# 4. SMT Technology

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# **Combinatorial Decision Making and Optimization**

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#### **SMT Solvers**

- Given a theory  $\mathcal{T}$ , a  $\mathcal{T}$ -solver is a procedure for deciding whether a conjunction of  $\mathcal{T}$ -literals is satisfiable
  - ullet  $\mathcal{T}=\mathsf{EUF},$  arithmetic, arrays, bit-vectors,...
- We can define a SMT solver as a collection of  $\mathcal{T}_i$ -solvers for different theories  $\mathcal{T}_i$ 
  - Maybe combinations of these theories
- SMT solvers can handle formulas involving variables of different sort
  - sort  $\equiv$  type (Integer, Real, Array, String, ...)
- The user interacts with SMT solver through queries
  - e.g., to check the satisfiability of a formula or add new formulas

#### **SMT Solvers**

- Nowadays plenty of SMT solvers available
  - Especially used for software analysis applications
- Some of them are "special-purpose"
  - E.g., only for solving bit-vectors or non-linear arithmetic formulas
- Some others more "general-purpose"
  - They can handle disparate theories
  - We shall see 2 of them: Z3 and CVC5

- Z3 is a well-known SMT solver with specialized algorithms for efficiently tackling several theories
  - First paper describing Z3: De Moura, L., and N. Bjørner. "Z3: An efficient SMT solver" TACAS 2008
- Z3 is open source: https://github.com/z3prover/z3
- It provides APIs for common programming languages like Python, Java, C++, .Net
  - We'll see some examples of Z3Py
  - https://ericpony.github.io/z3py-tutorial/guide-examples.htm
- Let's see some of the Z3 main features
  - From https://theory.stanford.edu/~nikolaj/programmingz3.html

# Z3Py Example

```
from z3 import *
Tie, Shirt = Bools('Tie Shirt')
s = Solver()
s.add(
    Or(Tie, Shirt),
    Or(Not(Tie), Shirt),
    Or(Not(Tie), Not(Shirt))
}
print(s.check())
print(s.model())
```

- The solver check if  $(Tie \lor Shirt) \land (\neg Tie \lor Shirt) \land (\neg Tie \lor \neg Shirt)$  is satisfiable, and in case prints a model
  - Is this formula satisfiable?

tie\_shirt.py

# Z3Py Example

```
from z3 import *
Tie, Shirt = Bools('Tie Shirt')
s = Solver()
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Or(Tie, Shirt),
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```

- The solver check if  $(Tie \lor Shirt) \land (\neg Tie \lor Shirt) \land (\neg Tie \lor \neg Shirt)$  is satisfiable, and in case prints a model
  - Is this formula satisfiable?

```
sat
! [Tie = False, Shirt = True]
```

#### Z3 Sorts

- Z3 handles different sorts apart from built-in Bool, e.g.
  - Int
  - Real
  - BitVec
  - Array
  - String
- Formulas are terms of Bool sort. They may include (un-)interpreted functions and constants. E.g., in:

```
B = BoolSort() ; Z = IntSort()
f = Function('f', B, Z) ; g = Function('g', Z, B)
a = Bool('a')
solve(g(1+f(a)))
```

we have  $f: \mathbb{B} \to \mathbb{Z}, g: \mathbb{Z} \to \mathbb{B}, a \in \mathbb{B}$ , with  $\mathbb{B} = \{true, false\}$  and we ask if g(1 + f(a)) is satisfiable

Here fml corresponds to formula:

$$x + 2 = y \implies f(write(A, x, 3)[y - 2]) = f(y - x + 1)$$

so Not(fml) is:

$$x + 2 = y \land f(write(A, x, 3)[y - 2]) \neq f(y - x + 1)$$

Is Not(fml) satisfiable?

# EUF theory

• Z3 supports several well-known theories. The "baseline" is the EUF theory. E.g., we can write something like:

Is this formula satisfiable?

euf.py

### EUF theory

 Z3 supports several well-known theories. The "baseline" is the EUF theory. E.g., we can write something like:

Is this formula satisfiable? Yes. The returned model is:

This is computed with a standard congruence closure procedure

### Arithmetic theory

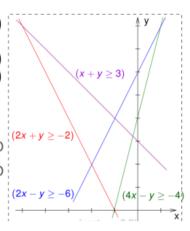
• Arithmetical constraints are clearly fundamental. Z3 has different procedures according to which fragment of arithmetic is used:

Logic	Description	Solver	Example
LRA	Linear Real Arithmetic	Dual Simplex [28]	$x + \frac{1}{2}y \le 3$
LIA	Linear Integer Arithmetic	Cuts + Branch	$a+3b \leq 3$
LIRA	Mixed Real/Integer	[7, 12, 14, 26, 28]	$x + a \ge 4$
IDL	Integer Difference Logic	Floyd-Warshall	$a-b \le 4$
RDL	Real Difference Logic	Bellman-Ford	$x - y \le 4$
UTVPI	Unit two-variable / inequality	Bellman-Ford	$x + y \le 4$
NRA	Polynomial Real Arithmetic	Model based CAD [42]	$x^2 + y^2 < 1$
NIA	Non-linear Integer Arithmetic	CAD + Branch [41]	$a^2 = 2$
		Linearization [15]	

 $\mathsf{CAD} = \mathsf{Cylindrical} \ \mathsf{Algebraic} \ \mathsf{Decomposition}$ 

- If we need to precisely model finite precision arithmetic, then using fixed-width bit-vectors is probably a better choice
  - Z3 handles bit-vectors with eager SAT encoding (bit-blasting)

