SUBSUMPTION ALGORITHMS FOR THREE-VALUED GEOMETRIC RESOLUTION

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ABSTRACT. In our implementation of geometric resolution, the most costly operation is subsumption testing (or matching): One has to decide for a three-valued, geometric formula, if this formula is false in a given interpretation. The formula contains only atoms with variables, equality, and existential quantifiers. The interpretation contains only atoms with constants. Because the atoms have no term structure, matching for geometric resolution is hard. We translate the matching problem into a generalized constraint satisfaction problem, and discuss several approaches for solving it efficiently, one direct algorithm and two translations to propositional SAT. After that, we study filtering techniques based on local consistency checking. Such filtering techniques can a priori refute a large percentage of generalized constraint satisfaction problems. Finally, we adapt the matching algorithms in such a way that they find solutions that use a minimal subset of the interpretation. The adaptation can be combined with every matching algorithm. The techniques presented in this paper may have applications in constraint solving independent of geometric resolution.

1. Introduction

Main topic of this paper is the generalized matching problem, for example how to match p(X,Y), q(Y,Z) into p(0,1), p(0,2), q(1,3), q(2,4), r(0,3) without matching r(X,Z). This problem arose in the implemention of geometric resolution. Geometric logic as a theorem proving strategy was introduced in [2]. (The authors use the name coherent logic.) Bezem and Coquand were motivated mostly by the desire to obtain a theorem proving strategy with a simple normal form transformation, which makes that many natural problems need no transformation at all, others have a much simpler transformation, and which makes that in all cases Skolemization can be avoided. This results in more readable proofs, and proofs that can be backtranslated more easily.

Our motivation for using geometric resolution is different, more engineering-oriented: We hope that three-valued, geometric resolution can be made sufficiently efficient, so that it can be used as a generic reasoning core, into which different kinds of two- or three-valued decision problems (e.g. problems representing type correctness, two-valued decision problems, or simply typed classical problems) can be translated. Because we want the geometric reasoning core to be generic, we are willing to accept transformations that do not preserve much of the structure of the original formula. Subformulas are freely renamed, and functional expressions are flattened and replaced by relations. For details of the calculus, its motivation, and related work, we refer to [6].

In the current paper we give only a short introduction, which is aimed at explaining how matching is used in geometric resolution, and how matching instances in geometric resolution are translated into generalized constraint satisfaction problems. If one is interested only in the methods for constraint satisfaction, one can ignore the technical part of this section and continue reading at the overview at the end of this section.

We continue this section by giving a definition of three-valued, geometric formulas. The definition that we give here is slightly too general, but easier to understand than the correct definition in [6], which contains some additional, technical restrictions which are not relevant for matching.

Definition 1.1. A geometric literal has one of the following four forms:

- (1) A simple atom of form $p_{\lambda}(x_1, \ldots, x_n)$, where x_1, \ldots, x_n are variables (with repetitions allowed) and $\lambda \in \{\mathbf{f}, \mathbf{e}, \mathbf{t}\}$. (denoting false, error and true.)
- (2) An equality atom of form $x_1 \approx x_2$, with x_1, x_2 distinct variables.
- (3) A domain atom $\#_{\mathbf{f}} x$, with x a variable.
- (4) An existential atom of form $\exists y \ p_{\lambda}(x_1, \ldots, x_n, y)$ with $\lambda \in \{\mathbf{f}, \mathbf{e}, \mathbf{t}\}$, and such that y occurs at least once in the atom, not necessarily on the last place.

A geometric formula has form $A_1, \ldots, A_p \mid B_1, \ldots, B_q$, where the A_i are simple or domain atoms, and the B_i are atoms of arbitrary type.

We require that geometric formulas are range restricted, which means that every variable that occurs free in a B_i must occur in an A_i as well.

The intuitive meaning of $A_1, \ldots, A_p \mid B_1, \ldots, B_q$ is $\forall \overline{x} \ A_1 \lor \cdots \lor A_p \lor B_1 \lor \cdots \lor B_q$, where \overline{x} are all the free variables. The vertical bar (|) has no logical meaning. Its only purpose is to separate the two types of atoms.

A geometric formula that is not range restricted, can always be made range restricted by inserting suitable $\#_{\mathbf{f}}$ atoms into the left hand side. This is the only purpose of the $\#_{\mathbf{f}}$ predicate. Interpretations contain predicates of form $\#_{\mathbf{t}}$ c, for every domain element c. Atoms in geometric formulas are variable-only, and are labeled with truth-values, as in [16]. It is shown in [4] and [6] that formulas in classical logic with partial functions ([3]) can be translated into sets of geometric formulas.

Definition 1.2. We define an *interpretation* I as a finite set of atoms of forms $\#_{\mathbf{t}} c$ with c a constant, or form $p_{\lambda}(x_1, \ldots, x_n)$, where x_1, \ldots, x_n are constants (repetitions allowed). Interpretations must be *range restricted* as well. This means that every constant x occurring in the interpretation must occur in an atom of form $\#_{\mathbf{t}} x$.

Matching searches for false formulas. These are formulas whose premises A_1, \ldots, A_p clash with I, while none of the B_j is true in I.

Definition 1.3. Let I be an interpretation. Let A be a geometric literal. Let Θ be a substitution that assigns constants to variables, and that is defined on the variables in A. We say that $A\Theta$ conflicts (or is in conflict with) I if (1) A has form $p_{\lambda}(x_1, \ldots, x_n)$, and there is an atom of form $p_{\mu}(x_1\Theta, \ldots, x_n\Theta) \in I$ with $\lambda \neq \mu$, (2) A has form $x_1 \approx x_2$ and $x_1\Theta \neq x_2\Theta$, or (3) A has form $\#_{\mathbf{f}} x$ and $(\#_{\mathbf{t}} x\Theta) \in I$. We say that $A\Theta$ is true in I if

(1) A has form $p_{\lambda}(x_1,\ldots,x_n)$ and $p_{\lambda}(x_1\Theta,\ldots,x_n\Theta) \in I$, (2) A has form $x_1 \approx x_2$ and $x_1\Theta = x_2\Theta$, (3) A has form $\#_{\mathbf{t}} x$ and $(\#_{\mathbf{t}} x\Theta) \in I$, or (4) A has form $\exists y \ B_{\lambda}(x_1,\ldots,x_n,y)$ and there exists a constant c, s.t. $B_{\lambda}(x_1\Theta,\ldots,x_n\Theta,c) \in I$.

In the definitions of truth and conflict, # is treated as a usual predicate.

Definition 1.4. Let I be an interpretation. Let B be a geometric atom. Let Θ be a substitution that instantiates all free variables of B, and for which $B\Theta$ is not true in I. We define the *extension set* $E(B,\Theta)$ as follows:

- If B has form $p_{\lambda}(x_1, \dots, x_n)$ or $\#_{\mathbf{t}} x$, then $E(B, \Theta) = \{B\Theta\}$.
- If B has form $x_1 \approx x_2$, then $E(B, \Theta) = \emptyset$.
- If B has form $\exists y \ p_{\lambda}(x_1,\ldots,x_n,y)$, then

$$E(B,\Theta) = \{ p_{\lambda}(x_1\Theta,\ldots,x_n\Theta,c) \} \mid c \in I \} \cup \{ p_{\lambda}(x_1\Theta,\ldots,x_n\Theta,\hat{c}) \} \}.$$

By $c \in I$ we mean: c is a constant occurring in an atom of I. We assume that \hat{c} is a fresh constant for which $\hat{c} \notin I$.

Intuitively, if for a geometric formula $\phi = A_1, \ldots, A_p \mid B_1, \ldots, B_q$ and a substitution Θ , the $A_i\Theta$ are in conflict with I, while none of the $B_j\Theta$ is true in I, then $\phi\Theta$ is false in I. If there exist a B_j and an atom $C \in E(B_j, \Theta)$ that is not in conflict with I, then $\phi\Theta$ can be made true by adding C. If no such C exists, a conflict was found. If more than one C exists, the search algorithm has to backtrack through all possibilities. The search algorithm tries to extend an initial interpretation I into an interpretation $I' \supset I$ that makes all formulas true. At each stage of the search, it looks for a formula and a substitution that make the formula false. If no formula and substitution can be found, the current interpretation is a model. Otherwise, search continues either by extending I, or by backtracking. Details of the procedure are described in [8] for the two-valued case, and in [6] for the three-valued case. Experiments with the current three-valued version (available from [18]), and the previous two-valued version ([9]) show that the search for false formulas consumes nearly all of the resources of the prover.

Definition 1.5. An instance of the matching problem consists of an interpretation I and a geometric formula $A_1, \ldots, A_p \mid B_1, \ldots, B_q$.

Determine if there exists a substitution Θ that brings all A_i in conflict with I, and makes none of the B_j true in Θ . If yes, then return such substitution.

Examples 1.6. Consider an interpretation I consisting of atoms

$$P_{\mathbf{t}}(x_0, x_0), P_{\mathbf{e}}(x_0, x_1), P_{\mathbf{t}}(x_1, x_1), P_{\mathbf{e}}(x_1, x_2), Q_{\mathbf{t}}(x_2, x_0).$$

The formula $\phi_1 = P_{\mathbf{f}}(X,Y), P_{\mathbf{f}}(Y,Z) \mid Q_{\mathbf{t}}(Z,X)$ can be matched in five ways:

$$\begin{array}{l} \Theta_1 = \{ \ X := x_0, \ Y := x_0, \ Z := x_0 \ \} \\ \Theta_2 = \{ \ X := x_0, \ Y := x_0, \ Z := x_1 \ \} \\ \Theta_3 = \{ \ X := x_0, \ Y := x_1, \ Z := x_1 \ \} \\ \Theta_4 = \{ \ X := x_1, \ Y := x_1, \ Z := x_1 \ \} \\ \Theta_5 = \{ \ X := x_1, \ Y := x_1, \ Z := x_2 \ \} \end{array}$$

The substitution $\Theta_6 = \{ X := x_0, Y := x_1, Z := x_2 \}$ would make the conclusion $Q_{\mathbf{t}}(Z, X)$ true. Next consider the formula $\phi_2 = P_{\mathbf{f}}(X, Y), P_{\mathbf{t}}(Y, Z) \mid X \approx Y$.

The substitution $\Theta = \{ X := x_0, Y := x_1, Z := x_2 \}$ is the only matching of ϕ_2 into I. Finally, the formula $\phi_3 = P_{\mathbf{t}}(X,Y) \mid \exists Z \ Q_{\mathbf{t}}(Y,Z)$ can be matched with $\Theta = \{ X := x_0, Y := x_1 \}$, and in no other way.

The first formula ϕ_1 in example 1.6 has five matchings. In case there exists more than one matching, it matters for the geometric prover which matching is returned. This is because

the prover analyses which ground atoms in the interpretation I contributed to the matching, and will consider only those in backtracking. In general, the set of conflicting atoms in I should be as small as possible, and should depend on as few as possible decisions. (Decisions in the sense of propositional reasoning, see [15].) The simplest solution for finding the best matching would be to enumerate all matchings, and use some preference relation \leq to keep the best one. Unfortunately, this approach is not practical because the number of matchings can be extremely high. We will address this problem in Section 9.

Even if one is interested in the decision problem only, matching is still intractable because the decision problem is already NP-complete. (See problem **LO18** in [12].) In this paper, we introduce several algorithms for efficiently solving the matching problem. The algorithms evolved out of predecessors that have been implemented before in the two-valued version of **Geo** ([9]), and in the three-valued version of **Geo** that took part in CASC J8 (see [18]). The matching algorithm of the three-valued version is discussed in detail in [5]. Unfortunately, after comparison with other methods, in particular the algorithms in the current paper, and translation to SAT, the approach of [5] turned out not competitive, and we have abandoned it. The algorithm in this paper, and translation to SAT are on average 500-1000 times faster than the algorithm of [5].

The paper is organized as follows: In Section 2, we translate the matching problem into a structure called *generalized constraint satisfaction problem* (GCSP). The generalization consists of the fact that it contains additional constraints, that a solution must not make true. These constraints correspond to the conclusions of the geometric formula that one is trying to match.

