# LICS 2021 Lecture 11: Boolean Satisfiability (SAT) Solving

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January 6, 2022

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3-colouring? Yes, but no 2-colouring

### CLIQUE



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3-clique? Yes, but no 4-clique

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- Variables should be set to true or false
- Constraint  $(x \lor \neg y \lor z)$ : means x or z should be true or y false
- $\wedge$  means all constraints should hold simultaneously
- Is there a truth value assignment satisfying all constraints?

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 $\operatorname{COLOURING}$ : frequency allocation for mobile base stations

CLIQUE: bioinformatics, computational chemistry

SAT: easily models these and many other problems

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  - computer software testing
  - artificial intelligence
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- Question mentioned already in Gödel's famous letter in 1956 to von Neumann (the "father of computer science")
- Topic of intense research in computer science ever since 1960s

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  - It's 2022 now can we go beyond techniques from 1960s?

What we will cover in this lecture:

• Define more precisely the computational problem

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- Discuss possible ways to go beyond current state of the art

... And in the process also touch on some of the research being done in the Mathematical Insights into Algorithms for Optimization (MIAO) group



# Formal Description of SAT Problem

- Variable x: takes value 1 (true) or 0 (false)
- Literal  $\ell$ : variable x or its negation  $\overline{x}$  (write  $\overline{x}$  instead of  $\neg x$ )
- Clause  $C = \ell_1 \lor \cdots \lor \ell_k$ : disjunction of literals (Consider as sets, so no repetitions and order irrelevant)
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For instance, what about our example formula?

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To understand how large this number is, consider that even if every atom in the known universe was a modern supercomputer that had been running at full speed ever since the beginning of time some 13.7 billion years ago, all of them together would only have covered a completely negligible fraction of these cases by now. So we really would not have time to wait for them to finish...

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- The family of problems for which solutions are easy to check have a name: NP

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- Widely believe to be impossible to solve efficiently on computer in the worst case, but we really don't know

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#### DPLL (somewhat simplified description)

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- Set x = 1, simplify F and make recursive call
- If result in both cases "unsatisfiable", then report "unsatisfiable" and return

$$F = (x \lor z) \land (y \lor \overline{z}) \land (x \lor \overline{y} \lor u) \land (\overline{y} \lor \overline{u})$$
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Pick variables in internal nodes; terminate in leaves when falsified clause found (i.e., when conflict reached)

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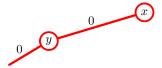


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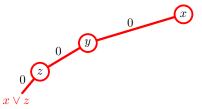


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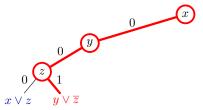


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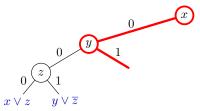


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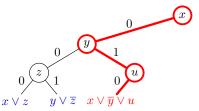


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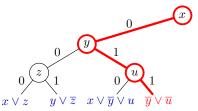


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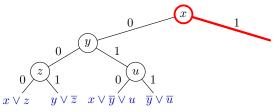


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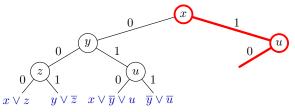


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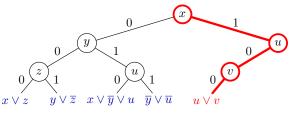


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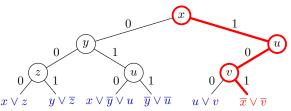


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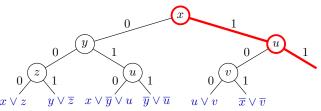


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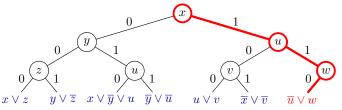


$$F = (x \lor z) \land (y \lor \overline{z}) \land (x \lor \overline{y} \lor u) \land (\overline{y} \lor \overline{u})$$
$$\land (u \lor v) \land (\overline{v}) \land (\overline{u} \lor w) \land (\overline{w} \lor w)$$