```
\varphi \stackrel{\text{def}}{=} (\neg A_1 \lor (2x + y \ge -2))
     \land (A_1 \lor (x+y>3))
    \wedge \quad (\neg A_2 \lor (4x - y \ge -4))
    \land (A_2 \lor (2x - y \ge -6))
from z3 import *
x, y = Ints('x y')
A1, A2 = Bools('A1 A2')
s = Solver()
s.add(Or(Not(A1), 2*x + y >= -2))
s.add(Or(A1, x + y >= 3))
s.add(Or(Not(A2), 4*x - y >= -4))
s.add(Or(A2, 2*x - y >= -6))
print(s.check())
print(s.model())
```



 $ex_lia.py$ 

```
\varphi \stackrel{\text{def}}{=} (\neg A_1 \lor (2x + y \ge -2))
      \land \quad (A_1 \lor (x+y \ge 3)) \\ \land \quad (\neg A_2 \lor (4x-y \ge -4)) 
                                                          (x+y\geq 3)
     \land (A_2 \lor (2x - y > -6))
from z3 import *
x. v = Ints('x v')
A1, A2 = Bools('A1 A2')
s = Solver()
s.add(Or(Not(A1), 2*x + y >= -2))
s.add(Or(A1, x + y >= 3))
s.add(Or(Not(A2), 4*x - y >= -4))
s.add(Or(A2, 2*x - y >= -6))
                                                                    (4x - y \ge -4)
print(s.check())
print(s.model())
```

[A1 = True, 
$$x = -1$$
, A2 = False,  $y = 1$ ] (note we are not optimizing here)

#### Other theories

- Z3 offers a number of other theories:
  - Arrays
    - Via reduction to EUF
  - Floating points
    - Via reduction to Bit-vectors
  - Algebraic Datatypes
    - Captures the theory of finite trees
  - String and Sequences
    - Theory of free monoids + specific operations (length, replace, ...)

- Z3 allows incremental solving via push and pop operations
  - This creates local scopes: assertions added within a "push" are retracted on the matching "pop"
  - CP solvers don't have (yet) this capability!

```
p, q, r = Bools('p q r')
s = Solver()
s.add(Implies(p,q))
s.add(Not(q))
print(s.check()) # sat: p->q /\ !q
s.push()
s.add(p) # unsat: p->q /\ !q /\ p
print(s.check())
s.pop() # sat: p->q /\ !q
print(s.check())
```

### Z3 and optimization

- Z3 enables OMT via the Optimize module in 2 ways:
  - By specifying an objective function
  - Via soft constraints
- The objective function is either a linear arithmetical term or a bit-vector term
- Soft constraints are assertions that the solver can ignore. The goal is maximizing the satisfied soft constraints
  - MaxSMT
- Soft constraints might have an optional weight. In this case the goal is minimizing the sum of the weights of unsatisfied constraints

#### [w. pure-literal filt. ⇒ partial assignments]

• OMT( $\mathcal{LRA}$ ) problem:

$$\varphi \stackrel{\text{def}}{=} (\neg A_1 \lor (2x + y \ge -2))$$

$$\land (A_1 \lor (x + y \ge 3))$$

$$\land (\neg A_2 \lor (4x - y \ge -4))$$

$$\land (A_2 \lor (2x - y \ge -6))$$

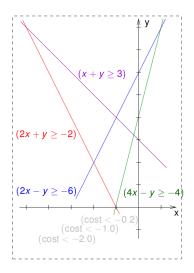
$$\land (\cos t < -0.2)$$

$$\land (\cos t < -1.0)$$

$$\land (\cos t < -2.0)$$

$$\cosh \stackrel{\text{def}}{=} x$$

$$\phi = \begin{cases} A_1, \neg A_1, A_2, \neg A_2, \\ (4x - y \ge -4), \\ (x + y \ge 3), \\ (2x + y \ge -2), \\ (\cos t < -0.2) \\ (\cos t$$