After that, we present in Section 3 a backtracking algorithm for solving GCSP, which is based on backtracking combined with a form of propagation. It relies on a data structure that we call refinement stack. Refinements stacks were introduced in [5]. The matching algorithm of [5] turned out non-competitive, but its data structure is still useful. In Section 4 we add conflict learning to our matching algorithm. In Section 5, we briefly discuss the algorithm of [5]. In Section 6, we give two translations from GCSP to SAT. The translations are straightforward, and efficiently solved by MiniSat ([11]). In order to make it possible to run our matching algorithm independent of geometric logic, possibily opening the way for other applications, we define an input format for matching problems in Section 7. The format is derived from the DIMACS format for SAT. We released the sources in [7]. Section 8 contains experimental results. The main conclusions are that the algorithm of [5] is not competitive, and that our own algorithm is comparable to translation to SAT combined with MiniSat. In Section 9, we explain how every algorithm that is able to find some solution, can be transformed into an algorithm that finds an optimal solution. This transformation is essential for the application in geometric resolution. In Section 10, we present a priori filtering techniques, that are able to reject a large percentage of matching instances a priori.

2. Translation into Generalized Constraint Satisfaction Problem

We introduce the generalized constraint satisfaction problem, and show how instances of the matching problem can be translated. It is 'generalized' because there are additional, negative constraints (called *blockings*), which a solution is not allowed to satisfy. The blockings originate from translations of the B_1, \ldots, B_q .

Definition 2.1. A substlet s is a (small) substitution. We usually write s in the form $\overline{v}/\overline{x}$, where \overline{v} is a sequence of variables without repetitions, and \overline{x} is a sequence of constants of same length as \overline{v} .

We say that two substlets $\overline{v}_1/\overline{x}_1$ and $\overline{v}_2/\overline{x}_2$ are in conflict if there exist i, j s.t. $v_{1,i} = v_{2,j}$ and $x_{1,i} \neq x_{2,j}$.

If $\overline{v}_1/\overline{x}_1, \ldots, \overline{v}_n/\overline{x}_n$ is a sequence of substlets not containing a conflicting pair, then one can merge them into a substitution as follows: $\bigcup \{\overline{v}_1/\overline{x}_1, \ldots, \overline{v}_n/\overline{x}_n\} = \{v_{i,j} := x_{i,j} \mid 1 \le i \le n, 1 \le j \le ||\overline{v}_i||\}.$

If Θ is a substitution and $s = \overline{v}/\overline{x}$ is a substlet, we say that Θ makes s true if every $v_i := x_i$ is present in Θ .

We say that Θ and s are in conflict if there is a v_i/x_i with $1 \leq i \leq ||v||$, s.t. $v_i\Theta$ is defined and distinct from x_i .

A clause c is a finite set of substlets with the same domain. We say that a substitution Θ makes c true (notation $\Theta \models c$) if Θ makes a substlet $(\overline{v}/\overline{x}) \in c$ true. We say that Θ makes c false (notation $\Theta \models \neg c$) if every substlet $(\overline{v}/\overline{x}) \in c$ is in conflict with Θ . In the remaining case, we call c undecided by Θ .

Definition 2.2. A generalized constraint satisfaction problem (GCSP) is a pair of form (Σ^+, Σ^-) in which Σ^+ is a finite set of clauses, and Σ^- is a finite set of substlets.

A substitution Θ is a *solution* of (Σ^+, Σ^-) , if every clause in Σ^+ is true in Θ , and there is no $\sigma \in \Sigma^-$, s.t. Θ makes σ true.

Definition 2.3. Let (Σ^+, Σ^-) a GCSP. We call (Σ^+, Σ^-) range restricted if for every variable v that occurs in a substlet $\sigma \in \Sigma^-$, there exists a clause $c \in \Sigma^+$ s.t. every substlet $s \in c$ has v in its domain.

We now explain how a matching instance is translated into a generalized constraint satisfaction problem.

Definition 2.4. Assume that I and $\phi = A_1, \ldots, A_p \mid B_1, \ldots, B_q$ together form an instance of the matching problem. The *translation* (Σ^+, Σ^-) of (I, ϕ) into GCSP is obtained as follows:

• For every A_i , let \overline{v}_i denote the variables of A_i . Then Σ^+ contains the clause

$$\{ \overline{v}_i / \overline{v}_i \Theta \mid A_i \Theta \text{ is in conflict with } I \}.$$

• For every B_j , let \overline{w}_j denote the variables of B_j . For every Θ that makes $B_j\Theta$ true in I, Σ^- contains the substlet $\overline{w}_j/(\overline{w}_j\Theta)$.

Theorem 2.5. A matching instance (I, ϕ) has a matching iff its corresponding GCSP has a solution.

In theory, the set of blockings Σ^- can be removed, because a blocking σ can always be replaced by a clause as follows: Let σ be a blocking, let \overline{v} be its variables. Define $\sigma_1 = \sigma$, and let $\sigma_2, \ldots, \sigma_n \in \Sigma^-$ be the blockings whose domain is also \overline{v} . One can replace $\sigma_1, \ldots, \sigma_n$ by the clause $\{\overline{v}/\overline{c} \mid \overline{v}/\overline{c} \text{ conflicts all } \sigma_i \ (1 \le i \le n) \}$.

We prefer to keep Σ^- , because in the worst case, the resulting clause has size $m^{\|\overline{v}\|}$, where m is the size of the domain. For example, if $\sigma_1, \ldots, \sigma_n$ result from an equality $X \approx Y$, then σ_i has form $(X,Y)/(x_i,x_i)$. The resulting clause $c = \{(X,Y)/(x_i,x_j) \mid i \neq j\}$ has size $n(n-1) \approx n^2$.

Clauses resulting from a matching problem have the following trivial, but essential property:

Lemma 2.6. Let (Σ^+, Σ^-) be obtained by the translation in Definition 2.4. Let $s_1, s_2 \in c \in \Sigma^+$. Then either $s_1 = s_2$, or s_1 and s_2 are in conflict with each other.

Lemma 2.6 holds because s_1 and s_2 have the same domain.

Examples 2.7. In example 1.6, the matching problem (I, ϕ_1) can be translated into the GCSP below. The clauses are above the horizontal line, and the blockings are below it. Because substlets in the same clause always have the same variables, we write the variables of a clause only once.

$$\begin{array}{c|c} (X,Y) / (x_0,x_0) \mid (x_0,x_1) \mid (x_1,x_1) \mid (x_1,x_2) \\ \underline{(Y,Z) / (x_0,x_0) \mid (x_0,x_1) \mid (x_1,x_1) \mid (x_1,x_2)} \\ \underline{(X,Z) / (x_0,x_2)} \end{array}$$

Translating (I, ϕ_2) results in:

$$(X,Y) / (x_0,x_0) | (x_0,x_1) | (x_1,x_1) | (x_1,x_2)$$

 $(Y,Z) / (x_0,x_1) | (x_1,x_2)$
 $(X,Y) / (x_0,x_0)$
 $(X,Y) / (x_1,x_1)$
 $(X,Y) / (x_2,x_2)$

Translation of (I, ϕ_3) results in:

$$\frac{(X,Y) / (x_0,x_1) | (x_1,x_2)}{(Y) / (x_2)}$$

Before one runs any algorithms on a GCSP, it is useful to do some simplifications. If the GCSP contains a propositional clause (a clause whose domain contains no variables), this clause either has form () / (no assignments), or () / () (one assignment). In the first case, the problem is trivially unsolvable. In the second case, the clause can be removed.

Similarly, if Σ^- contains a propositional blocking, then (Σ^+, Σ^-) is trivially unsolvable. Such blockings originate from a B_j that is purely propositional, or that has form $\exists y \ P_{\lambda}(y)$.

A third important preprocessing step is removal of unit blockings. Let $\sigma \in \Sigma^-$ be a blocking whose domain is included in the domain of some clause $c \in \Sigma^+$. In that case, one can remove every substlet $\overline{v}/\overline{c}$ from c, that has $\bigcup \{\overline{v}/\overline{c}\} \models \sigma$. If this results in c being empty, then (Σ^+, Σ^-) trivially has no solution. If no $\overline{v}/\overline{c}$ in any clause $c \in \Sigma^+$ implies σ , then σ can be removed from Σ^- , because of Lemma 2.6.

Applying removal of unit blockings to the translation of (I, ϕ_2) above results in

$$(X,Y) / (x_0,x_1) | (x_1,x_2) (Y,Z) / (x_0,x_1) | (x_1,x_2)$$

It is worth noting that removal of propositional blockings can be viewed as a special case of removal of unit blockings.

A GCSP can be solved by backtracking, similar to SAT solving. A backtracking algorithm for GCSP can be either variable or clause based. A variable based algorithm maintains a substitution Θ , which it tries to extend into a solution. It backtracks by picking a variable v and trying to assign it in all possible ways. It backtracks when Θ makes a clause $c \in \Sigma^+$ false, or a blocking $\sigma \in \Sigma^-$ true.

A clause based algorithm maintains a consistent set S of substlets (whose union defines a substitution). It backtracks by picking an undecided clause $c \in \Sigma^+$, and consecutively

inserting all substlets that are consistent with S into S. It backtracks when there is a clause c all of whose atoms are in conflict with S, or when $\bigcup S$ makes a blocking true.

Our experiments suggest that there is no significant difference in performance, nor in programming effort, between the two variants. We will stick with clause based algorithms, because it seems that they can be more easily combined with local consistency checking.

3. Matching Using Refinement Stacks

We first present the algorithm without learning, and add learning in the next section. The algorithm that we present here is a simplification of the algorithm in [5], which unfortunately could not be made competitive. The previous algorithm was based on a combination of local consistency checking and lemma learning from conflicts. Local consistency checking will be discussed in detail in Section 10, because there is still a probability that it can be used as priori check.

Local consistency checking means that one generates all subsets of clauses up to some size S+1 and checks which substlets can occur in solutions. Substlets that do not occur in any solution of some subset, certainly do not occur in a solution of the complete GCSP. In most instances, filtering with a small S, e.g. 1 or 2 results in an empty clause. The algorithm of [5] was based on a combination of local consistency checking and decision. It is discussed in more detail in Section 5.

The algorithm that we discuss in this section evolved from [5]. The main differences are: Clauses are not checked against each other anymore. Instead, clauses are checked only against the substitution in combination with blockings. Secondly, learnt lemmas are flat, i.e. finite disjunctions of single assignments to variables. In [5], lemmas were finite disjunctions of substlets. It turns out that this simplification improves performance by a factor between 100 and 1000.

In order to implement matching algorithms and local consistency checking, one needs to be able to remove substlets from clauses, and reintroduce them during backtracking. We call the process of removing substlets from a clause refinement. Whenever a clause has been refined, it may trigger other refinements. In the earlier algorithm, refinement of a clause could directly trigger more refinements of other clauses. In the current algorithm, refinement of a clause can only trigger possible extension of the substitution, but extension of the substitution may may still trigger other clause refinements. As a consequence, one needs to maintain a queue of recent refinements and use this queue to check which more clauses can be refined. We introduce a data structure, called refinement stack which supports refinement of clauses, restoring during backtracking, and keeping track of unchecked refinements.

Definition 3.1. A refinement has form $c \Rightarrow d$, where both c and d are clauses, and d is a subclause of c.

A refinement stack \overline{C} is a finite sequence of refinements $c_i \Rightarrow d_i$. If there exists a j with i < j and $c_i = c_j$, then d_j must be a strict subclause of d_i .

For a clause c, if $c_i \Rightarrow d_i$ is the last refinement with $c = c_i$ occurring in \overline{C} , we call d_i the current refinement of c.

We define a predicate $\alpha_i(\overline{C})$ that is true if $c_i \Rightarrow d_i$ is the current refinement of c_i in \overline{C} . This means that there is no j > i with $c_j = c_i$.

A refinement stack supports gradual refinement of clauses. If $\alpha_i(\overline{C})$ is true, then clause d_i can be refined into d' by appending $c_i \Rightarrow d'$ to \overline{C} .

In the new refinement stack $\overline{C}' = \overline{C} + (c_i \Rightarrow d')$, we have $c_i = c_{n+1}$, $\alpha_i(\overline{C}')$ is false, and $\alpha_{n+1}(\overline{C}')$ is true.

The $size \|\overline{C}\|$ of a refinement stack \overline{C} is defined as the total number of refinements that occur in it, independent of the values of $\alpha_i(\overline{C})$.

The refinement stack is initialized with the refinements $c \Rightarrow c$, for each initial clause c. Refinement stacks can be efficiently implemented without need to copy clauses by maintaining a stack of intervals of active substlets in the initial clauses. A substlet can be disabled by swapping it with the last active substlet in the interval, and decreasing the size of the interval by one. When the substlet is made active again, it is sufficient to restore the interval, because the order of active substlets in a clause does not matter. Refinement stacks support change driven inspection as well as backtracking.