Visualize execution of DPLL algorithm as search tree

Pick variables in internal nodes; terminate in leaves when falsified clause found (i.e., when conflict reached)

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- falsified literals

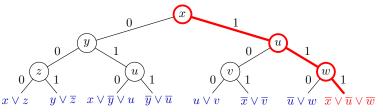


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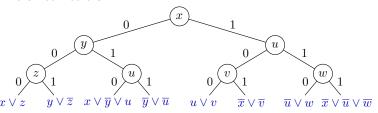


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Visualize execution of DPLL algorithm as search tree

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## State-of-the-art SAT solvers: Ingredients

Many more ingredients in modern conflict-driven clause learning (CDCL) SAT solvers (as pioneered in [MS99, MMZ+01]), e.g.:

- Branching or decision heuristic (choice of pivot variables crucial)
- When reaching leaf, compute explanation for conflict and add to formula as new clause (clause learning)
- Every once in a while, restart from beginning (but save computed info)

Let us discuss these ingredients

## Variable Assignment Heuristics

### Unit propagation

- Suppose current assignment  $\rho$  falsifies all literals in  $C = \ell_1 \vee \ell_2 \vee \cdots \vee \ell_k$  except one (say  $\ell_k$ ) C is unit under  $\rho$
- Then  $\ell_k$  has to be true, so set it to true
- Known as unit progagation or Boolean constraint progagation
- Always propagate if possible in modern solvers aim for 99% of assignments being unit propagations

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### VSIDS (Variable state independent decaying sum)

- When backtracking, score +1 for variables "causing conflict"
- Also multiply all scores with factor  $\kappa < 1$  exponential filter rewarding variables involved in recent conflicts
- When no propagations, decide on variable with highest score

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- In practice, more advanced learning schemes
- Derive new clause from clauses unit propagating on the way to conflict

Two kinds of assignments — illustrate on example formula:

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

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#### **Decision**

Free choice to assign value to variable

Notation 
$$p \stackrel{\mathsf{d}}{=} 0$$

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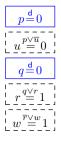
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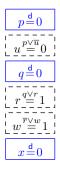
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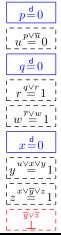
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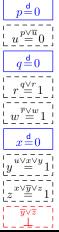
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decision level 1

level 2

#### Decision

Free choice to assign value to variable

Notation 
$$p \stackrel{\text{d}}{=} 0$$

decision

### Unit propagation

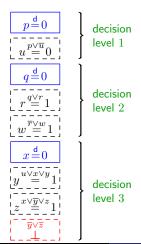
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decision level 3

Time to analyse this conflict and learn from it!

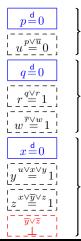
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Jakob Nordström (UCPH & LU)

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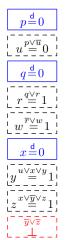
decision level 1 Could backtrack by removing last decision level & flipping last decision

decision level 2

decision level 3

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decision level 1

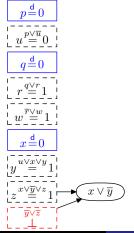
decision level 2

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But want to learn from conflict and cut away as much of search space as possible

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Could backtrack by removing last decision level & flipping last decision

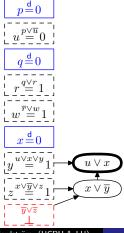
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Case analysis over z for last two clauses:

- $x \vee \overline{y} \vee z$  wants z = 1
- $\overline{y} \vee \overline{z}$  wants z = 0
- Resolve clauses by merging them & removing z must satisfy  $x \lor \overline{y}$

Time to analyse this conflict and learn from it!