```
from z3 import *
 x, y = Reals('x y')
 A1, A2 = Bools('A1 A2')
s = Optimize()
 s.add(Or(Not(A1), 2*x + y >= -2))
 s.add(Or(A1, x + y >= 3))
 s.add(Or(Not(A2), 4*x - y \ge -4))
 s.add(Or(A2, 2*x - y >= -6))
 z = s.minimize(x)
 print(s.check())
 print(s.model())
 print(z.value())
```

omt.py

```
from z3 import *
x, y = Reals('x y')
A1, A2 = Bools('A1 A2')
s = Optimize()
s.add(Or(Not(A1), 2*x + y \ge -2))
s.add(Or(A1, x + y >= 3))
 s.add(Or(Not(A2), 4*x - y \ge -4))
 s.add(Or(A2, 2*x - y >= -6))
z = s.minimize(x)
print(s.check())
 print(s.model())
! print(z.value())
 sat
[A1 = True, y = 2, x = -2, A2 = False]
-2
```

#### **CVC**

- Many other SMT solvers exist apart from Z3
  - https://smt-comp.github.io/2023/
- A well-known family of SMT solvers is CVC\* (Cooperating Validity Checker), a saga originated at Stanford University
  - CVC (2002)
  - CVC Lite (2004)
  - CVC3 (2007)
  - CVC4 (2011)
  - CVC5 (2022): Barbosa, H., et al. "cvc5: A Versatile and Industrial-Strength SMT Solver." International Conference on Tools and Algorithms for the Construction and Analysis of Systems 2022.

#### CVC5

- CVC5 is a major improvement of CVC4 1.8 (final CVC4 version)
  - New APIs, theories, solvers and procedures
- It provides strong performance on industrial use cases
- It is open-source: https://github.com/cvc5/cvc5
  - Releases: https://github.com/cvc5/cvc5/releases
- It can be programmed via APIs (C++,Java,Python) or executed in interactive mode
  - Documentation: https://cvc5.github.io/docs/cvc5-0.0.11
  - Optimization not supported, but they're working on that: https://arxiv.org/abs/2404.16122

#### SMT-LIB

- What solver should we use? Z3? CVC5? Both? None of them?
  - Yices2, Vampire, Bitwuzla, (Opti)MathSAT, ...
- Clearly each SOTA solvers has strengths and weaknesses, selecting the best of them for an unforeseen SMT formula is not trivial
  - Algorithm Selection problem
- Surely we shouldn't write n > 1 programs for solving the same formula with n solvers
  - Model once, solve everywhere
- Need for standardization

#### SMT-LIB

- SMT-LIB initiative started in 2003 to:
  - Provide rigorous descriptions of SMT theories
  - Develop and promote common languages for SMT solvers.
  - Connect developers, researchers and users of the SMT community
  - Establish and make available benchmarks for SMT solvers.
  - Collect and promote software tools useful to the SMT community
- SMT-LIB website: https://smtlib.cs.uiowa.edu/
- SMT-LIB 2.6 specifications: https://link.springer.com/ content/pdf/bbm%3A978-3-662-50497-0%2F1.pdf

# SMT-LIB language

- SMT-LIB uses a parenthesized prefix notation (similar to LISP)
  - Designed to be machine-readable rather than human-readable
  - E.g. (= (+ a b) c) or (< (f x) (g y z))
- 3 main components: theory declarations, logic declarations, scripts
- SMT-LIB theories are defined by sorts and functions
  - Predicates 
     ≡ Bool-valued functions
  - E.g., theory of Ints, Reals, ...
- SMT-LIB logic = Theory declarations + restrictions on formulas
  - E.g., QF\_IDL logic is based on theory of Ints and restricts (in)equalities to be of the form  $x y \bowtie k$  with  $\bowtie \in \{=, \neq, <, \leq, \geq, >\}$

#### Theory of integers