Change driven inspection of clauses can be implemented by starting at position k=1. As long as $k \leq \|\overline{C}\|$, one first checks $\alpha_k(\overline{C})$. If it is false, then d_k is not the current version of c_k , and one can increase k. If $\alpha_k(\overline{C})$ is current, one can check if d_k triggers refinement of other clauses. If yes, the results are inserted at the end, so that they will be inspected at later time. When one reaches $k > \|\overline{C}\|$, one has reached a stable state.

When some change involving a variable v takes place, one needs to check which clauses may be affected by the change, so that they can be refined. These are obviously the clauses that contain v, but also the clauses that contain a variable occurring in a blocking that contains v, since the algorithm takes blockings into account, when refining. This gives rise to the following definition:

Definition 3.2. Let v, w be two variables. We call v and w connected if v and w occur together in a blocking $\sigma \in \Sigma^-$.

We define the search algorithm. We assume that propositional clauses and unit blockings have been removed from (Σ^+, Σ^-) . We assume that the substitution Θ is an ordered sequence (stack) of assignments $(v_1/x_1, \ldots, v_s/x_s)$.

Algorithm 3.3. We want to find a solution for (Σ^+, Σ^-) . Initially, set $\Theta := \emptyset$ and $\overline{C} := \emptyset$. After that, for each k $(1 \le k \le ||\Sigma^+||)$, do the following:

PREPROC: Let c_k be the k-th clause in Σ^+ . Append $(c_k \Rightarrow c_k)$ to \overline{C} . For every variable v occurring in c_k , for which all substlets in c_k agree on the value of v, let x be the agreed value

- If $v\Theta$ is defined, and $v\Theta \neq x$, then return \perp .
- If $v\Theta$ is undefined and there is a blocking σ containing v, s.t. $\Theta \cup \{v/x\} \models \sigma$, then return \bot . Otherwise, append v/x to Θ .

After that, we call the main search algorithm $\mathbf{findmatch}(\overline{C}, \Theta, s, \Sigma^-)$ with s = 1. It either returns \bot , or it extends Θ into a solution of (\overline{C}, Σ^-) . $\mathbf{findmatch}(\overline{C}, \Theta, s, \Sigma^-)$ is defined as follows:

FORW: As long as $s \leq ||\Theta||$, let v/x be the s-th assignment of Θ .

(1) For every $(c_i \Rightarrow d_i) \in \overline{C}$ which has $\alpha_i(\overline{C})$ true, and which either contains v itself, or a variable w that is connected to v, let

$$d' = \{ s \in d_i \mid s \text{ is not in conflict with } \Theta \}.$$

If $d' = \emptyset$, then return \bot . Otherwise, let

$$d'' = \{ s \in d' \mid \text{there is no } \sigma \in \Sigma^-, \text{s.t. } \Theta \cup \{ s \} \models \sigma \}.$$

If $d'' = \emptyset$, then return \bot . Otherwise, if $d'' \subset d_i$, then

- (a) append $(c_i \Rightarrow d'')$ to \overline{C} .
- (b) For every variable v' occurring in d'', that is unassigned in Θ , for which all substlets in d'' agree on the assigned value, let x' be the agreed value. Append v'/x' to Θ .
- (2) Set s = s + 1.

PICK: Find an i with $\alpha_i(\overline{C})$ true and $||d_i|| > 1$. If no such i exists, then Θ is a solution. Otherwise, for every substlet $\overline{v}_j/\overline{x}_j$ in d_i , do the following:

- (1) Append $c_i \Rightarrow (\overline{v}_j/\overline{x}_j)$ to \overline{C} , and extend Θ with the unassigned variables in $\overline{v}_j/\overline{x}_j$.
- (2) Recursively call **findmatch**($\overline{C}, \Theta, s, \Sigma^-$). If Θ was extended into a solution, then return Θ .
- (3) Otherwise, restore Θ and \overline{C} to the sizes that they had before (1).

At this point, each of the recursive calls has returned \perp . Return \perp .

At **FORW**, the algorithm attempts deterministic reasoning. For every new assignment in Θ , it is checked if it conflicts with some substlets in some clause. Two types of conflicts are considered, either the substlet contains an assignment that directly conflicts with Θ , or it contains an assignment that, together with Θ implies a blocking. As long as conflicts are found, the corresponding clauses are refined. Refinement of a clause may result in Θ being extended (**FORW** b), if the remaining substlets agree on an assignment. Extension of Θ may result in further refinements of clauses.

If **FORW** failed to solve the problem, then at **PICK** a non-unit clause is picked, and non-deterministically refined into a unit clause. This step requires backtracking. It is important (for performance) to pick a clause of minimal length.

Main purpose of **PREPROC** is to initialize the refinement stack \overline{C} with Σ^+ . After that, Θ is initialized by looking for assignments that are common to all substlets in some clause. If this results in a conflict (either directly, or with a blocking), the problem is rejected.

Algorithm 3.3 is similar to DPLL in that it tries to postpone backtracking as long as possible by giving preference to deterministic extension. At **FORW**, blockings are taken into account. It is possible to implement **FORW** without considering blockings. In that case, it has to be checked, whenever the substitution is extended (at **PICK 2** and at **FORW 1b**) that the extended substitution does not imply a blocking. The given version performs better in experiments.

In order to show that Algorithm 3.3 is correct, i.e. does not report false solutions, we have to show that all necessary checks are made.

Lemma 3.4. (1) At points **FORW** and **PICK** of Algorithm 3.3, there is no $\sigma \in \Sigma^-$, s.t. $\Theta \models \sigma$.

(2) At point **PICK**, no refined clause d_i contains a substlet that is in conflict with Θ .

Initially, the preprocessor ensures that there is no $\sigma \in \Sigma^-$, s.t. $\Theta \models \sigma$. When σ is extended in **FORW 1b**, it has been checked before that $\Theta \cup \{s\}$ does not imply a blocking, for each of the substlets in d''.

At point **PICK**, **findmatch** passed through **FORW** which refined away all substlets that conflict with Θ .

In the next section, we will extend Algorithm 3.3 with learning. This will prove completeness, because whenever Algorithm 3.3 does not find a solution, it will construct a lemma that proves that no lemma exists.

4. Conflict Learning

It is known from propositional SAT solving that conflict learning dramatically improves the performance of SAT solvers ([15]). The matching algorithm in the two-valued version of **Geo** ([9]) was already equipped with a primitive form of conflict learning. Before releasing **Geo**, we had experimented with naive matching, the algorithm in [13], and many ad hoc methods. Matching with conflict learning is the only approach that results in acceptable performance. Despite this, matching was still a critical operation in the last two-valued version of **Geo**. In the two-valued version of **Geo**, lemmas had form $v_1/x_1, \ldots, v_n/x_n \to \bot$, i.e. they had form $(\overline{v}/\overline{x}) \to \bot$ for a single substlet.

In [5] we proposed to replace the lemmas of **Geo** 2007 by arbitrary sets of substlets. It is quite easy to see, that in general such a lemma can be in conflict with more substitutions than a lemma of the previous form. For example, if we assume that the domain is $\{X, Y, Z\}$ and the range $\{0,1,2\}$, then $(X,Y,Z)/(0,1,2) \to \bot$ rejects a single substitution, while (X,Y,Z)/(0,1,2), (X,Y,Z)/(2,1,0) rejects 25 substitutions. Since in case of a conflict, one can always obtain a lemma of the second form, it seemed that lemmas of the second form should be preferred over lemmas of the first form.

The latest version of \mathbf{Geo} see ([18]) used the algorithm of [5] with lemmas of the unrestricted form above. Although this matching algorithm performs better than matching in Geo 2007, recent experiments have shown that it performs significantly worse than some other approaches, in particular translation to SAT and Algorithm 3.3 in combination with flat lemmas. Flat lemmas are lemmas of form $v_1 \in V_1 \vee \cdots \vee v_n \in V_n$. Surprisingly, Algorithm 3.3 with unrestricted lemmas performs several orders worse than Algorithm 3.3 with flat lemmas. This is surprising, because every general lemma can be flattened into a lemma of the second form by picking a single assignment from each substlet. The resulting lemma is obviously less general than its original, non-flattened version. This loss of generality also applies to the reasoning rules that we use on lemmas. If two substlets in two general lemmas are in conflict, then their flattenings are not necessarily in conflict. Conversely, whenever two flattened substlets are in conflict, their original counterparts are. This means that by using flattened lemmas, one looses conflicts with substitutions, and also resolution derivations involving lemma resolution. Despite this clever reasoning, the first columns of Figure 1 of Section 8 show that Algorithm 3.3 with flat lemmas performs approximately 200-400 times worse than Algorithm 3.3 with unrestricted lemmas. One could assume that this is caused by the fact that handling of unrestricted lemmas is more costly, and that their theoretical advantage is compensated by the increased cost of their maintenance. This assumption is rejected by Figure 1, because Algorithm 3.3 with flattened lemmas is not only faster, but it also uses less lemmas, typically by a factor 2-3. The only point where Algorithm 3.3 with and without flattening can diverge, is when a conflict lemma rejects a substitution Θ , and there exists more than one conflict lemma. Since both versions will prefer the shortest lemma, it must be due to the fact that flattening changes the relative sizes of the lemmas.

The outcomes of the experiments make it probable that the best approach to matching will be either Algorithm 3.3 with flat lemmas, or translation to SAT in combination with a SAT-solver, which we will describe in Section 6.

From the practical point of view, the fact that the refining algorithm in [5] turned out not competitive, is not a serious loss. Despite being elegant on paper, it was hard to implement. Implementation of Algorithm 3.3 was much easier, and in the long term, it is better that the easier algorithm has the better performance. Moreover, it is clear from

Figure 1 that matching in future versions of **Geo** can be approximately 1000 times faster than it was at **Geo** 2016c ([18]).

We will now introduce the flat lemmas, and prove that Algorithm 3.3 can always generate a flat conflict lemma.

Definition 4.1. A lemma is an object of form $\{v_1/V_1, \ldots, v_n/V_n\}$ with $n \geq 0$. The v_i are variables, and the V_i are finite sets of constants.

It is convenient to treat lemmas as total functions from variables to sets of constants. For a variable v and $\lambda = \{v_1/V_1, \dots, v_n/V_n\}, \ \lambda(v)$ is defined as $\bigcup \{V_i \mid v_i = v\}$.

Let Θ be a substitution. We say that Θ makes λ true if there exists a variable v in the domain of Θ , for which $v\Theta \in \lambda(v)$.

We say that Θ makes λ false if all variables v for which $\lambda(v)$ is nonempty, are in the domain of Θ , and $v\Theta \notin \lambda(v)$. In that case, we write $\Theta \models \neg \lambda$.

Definition 4.2. Let (Σ^+, Σ^-) be a GCSP. Let λ be a lemma. We say that λ is valid in (Σ^+, Σ^-) if every solution Θ of (Σ^+, Σ^-) makes λ true.

For a given substitution Θ , we call λ a conflict lemma if λ is valid and Θ makes λ false.

If Θ is a substitution, and there exists a valid lemma that is false in Θ , then it is not possible to extend Θ into a solution of (Σ^+, Σ^-) .

In order to derive the conflict lemma, the following rules will be used:

Definition 4.3. Given a GCSP (Σ^+, Σ^-) , we define the following derivation rules:

RESOLUTION: Let $\lambda_1, \ldots, \lambda_m$ be a sequence of lemmas. Let v be a variable. Let V be the set of variables v, for which one of the λ_j has $\lambda(v) \neq \emptyset$. We define the v-resolvent of $\lambda_1, \ldots, \lambda_m$ as

$$\{v/\bigcap_{1\leq j\leq m}\lambda_j(v)\}\cup\{v'/\bigcup_{1\leq j\leq m}\lambda_j(v')\mid v'\in V\wedge v'\neq v\}.$$

PROJECTION: Let $c \in \Sigma^+$ be a clause, let λ be a lemma. We call λ a projection of c, if every substlet $(\overline{v}/\overline{x}) \in c$ contains an assignment v/x, s.t. $x \in \lambda(v)$.

 σ -RESOLUTION: Let $\sigma \in \Sigma^-$ be a blocking. Write $\sigma = \{v_1/x_1, \ldots, v_n/x_n\}$ (n > 0). Let $c_1, \ldots, c_n \in \Sigma^+$ be clauses, chosen in such a way that every variable v_i occurs in c_i . For every c_i , let

 $V_i = \{ x \mid c_i \text{ contains a substlet } \overline{w}/\overline{y} \text{ which contains } v_i/x \text{ and } x \neq x_i \}.$

Then the lemma

$$\{v_1/V_1,\ldots,v_n/V_n\}$$

is called a σ -resolvent of c_1, \ldots, c_n .