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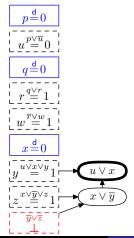
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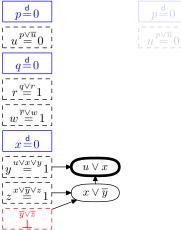
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Repeat until UIP clause with only 1 variable after last decision — learn and backjump

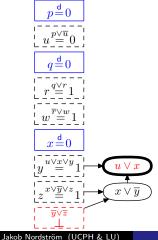
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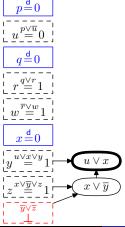


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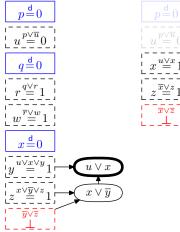


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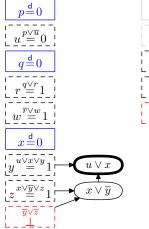


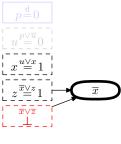


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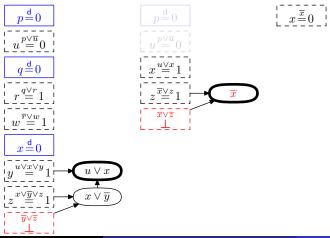


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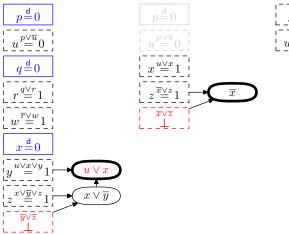




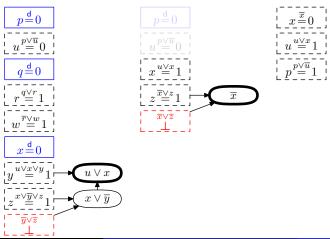
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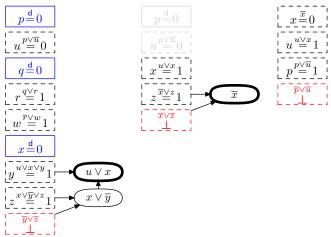
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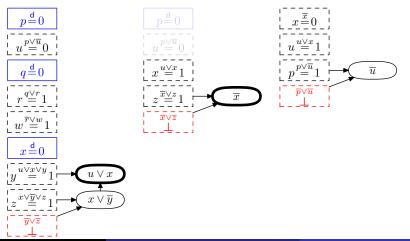
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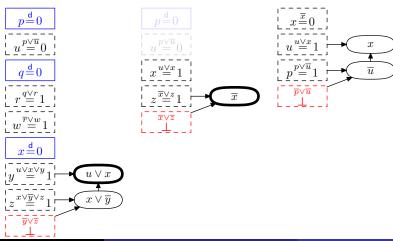
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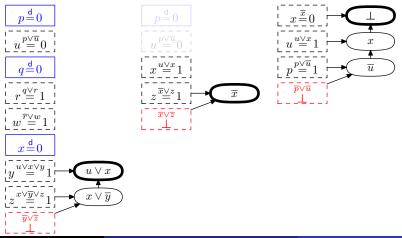
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### Clause Database Reduction

- In addition to learning clauses, also erase learned clauses that don't seem useful
- Modern solvers do this very aggressively
- Speeds up CDCL search (in particular, unit propagation, which dominates running time)
- But erasing too aggressively can throw away clauses that would have made solver terminate faster [EGG<sup>+</sup>18]
- So trade-off between search speed and search quality
- Except sometimes getting rid of clauses improves search quality too! [KN20]

#### Restarts

- Fairly frequently, start search all over (but keep learned clauses)
- Original intuition: stuck in bad part of search tree go somewhere else
- Not the reason this is done now
- Popular variables with high VSIDS scores get set again [MMZ+01]
- Are even set to same values (phase saving) [PD07]
- Current intution: improves the search by focusing on important variables
- Restart at fixed intervals or (better) make adaptive restarts depending on "quality" of learned clauses [AS09, AS12]