```
theory Ints
:smt-lib-version 2.6
:smt-lib-release "2017-11-24"
:written-by "Cesare Tinelli"
:date "2010-04-17"
:last-updated "2015-04-25"
"Note: history only accounts for content changes, not release changes.
2015-04-25 Updated to Version 2.5.
:sorts ((Int 0
:funs ((NUMERAL Int)
       (- Int Int)
        (- Int Int Int :left-assoc) ; subtraction
        + Int Int Int :left-assoc
        * Int Int Int :left-assoc
        div Int Int Int :left-assoc
        mod Int Int Int
        abs Int Int
        <= Int Int Bool :chainable
        < Int Int Bool :chainable
        >= Int Int Bool :chainable
        > Int Int Bool :chainable
```

#### Integer difference logic

```
logic QF IDL
:smt-lib-version 2.6
:smt-lib-release "2017-11-24"
:written-by "Cesare Tinelli"
:date "2010-04-30"
:last-updated "2015-04-25"
2015-04-25 Updated to Version 2.5.
:theories ( Ints
:language
"Closed quantifier-free formulas with atoms of the form:
  - op is <, <=, >, >=, =, or distinct,
  - x, y are free constant symbols of sort Int,
```

### SMT-LIB syntax

- set-logic specifies the logic
  - E.g. (set-logic QF\_IDL) or (set-logic QF\_LRA)
- declare-fun introduces a new function symbol, so it can be used to declare variables too (variables = uninterpreted constants)
  - E.g., function (declare-fun f (Int Int) Bool) or variable (declare-fun x () Real)
  - Command (declare-const x () Real) is also available
- assert specifies formulas, and check-sat checks the satisfiability of all the specified formulas
  - E.g.,(assert (= (+ a b) c))
- Others: (set-option :produce-models true), (get-model), (get-unsat-core (x)),...

# SMT-LIB script

This is an example of SMT-LIB script, i.e., a sequence of commands

```
(set-logic QF_LRA)
(set-option :produce-models true)
(declare-fun x () Real)
(declare-fun v () Real)
(declare-fun A1 () Bool)
(declare-fun A2 () Bool)
(assert (or (not A1) (>= (+ (* 2 x) y) (- 2))))
(assert (or A1 (>= (+ x y) 3)))
(assert (or (not A2) (>= (-(*4x)y)(-4)))
(assert (or A2 (>= (-(*2 x) y) (-6))))
(check-sat)
(get-model)
```

• It encodes  $A1 \Rightarrow 2x + y \ge -2 \land \neg A1 \Rightarrow x + y \ge 3 \land A2 \Rightarrow 4x - y \ge -4 \land \neg A2 \Rightarrow 2x - y \ge -6$ 

ex\_lra.smt2

# SMT-LIB script

```
$ z3 ex_lra.smt2
sat
  (define-fun A1 () Bool true)
  (define-fun y () Real (/ 13.0 5.0))
  (define-fun x () Real (- (/ 3.0 5.0)))
  (define-fun A2 () Bool false)
$ cvc5 ex lra.smt2
sat
  (define-fun x () Real (/ 4 3))
  (define-fun y () Real (/ 28 3))
  (define-fun A1 () Bool false)
  (define-fun A2 () Bool true)
```

#### Assertion stack

- SMT solvers react to commands by modifying an assertion stack
- Each stack element is called level and consists of a set of assertions
  - formulas + declarations/definitions of sorts and functions
- By default a new assertion always belongs to the current level
  - In the example above, only 1 level
- Levels can be added and removed with push and pop commands
  - pop removes all level assertions, including declarations/definitions

```
(declare-fun x () Real)
(declare-fun y () Real)
(push 1)
(declare-fun A () Bool)
(assert (or (not A) (>= (+ (* 2 x) y) (- 2))))
(assert (or A (>= (- (* 4 x) y) (- 4))))
(check-sat)
(get-model)
(pop 1)
(declare-fun A () Int)
(assert (or (< A 0) (>= (-(*4x)y)(-4)))
(assert (or (>= A 0) (< (- (* 2 x) y) (- 6))))
(check-sat)
(get-model)
```

ex\_lra2.smt2

- In the above example we have 2 levels
- After (push 1), one decision level including declarations for Boolean variable A and  $\{A \Rightarrow 2x + y \ge -2, A \Rightarrow 4x y \ge -4\}$  is pushed on assertion stack
  - Then we check for satisfiability and ask for a model
- After (pop 1), the last decision level is removed from the stack, so A
  can be declared again, this time with a different sort (Int)
  - Then we check again for satisfiability and ask for a model