The lemmas { $x/\{1,2,3\},\ y/\{2,3\}$ } and { $x/\{3,4\},\ y/\{3,4\},\ z/\{2\}$ } can resolve into { $x/\{3\},\ y/\{2,3,4\},\ z/\{2\}$ }.

Given clauses $c_1 = \{ (x, y)/(1, 2), (x, y)/(1, 1), (x, y)/(3, 3) \}$ and $c_2 = \{ (y, z)/(1, 2), (y, z)/(2, 1) \}$, and a blocking (x, z)/(1, 2), one can obtain the σ -resolvent $\{ x/\{3\}, z/\{1\} \}$.

The lemma $\lambda'_1 = \{x/\{1,3\}\}$ is a projection of c_1 . $\lambda''_1 = \{x/\{3\}, y/\{1,2\}\}$ is also a projection of c_1 .

It is easy to see that the reasoning rules are valid, which implies that every lemma that has been obtained by repeated application from the original clauses in Σ^+ and blockings in Σ^- , is valid.

Lemma 4.4. Let (Σ^+, Σ^-) be a GCSP. Let Θ be an interpretation. Let $\sigma \in \Sigma^-$ be a blocking for which $\Theta \models \sigma$. Let λ be a σ -resolvent of σ . Then Θ makes λ false.

Proof. Write $\sigma = \{v_1/x_1, \dots, v_n/x_n\}$. Let $c_1, \dots, c_n \in \Sigma^+$ be the clauses that were used in the construction of λ . Because $\Theta \models \sigma$, we know that for every i $(1 \le i \le n)$, we have $v_i\Theta = x_i$.

From the construction of the V_i , it follows that $x_i \notin V_i$. Because the variables v_i are pairwise distinct, we have $V_i = \lambda(x_i)$. It follows that $x_i \notin \lambda(v_i)$.

For all other variables v that do not occur in σ , we have $\lambda(v) = \emptyset$. We can conclude that if $\lambda(v)$ is non-empty, then v equals one of the v_i , and we have $v_i\Theta \not\in \lambda(v_i)$.

The following lemma states that substlets that are switched off, were switched off because they conflict Θ , possibly with help of a blocking.

Lemma 4.5. At every moment during Algorithm 3.3, for every refinement $(c_i \Rightarrow d_i) \in \overline{C}$, the following holds: If $s \in (d_i \setminus c_i)$, then either s is in conflict with Θ , or $\Theta \cup \{s\} \models \sigma$, for a $\sigma \in \Sigma^-$.

Proof. There are two points at which refinement can take place, **PICK 1** and **FORW 1a**. At **PICK 1**, clause c_i is refined into $\overline{v}_j/\overline{x}_j$, after which Θ is extended with $\overline{v}_j/\overline{x}_j$. If some substlet s occurs in $c_i \setminus \{\overline{v}_j/\overline{x}_j\}$, then either $s \in c_i \setminus d_i$, or $s \in d_i \setminus \{\overline{v}_j/\overline{x}_j\}$. In the first case, the desired property is inherited from the previous state, because it is an invariant. In the second case, because Θ is extended by $\overline{v}_j/\overline{x}_j$ at the same time, we can apply Lemma 2.6.

At **FORW 1a**, if $s \in d'' \setminus c_i$, then either $s \in d_i \setminus c_i$, $s \in d' \setminus d_i$, or $s \in d'' \setminus d'$. In the first case, the desired property is inherited from the previous state. In the second case, it follows from the construction of d', that s was in conflict with Θ . In the third case, it follows from the construction of d'', that there is a $\sigma \in \Sigma^-$, for which $\Theta \cup \{s\} \models \sigma$.

The following property is the essential property, for proving that Algorithm 3.3 can always return a conflict lemma.

Lemma 4.6. Let (Σ^+, Σ^-) be a GCSP. Let $c \in \Sigma^+$ be a clause. Let Θ be a substitution. Let Λ be a set of lemmas. Assume that there is no $\sigma \in \Sigma^-$, s.t. $\Theta \models \sigma$, and no $\lambda \in \Lambda$, s.t. Θ makes λ false. Assume that for every substlet $s \in c$, either

- (1) s is in conflict with Θ ,
- (2) $\Theta \cup \{s\} \models \sigma$, for $a \sigma \in \Sigma^-$, or
- (3) $\Theta \cup \{s\}$ makes $a \lambda \in \Lambda$ false.

Then it is possible to derive a conflict lemma for Θ from Σ^+ and Λ , by applying the rules in Definition 4.3.

Proof. We first remove (2) by means of σ -resolution. We will add the resulting σ -resolvents to Λ .

For every $s \in c$, for which (1), (3) do not apply, (2) must apply. Write $\sigma = \{v_1/x_1, \ldots, v_n/x_n\}$. Since (Σ^+, Σ^-) is range restricted, we can find clauses $c_1, \ldots, c_n \in \Sigma^+$, s.t. each v_i occurs in c_i . We now can construct the σ -resolvent. Write λ for the resulting lemma. It follows from Lemma 4.4 that λ is false in Θ . We can add λ to Λ . At this point, we have for every $s \in c$, either (1) or (3). The rest of the proof is Lemma 4.7.

Lemma 4.7. Let (Σ^+, Σ^-) be a GCSP. Let $c \in \Sigma^+$ be a clause. Let Θ be a substitution. Let Λ be a set of lemmas. Assume that there is no $\lambda \in \Lambda$, s.t. Θ makes λ false. Assume that for every substlet $s \in c$, either

- (1) s is in conflict with Θ , or
- (2) $\Theta \cup \{s\}$ makes $a \lambda \in \Lambda$ false.

Then it is possible, using the rules in Definition 4.3, to obtain a conflict lemma for Θ from c and Λ .

Proof. We prove the lemma by induction on the number of unassigned variables in c. Let c_1 be the part of c to which (1) applies, and let $c_2 = c \setminus c_1$.

Since each $s \in c_1$ is in conflict with Θ , one can obtain a projection μ_1 of c_1 by picking from each $s \in c_1$ an assignment v/x for which $v\Theta$ is defined and $v\Theta \neq x$. By construction, μ_1 will be false in Θ .

If there are no unassigned variables in c, then c_2 must be empty. This means that μ_1 is a projection of c and false in Θ , so we are done.

Otherwise, select a v in c that is unassigned by Θ . Let V be set of values that are assigned to v by the substlets in c_2 . Define $\mu_2 = \{v/V\}$. Clearly, μ_2 is a projection of c_2 , and $\mu = \mu_1 \cup \mu_2$ is a projection of c. For each value $x \in V$, define $\Theta_x = \Theta \cup \{v/x\}$. If there is no $\lambda \in \Lambda$, that is false in Θ_x , then c, Θ_x , Λ still satisfy the conditions of Lemma 4.7. Moreover, since Θ_x contains an assignment to v, the number of unassigned variables in c has decreased by one. This means that we can assume, by induction, that we can derive a lemma λ_x that is false in Θ_x . If λ_x is also a conflict lemma of Θ , we have completed the proof. Otherwise, we can assume that λ_x is added to Λ .

At this point, Λ contains a conflict lemma λ_x for every $\Theta \cup \{v/x\}$ with $x \in V$. Let λ be the v-resolvent of the projection μ constructed above, and the λ_x , i.e.

$$\lambda = \{ \ v/(\ \mu(v) \cap \bigcap_{x \in V} \lambda_x(v) \) \ \} \cup \{ \ v'/(\ \mu(v') \cup \bigcup_{x \in V} \lambda_x(v') \) \ | \ v' \neq v \ \}.$$

In order to show that λ is false in Θ , we have to show that for every variable v', for which $\lambda(v') \neq \emptyset$, $v'\Theta$ is defined, and $v'\Theta \notin \lambda(v')$.

- For v, we just show that $\lambda(v) = \emptyset$. We have $\mu(v) = \mu_2(v)$, because $\mu_1(v) = \emptyset$. It follows from the fact that v is undefined in Θ , and μ_1 is false in Θ . For each $x \in \mu_2(v)$, we know that λ_x is false in $\Theta \cup \{v/x\}$, which implies that $x \notin \lambda_x(v)$. This implies that x is not in the intersection of all $\lambda_x(v)$, which in turn implies $\mu(v)$ and $\bigcap_{x \in V} \lambda_x(v)$ have no elements in common.
- If $v' \neq v$ and $\lambda(v') \neq \emptyset$, then either $\lambda_x(v') \neq \emptyset$, for an $x \in V$, or $\mu(v') \neq \emptyset$. In the first case, it follows from the fact that λ_x is false in $\Theta \cup \{v/x\}$ and $v' \neq v$, that $v'\Theta$ is defined. In the second case, we know that $\mu_2(v')$ only assigns to v, so that $\mu_1(v') \neq \emptyset$. Since we know that μ_1 is false in Θ , we know $v'\Theta$ is defined.

At this point, we are certain that $v'\Theta$ is defined, so that we can start showing that $v'\Theta \not\in \mu(v') \cup \bigcup_{x \in V} \lambda_x(v')$. If $v'\Theta \in \mu(v')$, then, because μ_2 only assigns to v, we have $v'\Theta \in \mu_1(v')$ This is impossible because μ_1 is false in Θ .

We can also not have $v'\Theta \in \lambda_x(v')$, for any $x \in V$, because this would imply that $v'(\Theta \cup \{v/x\}) \in \lambda_x(v')$, which contradicts the fact that λ_x is false in $\Theta \cup \{v/x\}$.

At this point, it is straightforward to prove that Algorithm 3.3 can always derive a conflict lemma. There are two points in Algorithm 3.3 where the substitution is extended. We show for both points that it is possible to obtain a conflict lemma when the substitution is restored.

FORW 1b: The substitution Θ is extended by the common assignments in d''. Since the extension of Θ had a conflict lemma, we know that for each $s \in d''$, $\Theta \cup \{s\}$ has a conflict lemma. It follows from Lemma 4.5 that for every substlet s in $d'' \setminus \{c_i\}$, either s is in conflict with Θ , or $\Theta \cup \{s\}$ implies σ , for a blocking $\sigma \in \Sigma^-$. From Lemma 3.4, we know that there is no $\sigma \in \Sigma^-$, s.t. $\Theta \models \sigma$. It follows that we can apply Lemma 4.6 with $\Lambda = \{\lambda\}$ to obtain a conflict lemma for Θ .

PICK: Let $c_i \Rightarrow d_i$ be the refinement that was selected by PICK. Let Λ be the set of conflict lemmas that were returned by the recursive calls of **findmatch**. If there is a $\lambda \in \Lambda$ that is false in Θ , we can return λ . Otherwise, we know that no $\lambda \in \Lambda$ is false in Θ . From Lemma 3.4, we know that there is no $\sigma \in \Sigma^-$, s.t. $\Theta \models \sigma$.

By Lemma 4.5, every substlet $s \in (c_i \setminus d_i)$, is either in conflict with Θ , or there exists a $\sigma \in \Sigma^-$, s.t. $\Theta \cup \{s\} \models \sigma$. This implies that we can apply Lemma 4.6 to obtain a conflict lemma of Θ .

In an implementation of Algorithm 3.3, there is no need to follow the rules of Definition 4.3 carefully, because the conflict lemma can be constructed immediately from the premisses of Lemma 4.6.

In order to make Algorithm 3.3 reuse conflict lemmas, one has to add before **FORW 1**: If there is a $\lambda \in \Lambda$ containing variable v, s.t. Θ makes λ false, then return λ .

Integrating lemmas into the refining step of **FORW** 1 seems dificult, because the notion of connection (Definition 3.2) must be extended to include 'v and w occur together in a lemma $\lambda \in \Lambda$.' Currently we don't know how to efficiently enumerate variables that are connected through a lemma.

5. MATCHING BASED ON LOCAL CONSISTENCY CHECKING

We will discuss the matching algorithm of [5]. Its performance turned out not competitive, so we will omit most of the details, in particular the completeness proofs for learning. The algorithm is based on the fact that local consistency checking rejects a large percentage of GCSPs without backtracking.

Local consistency checking is the following procedure: For every clause $c = \{s_1, \ldots, s_n\} \in \Sigma^+$, check, for all sets of clauses C with size $S \geq 1$, if $\{s_i\} \cup C$ has a solution. If not, then remove s_i from c. Keep on doing this, until no further changes are possible or a clause has become empty. The procedure is described in detail in Section 10. Local consistency checking with small S rejects a large percentage of instances without backtracking. It therefore seemed reasonable to combine local consistency checking with backtracking in the following way:

FILTER: Apply local consistency checking. If this results in an empty clause, then backtrack to the last decision. If there are no decisions left, then report failure.