# CDCL Main Loop Pseudocode

#### **Algorithm 1:** CDCL(F)

```
1 \mathcal{D} \leftarrow F ; // initialize clause database to contain formula
2 
ho \leftarrow \emptyset ; // initialize assignment trail to empty
   forever do
         if \rho falsifies some clause C \in \mathcal{D} then
              A \leftarrow \mathsf{ConflictAnalysis}(\mathcal{D}, \rho, C):
 5
              if A = \bot then output UNSATISFIABLE and exit;
 6
 7
              else
                    add A to \mathcal{D} and backjump by shrinking \rho;
 8
         else if exists clause C \in \mathcal{D} unit propagating x to b \in \{0,1\} under \rho then
 9
              add propagated assignment x \stackrel{D}{=} b to \rho:
10
         else if time to restart then \rho \leftarrow \emptyset;
11
         else if time for clause database reduction then
12
              erase (roughly) half of learned clauses in \mathcal{D} \setminus F from \mathcal{D}
13
         else if all variables assigned then output SATISFIABLE and exit;
14
         else
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              use decision scheme to choose assignment x \stackrel{\mathrm{d}}{=} b to add to \rho :
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# Conflict Analysis Pseudocode

## **Algorithm 2:** ConflictAnalysis( $\mathcal{D}, \rho, C_{\text{confl}}$ )

