lor \neg p_6) \land (p_4 \lor p_5 \lor p_6) \land (p_5 \lor \neg p_6)$$

$\tau = \{p_1 = \top,\ p_2 = \top,\ p_3 = \top,\ p_4 = \top\}$

The extended τ is an autarky for Γ_{unit}

Autarkies: Theorem

Theorem (Monien and Speckenmeyer, 1985)

Let τ be an autarky for formula Γ. Then Γ and $[\![\Gamma]\!]_\tau$ are equisatisfiable.

Proof.

If Γ is satisfiable, then since $[\![\Gamma]\!]_\tau \subseteq \Gamma$, we know that $[\![\Gamma]\!]_\tau$ is satisfiable as well.

Conversely, suppose $[\![\Gamma]\!]_\tau$ is satisfiable and let τ_1 be an assignment that satisfies $[\![\Gamma]\!]_\tau$. We can assume that τ_1 only assigns values to the variables of $[\![\Gamma]\!]_\tau$, which are distinct from the variables of τ. Then the assignment τ_2 which is the union of τ and τ_1 satisfies Γ. $\square$