DECIDE: If every clause has become unit, then report a solution. Otherwise, pick a non-unit clause, and replace it by a singleton consisting of one of its substlets. Continue at **FILTER**. If this results in an empty clause, then backtrack through the remaining substlets of the clause.

The assumption was that local consistency checking could play the same role as unit propagation in DPLL, and that local consistency checking would be equally effective on the subproblems obtained during backtracking, as on the initial problem. This assumption turned out false. In [5], the algorithm is described for S=1, but we have implemented it for arbitrary $S \geq 1$. Note that a size of S means that ||C|| = S, so that $\{c_i\} \cup C$ has size S+1. Performance results are presented in Figure 2 in Section 8. It can be seen that, S>1 does not perform better than S=1. It rarely creates less lemmas, and it usually costs more time.

The main observation to made is that the algorithm is not close to be being competitive against Algorithm 3.3 with flat lemmas, or translation to SAT. In addition to that, it turned out rather unpleasant to implement, much harder than Algorithm 3.3. Especially S>1 is difficult to handle, because the resolution rules for obtaining lemmas become rather complicated. This does not only apply to the implementation, but also to the theoretical description.

We define the lemmas that were used by the matching algorithm, and the reasoning rules that it uses. A clause can be viewed as a special form of lemma in which the substlets have the same domain.

Definition 5.1. A lemma is a finite set of substlets, possibly with different domains.

If λ is a lemma, and Θ a substitution, then Θ makes λ true if there is a substlet $(\overline{v}/\overline{x}) \in \lambda$, s.t. Θ makes λ true. Θ makes λ false if every substlet $(\overline{v}/\overline{x}) \in \lambda$ is in conflict with Θ . We say that λ is valid relative to (Σ^+, Σ^-) , if Θ is true in every solution Θ of (Σ^+, Σ^-) . We call λ a conflict lemma if λ is false in the current Θ and valid (Σ^+, Σ^-) .

Learning was based on the following resolution rules:

Definition 5.2. Let λ_1 and λ_2 be lemmas. Let $\mu_1 \subseteq \lambda_1$, and let $\mu_2 \subseteq \lambda_2$. Assume that every $s_1 \in \mu_1$ is in conflict with every $s_2 \in \mu_2$. Then $(\lambda_1 \setminus \mu_1) \cup (\lambda_2 \setminus \mu_2)$ is a resolvent of λ_1 and λ_2 .

```
One can resolve \lambda_1 = \{ (x,y)/(1,2), (x,y)/(1,1), (x,y)/(3,3) \} with \lambda_2 = \{ (y,z)/(1,2), (y,z)/(2,1) \} based on \mu_1 = \{ (x,y)/(1,2), (x,y)/(3,3) \}, and \mu_2 = \{ (y,z)/(1,2) \}. The resolvent is \{ (x,y)/(1,1), (y,z)/(2,1) \}.
```

Definition 5.3. Let $\sigma \in \Sigma^-$ be a blocking. Let $c_1, \ldots, c_n \in \Sigma^+$ be a sequence of clauses containing all variables of σ . For each c_i , let $\rho_i = \{ s \in c_i \mid s \text{ is in conflict with } \sigma \}$. Then $\rho_1 \cup \cdots \cup \rho_n$ is a σ -resolvent of c_1, \ldots, c_n .

Using λ_1, λ_2 given above, and blocking (x, z)/(1, 2), one can obtain the σ -resolvent $\{(x, y)/(3, 3), (y, z)/(2, 1)\}$.

It is easy to see that both conflict resolution and σ -resolution are valid reasoning rules, which implies that every lemma that was derived by repeated application of resolution from the original clauses in Σ^+ , is valid.

In [5], it was shown that a matching algorithm using S=1 can always obtain a conflict lemma using resolution and σ -resolution. For S>1, an additional rule, called *product resolution* is required. Results are listed in Figure 2.

After observing that Algorithm 3.3 improves by a factor 500 when lemmas are flattened, we tried the same with the refining algorithm. Whenever a new lemma is derived, the assignments that do not contribute to conflicts are removed from the substlets. Different from Algorithm 3.3, this does not necessarily lead to a lemma consisting only of single-assignment substlets, but in most cases it does. Surprisingly, this has a strong, negative impact on the performance.

6. Translation to SAT

Translating an instance of the matching problem to SAT is easy, and modern SAT solvers have become very effective. As a consequence, translation to SAT should be attempted. In this section, we give two methods of translating GCSP into SAT. The translations are not complicated, and MiniSat [11] performs rather well on the results of the translations. Results are listed in the last two columns of Figure 1 and in Figure 3 in Section 8. The results suggest that translation to SAT has a performance that is comparable with Algorithm 3.3.

In our first translation only substlets are translated. We assign propositional variables to the substlets, specify that at least one substlet from each clause has to be selected, and list the conflicts between the substlets.

Definition 6.1. We assume a general mapping [] that transforms mathematical objects into distinct propositional variables.

Definition 6.2. Let (Σ^+, Σ^-) be GCSP. The translation into propositional logic has form (A, P), where A is a set of atoms, and P is a set of clauses over A. Assume that the GCSP has form (Σ^+, Σ^-) , assume that Σ^+ contains n clauses, and write $\{s_{i,1}, \ldots, s_{i,k_i}\}$ for the i-th clause of Σ^+ .

The set of atoms is defined as $A = \{[s_{i,j}] \mid 1 \le i \le n, 1 \le j \le k_n\}$. The clause set P is defined as follows:

- (1) For every $c_i = \{s_{i,1}, \ldots, s_{i,k_i}\} \in \Sigma^+$ $(1 \le i \le n)$, the propositional clause set P contains the propositional clause $\{[s_{i,1}], \ldots, [s_{i,k_i}]\}$, and for every j_1, j_2 $(1 \le j_1 < j_2 \le k_i)$ the clause $\{\neg[s_{i,j_1}], \neg[s_{i,j_2}]\}$.
- (2) For every pair of distinct clauses $c_{i_1}, c_{i_2} \in \Sigma^+$ that share a variable, for every substlet $s \in c_{i_1}, P$ contains the clause

$$\{ \neg [s] \} \cup \{ [s'] \in c_{i_2} \mid s' \in c_{i_2}, \text{ and } s' \text{ is not in conflict with } s \}.$$

(3) For every blocking $\sigma \in \Sigma^-$, we assume that there is a way of selecting a most suitable subset C_{σ} of Σ^+ that contains all variables of σ . Then P contains the clause

$$\{ [s] \mid \exists c \in C_{\sigma}, \text{ s.t. } s \in c \text{ and } s \text{ is in conflict with } \sigma \}.$$

The first part specifies that exactly one substlet must be selected from each $c \in \Sigma^+$. The second part specifies that if one selects a substlet s from c_{i_1} , one has to select a substlet s' from c_{i_2} that is not in conflict with s. The third part of Definition 6.2 can be viewed as an application of σ -RESOLUTION (Definition 5.3).

The second translation differs from the first translation in the fact that it does not only translate substlets, but also variable assignments. In addition to the substlets, it assigns propositional variables to variable assignments v/x. It specifies the dependencies between substlets and variable assignments. Instead of relying on σ -RESOLUTION, blockings can be specified directly in terms of the forbidden variable assignments.

Definition 6.3. Let (Σ^+, Σ^-) be a GCSP. Write $\Sigma^+ = \{c_1, \ldots, c_n\}$. Write each c_i in the form $\{s_{i,1}, \ldots, s_{i,k_i}\}$. The translation to propositional logic has form (A, P), where A is the set of atoms used in the translation, and P is the set of clauses. The set of atoms A is defined as

$$\{ [s_{i,j}] \mid 1 \leq i \leq n, \ 1 \leq j \leq k_i \} \cup \{ [v/x] \mid (v/x) \text{ occurs in a substlet in } \Sigma^+ \}.$$

The set of propositional clauses P is obtained as follows:

(1) For every clause c_i , $(1 \le i \le n)$, clause set P contains the clause $\{[s_{i,1}], \ldots, [s_{i,k_i}]\}$.

- (2) For every substlet $s_{i,j}$ with $1 \le i \le n$, $1 \le j \le k_i$, for every assignment v/x that occurs in $s_{i,j}$, clause set P contains the clause $\{ \neg [s_{i,j}], [v/x] \}$.
- (3) For every variable v that occurs in Σ^+ , for every two distinct values x_1, x_2 , s.t. v/x_1 and v/x_2 occur somewhere in substlets in Σ^+ , clause set P contains the clause $\{\neg [v/x_1], \neg [v/x_2]\}$.
- (4) For every blocking $\sigma \in \Sigma^-$, if every $(v/x) \in \sigma$ occurs somewhere in a clause in Σ^+ , then clause set P contains the clause $\{\neg [v/x] \mid (v/x) \in \sigma \}$. If some $(v/x) \in \sigma$ does not occur in Σ^+ , then σ is impossible, and there is no need to generate a clause for it.

We show correctness of Definition 6.3. If (Σ^+, Σ^-) has a solution Θ , one can define a satisfying interpretation I for (A, P) as follows:

- For $1 \le i \le n$, $1 \le j \le k_i$, set $I([s_{i,j}]) = \mathbf{t}$ iff $\Theta \models s_{i,j}$.
- For every assignment v/x occurring in a substlet s occurring in a clause c_i , set $I([v/x]) = \mathbf{t}$ iff $v\Theta = x$.

It is easily checked that I makes all clauses in Definition 6.3 true.

For the other direction, assume that (A, P) has a satisfying interpretation I. Define $\Theta = \{ (v/x) \mid I([v/x]) = \mathbf{t} \}$. By part 4, Θ does not contain conflicting assignments. By part 1 and part 2, Θ contains an assignment for every variable occurring in Σ^+ . Because of part 3, Θ does not imply a blocking $\sigma \in \Sigma^-$. By part 1 and part 2, every $c_i \in \Sigma^+$ contains one substlet that agrees with Θ .

We end the section with an example of both translations:

Example 6.4. We will translate the following GCSP. As usual, Σ^+ and Σ^- are separated by a horizontal bar.

$$(X,Y) / (0,1) | (1,0)$$

 $(Y,Z) / (0,0) | (0,1) | (1,0)$
 $(X,Z) / (0,0)$
 $(X,Z) / (1,1)$

 Σ^+ alone has three solutions:

$$\begin{array}{l} \Theta_1 = \{ \ X := 0, \ Y := 1, \ Z := 0 \ \}, \\ \Theta_2 = \{ \ X := 1, \ Y := 0, \ Z := 0 \ \}, \\ \Theta_3 = \{ \ X := 1, \ Y := 0, \ Z := 1 \ \}. \end{array}$$

The first solution is blocked by (X, Z)/(0, 0), the third solution is blocked by (X, Z)/(1, 1), so that only Θ_2 is a solution of the complete GCSP. Assume that

$$[(X,Y)/(0,1)] = 1, \ \ [(X,Y)/(1,0)] = 2, \ \ [(Y,Z)/(0,0)] = 3, \ \ [(Y,Z)/(0,1)] = 4, \ \ [(Y,Z)/(1,0)] = 5.$$

Definition 6.2 constructs the following translation:

$$\operatorname{Part} 1: \left(\begin{array}{ccc} 1 & 2 \\ 3 & 4 & 5 \\ -1 & -2 \\ -3 & -4 \\ -3 & -5 \\ -4 & -5 \end{array}\right) \quad \operatorname{Part} 2: \left(\begin{array}{ccc} -1 & 5 \\ -2 & 3 & 4 \\ -3 & 2 \\ -4 & 2 \\ -5 & 1 \end{array}\right) \quad \operatorname{Part} 3: \left(\begin{array}{ccc} 1 & 4 \\ 2 & 3 & 5 \end{array}\right)$$

The only satisfying interpretation is $\{-1, 2, 3, -4, -5\}$, which corresponds to Θ_2 . In order to apply the second translation, assume that

$$[X/0] = 6$$
, $[X/1] = 7$, $[Y/0] = 8$, $[Y/1] = 9$, $[Z/0] = 10$, $[Z/1] = 11$.