```
1 C_{\mathrm{learn}} \leftarrow C_{\mathrm{confl}};
2 while C_{\mathrm{learn}} not UIP clause and C_{\mathrm{learn}} \neq \bot do
3 \ell \leftarrow literal assigned last on trail \rho;
4 if \ell propagated and \overline{\ell} occurs in C_{\mathrm{learn}} then
5 C_{\mathrm{reason}} \leftarrow \mathrm{reason}(\ell, \rho, \mathcal{D});
6 C_{\mathrm{learn}} \leftarrow \mathrm{resolve}(C_{\mathrm{learn}}, C_{\mathrm{reason}});
7 \rho \leftarrow \rho \setminus \{\ell\};
8 return C_{\mathrm{learn}};
```

## State-of-the-art SAT solvers: What About the Recipe?

List of ingredients again (not exhaustive):

- Variable decisions & propagations
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Why SAT solvers actually work so well is a poorly understood question

Lots of research to comprehend this better (Among other places in the MIAO group)



# SAT Solver Analysis and the Resolution Proof System

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How to make rigorous analysis of SAT solver performance? Many intricate, hard-to-understand heuristics So focus instead on underlying method of reasoning

#### Resolution proof system

- Start with clauses of CNF formula (axioms)
- Derive new clauses by resolution rule

$$\frac{C_1 \vee x \qquad C_2 \vee \overline{x}}{C_1 \vee C_2}$$

## Resolution Proofs by Contradction

Resolution rule:

$$\frac{C_1 \vee x \quad C_2 \vee \overline{x}}{C_1 \vee C_2}$$

#### Observation

If F is a satisfiable CNF formula and D is derived from clauses  $D_1, D_2 \in F$  by the resolution rule, then  $F \wedge D$  is satisfiable.

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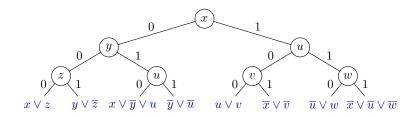
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Such proof by contradiction also called resolution refutation

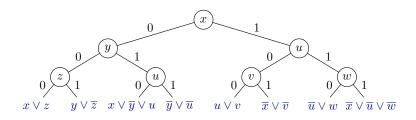
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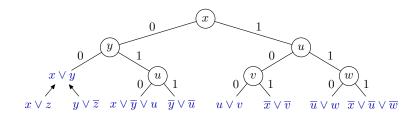
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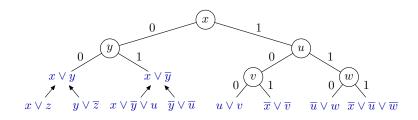
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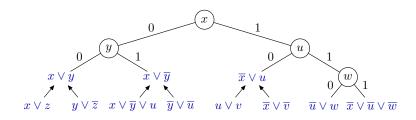
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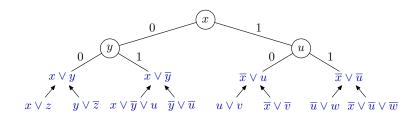
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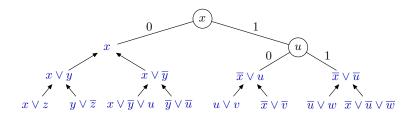


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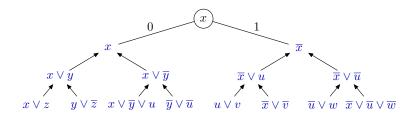
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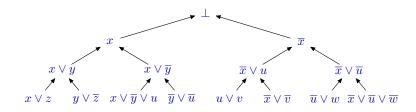
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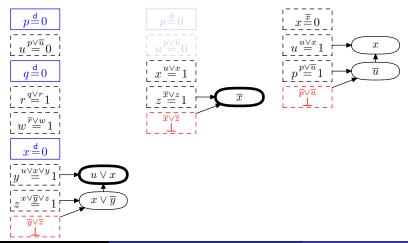
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## DPLL Running Time and Tree-Like Resolution Proof Size

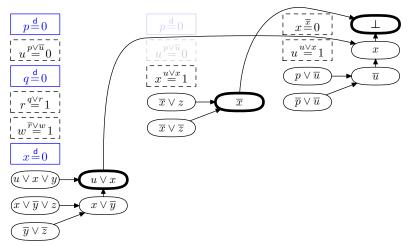
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- Conflict-driven clause learning adds "shortcut edges" in tree, but still yields resolution proof

Obtain resolution proof. . .

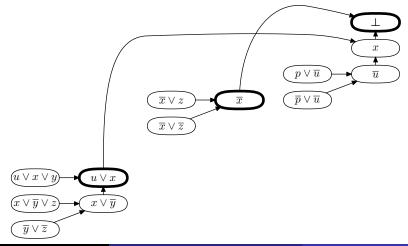
Obtain resolution proof from our example CDCL execution...



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- (\*) Except for some preprocessing techniques, which is an important omission, but this gets complicated and we don't have time to go into details...

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  - Why do heuristics work?
  - Why are applied instances easy?
- Paradox: resolution quite weak proof system; many strong proof complexity lower bounds for (seemingly) "obvious" formulas

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$$p_{i,1} \lor p_{i,2} \lor \cdots \lor p_{i,n}$$
$$\overline{p}_{i,j} \lor \overline{p}_{i',j}$$

every pigeon i gets a hole no hole j gets two pigeons  $i \neq i'$ 

Can also add "functionality" and "onto" axioms

$$\begin{split} \overline{p}_{i,j} \vee \overline{p}_{i,j'} \\ p_{1,j} \vee p_{2,j} \vee \dots \vee p_{n+1,j} \end{split}$$

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Even onto functional PHP hard — "resolution cannot count"

Resolution proof requires  $\exp(\Omega(n)) = \exp(\Omega(\sqrt[3]{N}))$  clauses (measured in terms of formula size N)

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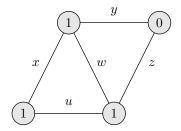
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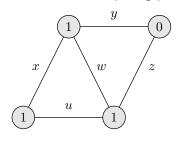
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$(u \vee x)$	$\wedge \ (y \vee \overline{z})$
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 $(u \vee x)$ 

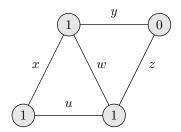
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 $\wedge (\overline{w} \vee \overline{x} \vee y) \qquad \wedge (\overline{u} \vee \overline{w} \vee z)$ 

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

Requires proof size  $\exp(\Omega(N))$  on well-connected so-called expander graphs — "resolution cannot count  $\mod 2$ "