The second translation constructs

$$\operatorname{Part} 1: \left(\begin{array}{ccc} 1 & 2 \\ 3 & 4 & 5 \end{array}\right) \operatorname{Part} 2: \left(\begin{array}{ccc} -1 & 6 \\ -1 & 9 \\ -2 & 7 \\ -2 & 8 \\ -3 & 8 \\ -3 & 10 \\ -4 & 8 \\ -4 & 11 \\ -5 & 9 \\ -5 & 10 \end{array}\right) \operatorname{Part} 3: \left(\begin{array}{cccc} -6 & -7 \\ -8 & -9 \\ -10 & -11 \end{array}\right) \operatorname{Part} 4: \left(\begin{array}{cccc} -6 & -10 \\ -7 & -11 \end{array}\right)$$

Its only satisfying interpretation is $\{-1, 2, 3, -4, -5, -6, 7, 8, -9, 10, -11\}$, which again corresponds to Θ_2 .

7. An Input Format for GCSP

Since we are claiming that GCSPs are fundamental enough to study on their own, and may have applications outside of geometric resolution, we made our implementation publicly available ([7]). In this section, we define the input format for GCSP, which is used by our implementation. The format is similar to the DIMACS format for satisfiability ([1]). Similar to the DIMACS format, variables and constants are represented by integers. Since GCSP has no polarity (there is no negation), all integers are non-negative.

Definition 7.1. We define a representation for GCSP. Input is represented in plain ASCII. The format never distinguishes between upper and lower case.

- Input starts with whitespace, possibly mixed with comment lines. A comment line is a line whose first non-whitespace character is a 'c' or a 'C'. The initial comment lines are ignored.
- After that comes a line of form

p gcsp nrvars nrconsts nrclauses nrblockings

nrvars is the number of variables in the problem, nrconsts is the number of constants in the problem. Both need not be exact, but must be upperbounds. More precisely, both variables and constants are represented by non-negative integers, and nrvars,nrconsts must be bigger than any variable or constant that appears in the problem.

nrclausesmust be the exact number of clauses, and nrblockings must be the exact number of blockings.

- A clause has form V var1 ... varV S subst1 ... substS. Here V is the exact number
 of variables in the clause, and var1 ... varV are the variables, represented by nonnegative integers. Each variable must be less than nrvars.
 - S is the exact number of substlets in the clause. Each substlet is represented by a sequence of non-negative integers of length V, that specifies the values assigned to the variables, in the same order as the variables. Each value must be less than nrconsts. There must be exactly nrclauses clauses.
- Blockings are represented in the same way as clauses. Although in Definition 2.2, blockings are single substlets, it is convenient to merge blockings with identical domain into clauses, so that they can be represented more compactly.

There must be exactly nrblockings (merged) blockings. Note that it is not obligatory to merge blockings with same domain.

- Everything after the blockings is ignored, so there is room for more comments.
- Solutions are presented in the format

Here A is the number of assignments in the substitution, and each $Vi \Rightarrow Ci$ is an assignment. The assignments can be listed in arbitrary order.

Example 7.2. We represent the GCSP of Example 6.4. There are three variables X, Y, Z, which we will represent by 0, 1, 2. This means that 3 is an upperbound. There are two constants 0, 1, so that 2 is an upperbound. This is a representation:

c we did not merge the blockings

```
p gcsp 3 2 2 2

2 0 1 2 0 1 1 0
2 1 2 3 0 0 0 1 1 0

2 0 2 1 0 0
2 0 2 1 1 1
```

Since the two blockings in Example 6.4 have the same domain, the GCSP can be alternatively represented as follows:

- c this time we merged the two blockings
- c there is no difference in meaning

```
P GCSP 3 2 2 1

2 0 1 2 0 1 1 0
2 1 2 3 0 0 0 1 1 0
2 0 2 2 0 0 1 1
```

The solution Θ_2 can be output as 3 0 1 1 0 2 0. Since the order is arbitrary, it can also be output as 3 1 0 2 0 0 1.

8. Experiments

We present measurements on two benchmark sets. Both sets were obtained by running **Geo** on a few input problem, and collecting hard matching instances. The first set consists of problems that took more than an hour to solve with a naive matching algorithm. This set was used in Figures 1 and 2.

Entries in Figure 1 have form $t(\lambda)$, where t is the time used in seconds, and λ the number of lemmas generated. For the 3d and 4th column, the times are the CPU-times reported by MiniSat (Version 2.0 beta) ([11]). Since MiniSat is not integrated into **Geo**, it is difficult

Problem	Algo 3.3	Algo 3.3(flat)	Def 6.2	Def 6.3
mod01	271(42606)	0.15(2898)	0.17(8248)	0.08(3220)
mod02	138(28830)	0.11(2064)	0.19(8248)	0.12(5982)
mod03	80(21822)	0.095(1632)	0.6(20344)	0.17(5288)
mod04	32(14290)	0.062(1440)	0.05(2955)	0.028(1744)
mod05	21(11640)	0.049(1210)	0.06(5007)	0.036(1747)
$\mathbf{mod06}^*$	340(23193)	1.42(9862)	0.06(1637)	0.044(1637)
$\mathbf{mod07}^*$	703(31347)	2.05(12495)	0.14(5032)	0.098(2955)
$\mathbf{mod08}^*$	1593(42709)	3.06(17947)	0.87(20658)	0.15(5032)
$\mathbf{mod22}^*$	133(25620)	2.8(18542)	10.14(113548)	100(110445)
$\mathbf{mod23}^*$	52(17533)	2.09(15114)	75.64(230822)	8.9(58213)
$\mathrm{subst} 15^*$	0.38(4)	0.05(4)	0.07(350)	0.060(98)
$syn02^*$	0.0017(0)	0.00014(0)	0.14(0)	0.0035(0)
$syn11^*$	0.0006(4)	0.00017(2)	0.024(0)	0.0098(0)
$syn12^*$	0.0022(1)	0.00025(0)	0.13(0)	0.012(0)
$syn14^*$	3.81(1461)	0.31(1083)	0.04(0)	0.035(1634)

Figure 1: Comparing Direct Matching with SAT Translations

to measure the total time (conversion+solving). For hard problems, the conversion times are probably negligible, but for trivial problems, they may be significant (in the same order of magnitude as the solving times) because translation is quadratic. Due to the way, the benchmarks were collected, they contain no trivial problems. It can be seen from Figure 1 that translation to propositional SAT is comparable to Algorithm 3.3 with flat lemmas. We will dicuss this more in the context of Figure 3. We were not sure how to determine the number of lemmas generated during a run of MiniSat, due to the fact that it performs restarts. Currently, we simply added the numbers reported by the different restarts. Since MiniSat probably reuses lemmas between different restarts, this means that the indicated numbers are likely too high. It can be seen that nearly always, Definition 6.3 performs better than Definition 6.2.

Figure 2 shows results for the refining algorithm of [5], discussed in Section 5. It can be seen that using S>1 is hardly worth the effort, and that the refining algorithm performs somewhat worse than Algorithm 3.3 with learning of unrestricted lemmas. Since flattening of lemmas improves the performance of Algorithm 3.3 dramatically, we tried the same with the refining algorithm. Unfortunately, the last column of Figure 2 shows that flattening has a big, negative impact on the refining algorithm. That means that the refining algorithm can be ruled out as a candidate for being optimal.

Figure 3 presents another benchmark test that was obtained by running **Geo** on several input problems using Algorithm 3.3 with flat lemmas. We started by setting a short initial time $t = 10^{-4}$. Whenever a matching took more than t seconds to solve, we added it to the benchmark set, and doubled t. From several runs, we kept the last three instances generated in this way. Figure 3 shows that most of the problems obtained in this way, are also hard for MiniSat. We believe Figure 3 shows the potential of direct matching algorithms, but there are several caveats: Runs of **geo** do not generate really hard matching instances, all instances are solved within seconds, most much faster. The way of collecting problems that are hard for Algorithm 3.3 puts it at a disadvantage. For example, there may be problems

Problem	S=1	S=2	S=3	S=1 (flat)
mod01	257(104268)	256(104268)	283(104268)	1712(670938)
mod02	334(90012)	359(90012)	330(90012)	1397(585402)
mod03	148(75288)	142(75288)	150(75324)	639(464658)
mod04	42(35985)	41(35985)	46(35985)	182(194905)
mod05	39(35110)	40(35110)	43(35110)	133(190530)
$\mathbf{mod06}^*$	577(27689)	602(27689)	443(32467)	593(125993)
$\mathbf{mod}07^{*}$	946(32338)	962(32338)	669(35410)	888(155391)
$\mathbf{mod08}^*$	1580(42193)	1719(42193)	1091(39057)	1258(175607)
$\mathbf{mod22}^*$	379(30758)	355(30758)	243(26814)	62(53035)
$\mathbf{mod23}^*$	92(18228)	91(18228)	69(14662)	26(26384)
${ m subst} {f 15}^*$	0.42(43)	0.44(43)	0.66(43)	0.42(43)
syn02*	0.013(0)	0.01(0)	0.015(0)	0.012(0)
$syn11^*$	0.006(2)	0.019(26)	0.063(14)	0.006(2)
$syn12^*$	0.01(0)	0.015(0)	0.031(0)	0.008(0)
$\mathrm{syn} 14^*$	0.098(132)	0.12(126)	0.33(92)	0.0023(195)

Figure 2: Results for Matching Using Local Consistency

Figure 3: Algorithm 3.3 (flat lemmas) against Def 6.3

Algo 3.3(flat)	Def 6.3	Algo 3.3(flat)	Def 6.3
0.66(10565)	5.6(8169)	0.16(2875)	7.29(23457)
0.20(4081)	4.02(13441)	0.13(3231)	0.95(6551)
0.18(4521)	1.07(10670)	0.00013(5)	0.0(0)
0.00019(4)	0.0029(0)	0.037(1182)	0.043(2058)
0.057(317)	0.78(7478)	0.058(683)	1.89(16973)
0.147(558)	2.88(16971)	0.053(1795)	0.12(2810)
0.21(1039)	3.08(17065)	0.026(910)	0.072(1749)
0.033(1006)	0.032(1318)	0.018(402)	0.022(1299)
0.23(6308)	0.073(3210)	0.023(310)	0.101(3216)
0.026(990)	0.027(1318)	0.0655(1208)	0.11(3215)
		0.036(553)	0.069(2070)

that are hard for MiniSat, which will not enter the benchmark set. On the other hand, MiniSat is not state of the art anymore, and modern SAT solvers probably will perform better. We carefully conclude that there is a chance that in the long term, at least for some applications, our approach of directly implementing matching, may be the optimal approach.

9. FINDING OPTIMAL MATCHINGS

In this section we address the problem of finding optimal matchings. For the effectiveness of geometric resolution, it is important that a minimal matching is returned, in case more

than one exists. A minimal matching is a matching that uses the smallest possible set of assumptions. In terminology of DPLL, assumptions represent decision levels. The assumptions contributing to a conflict represent choice options, which will be replaced by other options during backtracking. In addition to being as few as possible, assumptions at a lower decision level should always be preferred over assumptions at a higher decision level. The reason for this is the fact that in other branches of the search tree, there is a risk that more assumptions will be used, and when assumptions are at a lower level, there is less room for this.

Definition 9.1. Let I be an interpretation. A weight function α is a function that assigns finite subsets of natural numbers to the atoms of I.

Let A be a geometric literal. Let Θ be a substitution such that $A\Theta$ is in conflict with I. Referring to definition 1.3, we define $\alpha(p_{\lambda}(x_1,\ldots,x_n)\Theta,I)=\alpha(p_{\mu}(x_1\Theta,\ldots,x_n\Theta))$, $\alpha((x_1\approx x_2)\Theta,I)=\{\}$, and $\alpha((\#_{\mathbf{f}}x)\Theta,I)=\alpha((\#_{\mathbf{t}}x\Theta))$.

Definition 9.2. Let I and $\phi = A_1, \ldots, A_p \mid B_1, \ldots, B_q$ together form an instance of the matching problem (Definition 1.5). Assume that Θ is a solution. The weight of Θ , for which we write $\alpha(I, \phi, \Theta)$, is defined as

$$\bigcup \left\{ \begin{array}{l} \{ \ \alpha(A_i\Theta,I) \mid 1 \leq i \leq p \} \\ \{ \ \alpha(C,I) \mid 1 \leq j \leq q, \ \ C \in E(B_j,\Theta), \ \text{and} \ C \ \text{conflicts} \ I \ \} \end{array} \right.$$

Solving optimal matching means: First establish if (I, ϕ) has a solution. If it has, then find a solution Θ for which $\alpha(I, \phi, \Theta)$ is multiset minimal.

One could try to impose further selection criteria that are harder to explain and whose advantage is less evident.

Solving the minimal matching problem is non-trivial, because the number of possible solutions can be very large. The straightforward solution is to use some efficient algorithm (e.g. the one in this paper) that enumerates all solutions, and keeps the best solution. Unfortunately, this approach is completely impractical because some instances have a very high number of solutions. One frequently encounters instances with $> 10^9$ solutions.

In order to find a minimal solution without enumerating all solutions, one can use any algorithm that stops on the first solution in the following way: The first call is used to find out whether a solution exists. If not, then we are done. Otherwise, the algorithm is called again with its input restricted in such a way that it has to find a better solution than the previous. One can continue doing this, until all possibilities to improve the solution have been exhausted. It can be shown that the number of calls needed to obtain an optimal solution is linear in the size of the assumption set of solution. In this way, it can be avoided that all solutions have to be enumerated.

Definition 9.3. Let I be an interpretation that is equipped with a weight function α . Let $\phi = A_1, \ldots, A_p \mid B_1, \ldots, B_q$ be a geometric formula. Let α be a fixed set of natural numbers. We define the α -restricted translation (Σ^+, Σ^-) of (I, ϕ) as follows:

• For every A_i , let \overline{v}_i be the variables of A_i . Then Σ^+ contains the clause

$$\{\overline{v}_i/\overline{v}_i\Theta \mid A_i\Theta \text{ is in conflict with } I \text{ and } \alpha(A_i\Theta,I)\subseteq \alpha\}.$$

• For each B_j , let \overline{w}_j denote the variables of B_j . For every Θ that makes $B_j\Theta$ true in I, Σ^- contains the substlet $\overline{w}_j/(\overline{w}_j\Theta)$. In addition, if there exists a $C \in E(B_j,\Theta)$ that is in conflict with I and for which $\alpha(C,\Theta) \not\subseteq \alpha$, then Σ^- contains the substlet $\overline{w}_j/(\overline{w}_j\Theta)$.

The α -restricted translation ensures that only conflicts involving atoms C with $\alpha(C) \subseteq \alpha$ are considered, and (independently of α), that no B_j is made true. The translation of Definition 2.4 can be viewed as a special case of α -restricted translation with $\alpha = \mathbb{N}$.

Theorem 9.4. Let (Σ^+, Σ^-) be obtained by α -restricted translation of (I, ϕ) . For every substitution Θ , Θ is a solution of (Σ^+, Σ^-) iff Θ is a solution of (I, ϕ) , and it has $\alpha(I, \phi, \Theta) \subseteq \alpha$.

Using α -restricted translation, we can define the **optimal** matching algorithm:

Algorithm 9.5. Let $\operatorname{solve}(\Sigma^+, \Sigma^-)$ be a function that returns some solution of (Σ^+, Σ^-) if it has a solution, and \bot otherwise.

We define the algorithm **optimal**(I, ϕ) that returns an optimal solution of (I, ϕ) if one exists and \bot otherwise.

- (1) Let (Σ^+, Σ^-) be the GCSP obtained by the translation of Definition 2.4. If Σ^+ contains an empty clause, then return \bot . If Σ^- contains a propositional blocking, then return \bot . Otherwise, remove unit blockings from (Σ^+, Σ^-) . If this results in Σ^+ containing an empty clause, then return \bot .
- (2) Let $\Theta = \mathbf{solve}(\Sigma^+, \Sigma^-)$. If $\Theta = \bot$, then **return** \bot .
- (3) Let $\alpha = \alpha(I, \phi, \Theta)$, and let $k := \sup(\alpha)$.
- (4) As long as $k \neq 0$, do the following:
 - Set k = k 1. If $k \in \alpha$, then do
 - Let $\alpha' = (\alpha \setminus \{k\}) \cup \{0, 1, 2, \dots, k 1\}.$
 - Let (Σ^+, Σ^-) be the α' -restricted translation of (I, ϕ) .
 - If Σ^+ contains an empty clause or Σ^- contains a propositional blocking, then skip the rest of the loop. Otherwise, remove the unit blockings from (Σ^+, Σ^-) . If this results in Σ^+ containing the empty clause, then skip the rest of the loop.
 - Let $\Theta' = \mathbf{solve}(\Sigma^+, \Sigma^-)$. If $\Theta' \neq \bot$, then set $\Theta = \Theta'$ and $\alpha = \alpha(I, \phi, \Theta)$.
- (5) Now Θ is an optimal solution, so we can **return** Θ .

Algorithm **optimal** first solves (I, ϕ) without restriction. If this results in a solution Θ , it checks for each $k \in \alpha(I, \phi, \Theta)$ if k can be removed. The invariant of the main loop is: There exists no $k' \geq k$ that occurs in $\alpha(I, \phi, \Theta)$, and no Θ' that is a solution of (I, ϕ) with $k' \notin \alpha(I, \phi, \Theta')$. In addition, the invariant $\alpha = \alpha(I, \phi, \Theta)$ is maintained.

Example 9.6. Assume that in example 1.6, the atoms have weights as follows:

$$\begin{array}{l} \alpha(\ P_{\mathbf{t}}(c_0,c_0)\) = \{1\}, \quad \alpha(\ P_{\mathbf{e}}(c_0,c_1)\) = \{2\}, \quad \alpha(\ P_{\mathbf{t}}(c_1,c_1)\) = \{3\}, \\ \alpha(\ P_{\mathbf{e}}(c_1,c_2)\) = \{4\}, \quad \alpha(\ Q_{\mathbf{t}}(c_2,c_0)\) = \{5\}. \end{array}$$

We have $\alpha(I, \phi_1, \Theta_1) = \{1\}$, $\alpha(I, \phi_1, \Theta_2) = \{1, 2\}$, and $\alpha(I, \phi_1, \Theta_3) = \{2, 3\}$. If Θ_3 is the first solution generated, **solve** will construct the $\{1, 2\}$ -restricted translation of (I, ϕ_1) , which equals

$$\frac{(X,Y) / (c_0,c_0) | (c_0,c_1)}{(Y,Z) / (c_0,c_0) | (c_0,c_1)}$$
$$\frac{(X,Z) / (c_0,c_2)}{(X,Z) / (c_0,c_2)}$$

If the next solution found is Θ_2 , then solve will construct the $\{1\}$ -restricted translation

$$\frac{(X,Y) / (c_0,c_0)}{(Y,Z) / (c_0,c_0)}$$
$$\frac{(X,Z) / (c_0,c_0)}{(X,Z) / (c_0,c_2)}$$

whose only solution is Θ_1 .

10. FILTERING BY LOCAL CONSISTENCY CHECKING

Filtering is any procedure that simplifies or possibly rejects a GCSP before the main algorithm is called. In **Geo**, we have used filtering based on local consistency checking. In earlier versions, this was effective because very often, filtering rejects a GCSP without calling the main algorithm. Since the algorithms that we present in this paper, are much more efficient, this is not certain anymore. We still present the local consistency checking procedure, because it is easy to implement using refinement stacks, and it may be still an effective tool for filtering out easy instances.

Local consistency checking (see [10, 14, 17]) is a pre-check that comes in many variations. Local consistency checking is the following procedure: For every clause $c = \{s_1, \ldots, s_n\} \in \Sigma^+$, check, for all sets of clauses C with size $S \ge 1$, if $\{s_i\} \cup C$ has a solution. If not, then remove s_i from c. Keep on doing this, until no further changes are possible or a clause has become empty. Local consistency checking rejects a large percentage of GCSP instances a priori, and usually decreases the size of the clauses involved by a factor two or three.

In [10] (Chapter 3), local consistency checking is defined using subsets of variables (instead of clauses). Using subsets of two variables is called *arc consistency checking*, while considering subsets of three variables is called *path consistency checking*. In general, using bigger subsets is a more effective precheck, but also more costly because it gets closer to the original problem.

As discussed in Section 5, we had assumed in [5] that filtering is so effective, that one can base the complete search algorithm on it. Although this is possible in theory, the resulting algorithm turned out not competitive.

Since the local consistency checks the substlets in a single clause c against sets of clauses $C \subseteq \Sigma^+$, we define the size S of a local consistency check as $S = \|C\|$. When performing a local consistency check up to size S, one has to generate subsets up to size S+1, and generate their solutions. If $\|\Sigma^+\| = n$, the total number of such subsets equals $\binom{n}{S+1}$, which grows very quickly for realistic n. The problem can be decreased by not generating all subsets, but only generate subsets whose clauses share variables, or have variables that co-occur in a blocking.

Definition 10.1. Let c, c' be clauses. We write $c \sim c'$ if either c and c' share a variable, or there exist connected (Definition 3.2) variables v and v', s.t. v occurs in c and v' occurs in c'.

It is sufficient to generate subsets that are connected, because consideration of subsets that are not connected will not lead to the removal of more substlets. We always assume that solutions are non-redundant, i.e. do not contain irrelevant assignments.

Lemma 10.2. Let (Σ^+, Σ^-) be a GCSP. Let $C \subseteq \Sigma^+$. If C can be written as $C_1 \cup C_2$, s.t. there exist no $c_1 \in C_1$ and no $c_2 \in C_2$ with $c_1 \sim c_2$, then for every two substitutions Θ_1, Θ_2 , s.t. Θ_1 is a solution of (C_1, Σ^-) and Θ_2 is a solution of (C_2, Σ^-) , $\Theta_1 \cup \Theta_2$ is a solution of $(C_1 \cup C_2, \Sigma^-)$.

Lemma 10.2 guarantees that it is not needed to attempt to remove substlets from clauses in $C_1 \cup C_2$, after C_1 and C_2 have been checked. If some substlet s in C_1 occur some solution of C_1 , and C_2 has a solution, then s will occur in the combined solution.

We will now show that instead of ignoring disconnected subsets, one can also ignore subsets that are connected only through a single clause:

Lemma 10.3. Let (Σ^+, Σ^-) be a GCSP. Assume that $C_1, C_2 \subseteq \Sigma^+$, and $c \in \Sigma^+$. Assume that for every pair of variables v_1 occurring in a clause of C_1 , and v_2 occurring in a clause of C_2 , if either $v_1 = v_2$ or v_1 and v_2 are connected, then v_1, v_2 occur in c.

Then the following holds: If Θ_1 is a solution of $(C_1 \cup \{c\}, \Sigma^-)$ and Θ_2 is a solution of $(C_2 \cup \{c\}, \Sigma^-)$, s.t. Θ_1, Θ_2 agree on the variables occurring in c, then $\Theta_1 \cup \Theta_2$ is a solution of $(C_1 \cup C_2 \cup \{c\}, \Sigma^-)$.

Proof. Assume that $\Theta_1, \Theta_2, C_1, C_2, c$ fulfill the conditions of the the lemma. By non-redundancy, Θ_1 does not contain assignments to variables not occurring in c or C_1 . Similarly, Θ_2 does not contain assignments to variables not occurring in c or C_2 . If Θ_1, Θ_2 share a variable v, then this variable must occur in v, which implies that $v\Theta_1 = v\Theta_2$. As a consequence, Θ_1 and Θ_2 can be merged into a single substitution $\Theta = \Theta_1 \cup \Theta_2$, which has $\Theta \models C_1 \cup C_2 \cup \{c\}$.

If there would be a blocking $\sigma \in \Sigma^-$, s.t. $\Theta \models \sigma$, then we still have $\Theta_1 \not\models \sigma$ and $\Theta_2 \not\models \sigma$. This implies that there are variables v_1 in $C_1 \setminus \{c\}$ and v_2 occurring in $C_1 \setminus \{c\}$, which occur together in σ . But this contradicts the fact that v_1 and v_2 cannot be connected.

As above, if some substlet $s \in C_1$ is used in a solution of $C_1 \cup \{c\}$, and $\{c\} \cup C_2$ has a solution, then the solutions can be combined into a single solution that uses s. If some substlet s of c occurs in a solution of $C_1 \cup \{c\}$ and in a solution of $\{c\} \cup C_2$, then the solutions can be combined into a single solution that still uses s.

This implies that, if one uses a local consistency checker that gives preference to small subsets, one can ignore subsets that do not contain 'cycles'. If there exist $c_1, c_2, c_3 \in C$, s.t. c_1, c_3 are not connected, and every path from c_1 to c_3 has to pass through c_2 , then C can be ignored. This gives rise to the following definition:

Definition 10.4. Let (c_1, \ldots, c_{S+1}) with $S \ge 1$ be a sequence of clauses. We call (c_1, \ldots, c_{S+1}) a circle if for every i $(i \le S)$, we have $c_i \sim c_{i+1}$, and in addition we have $c_{S+1} \sim c_1$.

If \overline{C} is a refinement stack, we call a sequence of indices (i_1, \ldots, i_{S+1}) a circle if each $\alpha_{i_j}(\overline{C})$ is true, and $(d_{i_1}, \ldots, d_{i_{S+1}})$ is a circle.