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#### **Random** *k*-**CNF formulas** [CS88]

 $\Delta n$  randomly sampled k-clauses over n variables

 $(\Delta \gtrsim 4.5 \text{ sufficient to get unsatisfiable } 3\text{-CNF almost surely})$ 

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Again lower bound  $\exp(\Omega(N))$ 

#### And more...

- Colouring [BCMM05]
- CLIQUE and VERTEXCOVER [BIS07]
- Zero-one designs [Spe10, VS10, MN14]
- Et cetera... (See, e.g., [BN21] for overview)

## Theoretical Lower Bounds and Practical Reality

- If resolution so weak, how can CDCL SAT solvers be so good?
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- Can we go beyond resolution?
- Explore stronger methods of reasoning!
- Algorithms based on such methods could potentially lead to exponential speed-ups

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#### Derivation rules

Variable axioms 
$$\frac{\sum a_i x_i \ge A}{\sum ca_i x_i \ge cA}$$
 Multiplication  $\frac{\sum a_i x_i \ge A}{\sum ca_i x_i \ge cA}$ 

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

# Cutting Planes Refutation of CNF Formula

- Translate CNF formula to set of 0-1 linear inequalities
- Apply derivation rules
- Derive  $0 \ge 1 \Leftrightarrow$  formula unsatisfiable
- Also makes sense for more general 0-1 linear inequalities (not just translations of CNF formulas)

# Cutting Planes vs. Resolution

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$$x_1 + x_2 + x_3 + x_4 + x_5 + x_6 \ge 3$$

and

$$(x_{1} \lor x_{2} \lor x_{3} \lor x_{4}) \land (x_{1} \lor x_{2} \lor x_{3} \lor x_{5}) \land (x_{1} \lor x_{2} \lor x_{3} \lor x_{6})$$

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Construct more efficient SAT solvers using cutting planes?

# SAT Solvers Based on Cutting Planes?

So-called pseudo-Boolean solvers using (subset of) cutting planes reasoning developed in, e.g., [CK05, LP10, EN18]

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#### Challenge 1: Conjunctive normal form

- Pseudo-Boolean solvers terrible for CNF input
- Solvers can rewrite CNF to more helpful 0-1 linear inequalities [BLLM14, EN20], but this doesn't work so well in practice
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So-called pseudo-Boolean solvers using (subset of) cutting planes reasoning developed in, e.g., [CK05, LP10, EN18]

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Is it truly harder to build good pseudo-Boolean solvers?

Or has just so much more work has been put into CDCL solvers?

# So... Is There a Smarter Way Than Brute-Force?

#### In theory, probably no...

- COLOURING, CLIQUE, SAT, and 1000s other problems are "all the same" — efficient algorithm for one can solve all (the problems are all NP-complete)
- Widely believed impossible to construct algorithms that are always (a) efficient and (b) correct (even in worst case)
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Stark disconnect between theory and practice. . .

# Research Goals in the MIAO Group (1/2)

## Strengthen the mathematical analysis of algorithmic methods

- Study methods of reasoning powerful enough to capture state-of-the-art algorithms used in practice
- Prove theorems about their power and limitations
- E.g., resolution proof system captures CDCL reasoning

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#### Construct stronger algorithms for combinatorial problems

- ullet Use insights into stronger mathematical methods of reasoning to build algorithms for SAT and other combinatorial problems
- Aiming for exponential speed-ups over state of the art
- E.g., use cutting planes to build pseudo-Boolean solvers

# Research Goals in the MIAO Group (2/2)

## Improve understanding of efficient computation in practice

- Use computational complexity theory to study "real-world" (not worst-case) problems
- Combine theoretical study and empirical experiments
- E.g., take "crafted formulas" with provable theoretical properties and investigate correlation with practical solver performance

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#### Certify correctness for modern combinatorial solvers

- In many combinatorial optimization paradigms, state-of-the-art solvers are known to be buggy
- Develop methods to make solvers output not just answer but machine-verifiable proof of correctness of this answer

# Some References for Further Reading

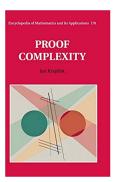
## Handbook of Satisfiability

(Especially chapter 7 ©)



[BHvMW21]

# **Proof Complexity** by Jan Krajíček



[Kra19]

And survey papers, slides, and videos at www.jakobnordstrom.se

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Thanks for listening! See you again Tuesday Jan 18!

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