The local consistency checker checks only circles. Generation of circles in Σ^+ is easier to implement than generation of all connected subsets, especially if one wants to avoid generating the same subset in different ways. In addition, it is more efficient because there are less circles than connected subsets. The discussion above suggests that generating circles is sufficient to obtain a complete check. We have believed for some time that this is true in general, but we will show below that it is false.

Algorithm 10.5. Let $S \geq 1$ be a natural number. Let Θ be a substitution. Let \overline{C} be a refinement stack.

A call to $\mathbf{local}(s, \Theta, (k_1, \dots, k_{S+1}), \overline{C})$ constructs a refinement of \overline{C} by removing the substlets that do not occur in any solution of the subset of Σ^+ of size S+1.

It returns \perp if it establishes that Θ cannot be extended into a solution of C. Initially $s = k_1 = \cdots = k_{S+1} = 1$.

SUBST: As long as $s \leq ||\Theta||$, let v/x be the s-th assignment in Θ .

- (1) For every blocking $\sigma \in \Sigma^-$ involving v, check if $\Theta \models \sigma$. If yes, then return \bot .
- (2) For every $(c_i \Rightarrow d_i) \in \overline{C}$ which has $\alpha_i(\overline{C})$ true and which contains v, let d' be the set of substlets in d_i that are consistent with Θ . If $d' = \emptyset$, then return \bot . Otherwise, if $\emptyset \subset d' \subset d$, append $(c_i \Rightarrow d')$ to \overline{C} .

CLAUSES1: As long as $k_1 < \|\overline{C}\|$ do the following:

- (1) If $\alpha_{k_1}(\overline{C})$ is true, and the k_1 -refinement $(c_{k_1} \Rightarrow d_{k_1})$ contains a variable v, s.t. all substlets $(\overline{v}/\overline{x}) \in d_{k_1}$ agree on the assignment to v, then let x be the agreed value. Append v/x to Θ .
- (2) Set $k_1 := k_1 + 1$.

If $s \leq ||\Theta||$, then restart at **SUBST**. (This means that Θ was extended in the previous step.)

CLAUSESN: As long as there is an i with $2 \le i \le S+1$, s.t. $k_i \le ||\overline{C}||$, pick the smallest such i. If $\alpha_{k_i}(\overline{C})$ holds, then

- (1) Enumerate all circles $(\lambda_1, \ldots, \lambda_i)$ of size i starting at $\lambda_1 = k_i$. For each such circle $(\lambda_1, \ldots, \lambda_i)$, let $I = \{d_{\lambda_1}, \ldots, d_{\lambda_i}\}$.
 - Call **refine** $(I, \Theta, \overline{C})$. If the result is \bot , then return \bot . If after the call, we have $\|\overline{C}\| > k_1$, then restart at **CLAUSES1**.

Let \overline{C} be a refinement stack. Let $k = ||\overline{C}||$. Let I be a subset of $\{1, \ldots, k\}$, s.t. for every $i \in I$, $\alpha_i(\overline{C})$ holds. Algorithm **refine** $(I, \Theta, \overline{C})$ is defined as follows:

- (1) Initialize a map U with domain I by setting $U(i) = \emptyset$, for each $i \in I$. Eventually, U will map each $i \in I$ to the set of substlets in d_i , that can occur in a solution Θ' of $\{d_i \mid i \in I\}$ extending Θ .
- (2) Enumerate all maps S with domain I that map each $i \in I$ to a substlet S(i) in d_i , and that have the following properties: No S(i) conflicts Θ , no S(i), S(i') are in conflict with each other. $\Theta \cup \{S(i) \mid i \in I\}$ does not imply a blocking $\sigma \in \Sigma^-$. For each of the generated mappings S, for each $i \in I$, set $U(i) = U(i) \cup \{S(i)\}$.
- (3) For every $i \in I$, for wich $U(i) \neq d_i$, add the refinement $(c_i \Rightarrow U(i))$ to \overline{C} .

The local consistency checker gives priority to checking against the substitution. After checking for conflicts against the substitution, Algorithm 10.5 generates circles of size up to S+1, and checks for each of the substlets occurring in the clauses of such a circle, whether it can occur in a solution. Substlets that do not occur in a solution are refined away. Preference is given to small circles. This means that circles of size i+1 will be checked only after all circles up to size i have been checked.

We will discuss (and disprove) the conjecture mentioned above, that it is sufficient to check circles, when preference is given to smaller subsets. More precisely: If for a given subset $C \subseteq \Sigma^+$, all its subcircles have been checked, then C needs to be checked only if it is a circle by itself. We formally define what 'has been checked' means:

Definition 10.6. Let (Σ^+, Σ^-) be a GCSP. Let Θ be a substitution. Let C be a subset of clauses of Σ^+ . We write $\Phi(C)$ for the following property: For every clause $c \in C$, for every substlet $s \in c$, there is a solution Θ of (C, Σ^-) , s.t. $\Theta \models s$.

Algorithm 10.5 tries to establish $\Phi(C)$ for every subset C of size i up to S+1. It assumes that when $\Phi(C)$ holds for circles with size smaller than $\|C\|$, and C is not a circle, then $\Phi(C)$ automatically holds. We have believed for some time that this assumption is true, because Lemma 10.2 and Lemma 10.3 provide evidence for it, and it simplifies Algorithm 10.5. Unfortunately, the property fails at S=4, when circles have size 5.

Conjecture 10.7. Let (Σ^+, Σ^-) be a GCSP. Assume that every strict subset $C' \subset \{c_1, \ldots, c_{S+1}\}$ that can be arranged into a circle $c'_1, \ldots, c'_{S'+1}$ has property $\Phi(C')$. Then if C cannot be arranged into a circle, C has the property $\Phi(C)$.

We prove Conjecture 10.7 for S < 4, and provide a counter example for S = 4.

Proof. • S = 1 follows from Lemma 10.2.

- In order to prove S=2, assume that c_1, c_2, c_3 are clauses that do not form a circle. Without loss of generality, we may assume that $c_1 \not\sim c_3$. If we also have $c_1 \not\sim c_2$, then $\{c_1, c_2, c_3\}$ can be partitioned into $\{c_1\}, \{c_2, c_3\}$, so that Lemma 10.2 can be applied. If we have $c_1 \sim c_2$, we can apply Lemma 10.3 with $C_1 = \{c_1\}, c = c_2, C_2 = \{c_3\}$.
- We prove S = 3. We use the fact that Conjecture 10.7 holds for S < 3. Let $c_1, c_2, c_3, c_4 \in \Sigma^+$. If $\{c_1, c_2, c_3, c_4\}$ be be partitioned into two disjoints sets, we can apply Lemma 10.2, and we are done. Otherwise, if $\{c_1, c_2, c_3, c_4\}$ cannot be partitioned into disconnected sets, there are two possibilities:
 - The clauses form a line $c_1 \sim c_2 \sim c_3 \sim c_4$. If $c_1 \sim c_4$, then (c_1, c_2, c_3, c_4) is a circle, so that Conjecture 10.7 holds trivially.

Otherwise, we can still have $c_1 \sim c_3$ or $c_2 \sim c_4$. If we have both, then (c_1, c_3, c_4, c_2) is a circle, so that Conjecture 10.7 again holds trivially.

If $c_1 \not\sim c_3$, we can apply Lemma 10.3 with $C_1 = \{c_1\}$, $c = c_2$, and $C_2 = \{c_3, c_4\}$. Similarly, if $c_2 \not\sim c_4$, we can apply Lemma 10.3 with $C_1 = \{c_1, c_2\}$, $c = c_3$, and $C_2 = \{c_4\}$.

- The clauses form a kind of star with c_1 in the center: $c_1 \sim c_2$, $c_1 \sim c_3$, $c_1 \sim c_4$. For c_2 , if $c_2 \sim c_3$, nor $c_2 \sim c_4$, we can apply Lemma 10.3 with $C_1 = \{c_2\}$, $c = c_1$, $C_2 = \{c_3, c_4\}$.

If we have both of $c_2 \sim c_3$ and $c_2 \sim c_4$, then (c_2, c_3, c_1, c_4) is a circle.

In the remaining case, we may assume without loss of generality that $c_2 \sim c_3$, but also $c_2 \nsim c_4$.

This means that we have $c_2 \sim c_3, c_2 \not\sim c_4$. If $c_4 \sim c_3$, then (c_1, c_2, c_3, c_4) is a circle. If $c_4 \not\sim c_3$, then we can apply Lemma 10.3 with $C_1 = \{c_2, c_3\}, c = c_1, C_2 = \{c_4\}.$

We give a counter example for S=4.

Example 10.8. Consider the following GCSP, which has no blockings, and the following clauses:

 $(c_5) \quad (Y_1,Y_2,Y_3) \ / \ (1,0,0) \ | \ (0,1,0) \ | \ (0,0,1) \ | \ (1,1,1)$

We have $c_1 \sim c_2$, $c_1 \sim c_3$, $c_1 \sim c_4$, and $c_2 \sim c_5$, $c_3 \sim c_5$, $c_4 \sim c_5$. There are no other connections. The example can be understood as follows: Clause c_2 requires that $X_1\Theta = Y_1\Theta$. Similarly, c_3 requires that $X_2\Theta = Y_2\Theta$, and c_4 requires that $X_3\Theta = Y_3\Theta$. Clause c_1 requires that $X_1\Theta + X_2\Theta + X_3\Theta$ is even, while c_5 requires that $Y_1\Theta + Y_2\Theta + Y_3\Theta$ is odd. Since the sums must be equal, and cannot be odd and even at the same time, $(\{c_1, c_2, c_3, c_4, c_5\}, \{\})$ has no solution.

Ignoring direction and starting point, there are three circles of size 4:

$$(c_1, c_2, c_5, c_3), (c_1, c_2, c_5, c_4), (c_1, c_3, c_5, c_4).$$

Since the circles are symmetric, we show that every substlet occurring in $\{c_1, c_2, c_5, c_3\}$ can occur in a solution. One can pick the instance of c_1 and c_5 in such a way that they agree on X_1/Y_1 and X_2/Y_2 . They will disagree on X_3/Z_3 , but because c_4 is not considered, this

is no problem. After that, the instances to c_2 and c_3 are fixed. It is easily checked that c_1, c_2, c_3, c_4, c_5 cannot be arranged into a circle.

Example 10.8 contains a GCSP that would not be refined by Algorithm 10.5 with S=4, despite the fact that it has no solution. We will refrain from trying to make Algorithm 10.5 complete, because we believe that it is not worth the effort. Experiments suggest that using Algorithm 10.5 becomes too costly already at $S \geq 3$. Implementing a more elaborate check at $S \geq 3$, would make Algorithm 10.5 even more costly, and harder to implement, without much hope for improvement.

It is important to observe that even when Algorithm 10.5 is used as a precheck, it still needs to be restorable, because it may be called by Algorithm 9.5, which will turn on and off different substlets, based on α . Only the first call need not be restorable.

11. Conclusions

The problem of matching a geometric formula into an interpretation used to be the bottleneck of our implementation of geometric resolution. In order to improve this situation, we gave a translation of the matching problem into GCSP, and provided efficient approaches for solving GCSP. One approach is to solve the GCSP directly by a combination of refinement, backtracking and learning. The other approach is to translate the problem into SAT. Our experiments suggest that both approaches have comparable performance. Both approaches still have room for improvement. For translation to SAT, one could develop a dedicated SAT solver. For the direct approach using GCSP, one could add heuristics that control when learnt lemmas are forgotten, and probably it will be possible to add deep backtracking.

Independent of the relative performance of the two approaches, one can conclude that the speed of **Geo** can be improved by a very large factor, and that matching is no longer the bottleneck that hinders further development of the geometric resolution calculus.

Since GCSP may have applications outside of geometric logic, we defined an input format for GCSP, similar to DIMACS format for SAT, that can be used for independent applications. We also made the sources of our matching algorithm available.

The fact that the clause refining algorithm based on local consistency checking turned out not competitive, shows that search algorithms that appear good in theory, are not necessarily good in practice. In general, it is difficult to predict what will be the effect of a modification of a search algorithm. A seemingly small change may have a large impact on performance.

As for geometric resolution, one might argue that a calculus that uses an NP-complete problem as its basic operation is not viable, but there is room for interpretation: The complexity of the matching problem is caused by the fact that as result of flattening terms, geometric formulas and interpretations have DAG-structure instead of tree-structure. This increased expressiveness means that a geometric formula possibly represents exponentially many formulas with tree-structure. This may very well result in shorter proofs. Only experiments can determine which of the two effects will be stronger.

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