```
$ cvc5 -i --produce-models ex_lra2.smt2
sat
(define-fun x () Real (/ (- 9) 8))
(define-fun y () Real (/ (- 1) 2))
(define-fun A () Bool false)
sat
(define-fun x () Real 0.0)
(define-fun y () Real 8.0)
(define-fun A () Int (- 1))
```

### SMT-LIB and optimization

- Standard SMT-LIB does not have an explicit support to optimization
- One possible workaround is to implement an offline OMT approach
  - SMT solvers as black-boxes
- SMT solver should be in incremental mode avoiding to restart each time a new bound is found
- In binary search mode, one should use push/pop primitives

# Offline $OMT(\mathcal{LRA})$

```
Algorithm 1 Offline OMT(\mathcal{LA}(\mathbb{Q})) Procedure based on Mixed Linear/Binary Search.
Require: \langle \varphi, \cos t, b, ub \rangle \{ub \ can \ be +\infty, b \ can \ be -\infty \}
 1: I \leftarrow Ib: u \leftarrow ub: PIV \leftarrow T: M \leftarrow \emptyset
 2: φ ← φ ∪ {¬(cost < I), (cost < u)}</p>

 while (| < u ) do</li>

            if (BinSearchMode()) then {Binary-search Mode}
 5:
                   pivot \leftarrow ComputePivot(I, u)
                   PIV \leftarrow (cost < pivot)
 6:
                  \varphi \leftarrow \varphi \cup \{PIV\}
                   \langle res, \mu \rangle \leftarrow SMT.IncrementalSolve(\varphi)
                   \eta \leftarrow \mathsf{SMT}.\mathsf{ExtractUnsatCore}(\varphi)
10:
            else {Linear-search Mode}
                   \langle res, \mu \rangle \leftarrow SMT.IncrementalSolve(\varphi)
11:
12:
                   n \leftarrow \emptyset
13:
            end if
14:
            if (res = SAT) then
                   \langle \mathcal{M}, \mathsf{u} \rangle \leftarrow \mathsf{Minimize}(\mathsf{cost}, \mu)
                                                                      u = current best bound
15:
                   \varphi \leftarrow \varphi \cup \{(cost < u)\}
16:
17:
            else { res = UNSAT }
18:
                   if (PIV \notin n) then
                                                             Linear search completed
19:
20:
                   else
21:
                         I ← pivot
                                                            Updating binary search pivot
                         \varphi \leftarrow \varphi \setminus \{PIV\}
23:
                         \varphi \leftarrow \varphi \cup \{\neg PIV\}
24:
                   end if
25.
            end if
26: end while
27: return (M, u)
```

From R. Sebastiani, S. Tomasi: *Optimization Modulo Theories with Linear Rational Costs.* ACM Trans. Comput. Log. 16(2): 12:1-12:43 (2015)

#### SMT-LIB ← MiniZinc

- One may think to SMT-LIB as the SMT equivalent of MiniZinc language for CP problems
- SMT-LIB is actually "lower-level", more similar to FlatZinc language
  - MiniZinc models, together with optional data and solver-specific redefinitions, are compiled into FlatZinc instances
- Translating SMT-LIB → MiniZinc is quite straightforward, except that MiniZinc does not support all the standard SMT-LIB theories
  - E.g., theory of arrays and strings not officially supported by MiniZinc
  - Global constraints likely lost
- One can translate SMT-LIB → FlatZinc, if target solver is known or simply ignored

#### SMT-LIB ← MiniZinc

- An early proposal to convert FlatZinc → SMT-LIB by Bofill et al. is fzn2smt, used by Yices SMT solver in MiniZinc Challenges 2010–2013
  - Based on obsolete MiniZinc versions and no longer maintained
- A prototypical converter SMT-LIB → MiniZinc called smt2mzn-str was developed by G. Gange for solving string constraints
  - String support in MiniZinc is still experimental
- Contaldo et al. proposed 2 compilers STM-LIB ↔ FlatZinc called fzn2omt and omt2fzn
  - Contaldo, F. et al. "From MiniZinc to Optimization Modulo Theories, and Back". CPAIOR 2020.
  - They use the default MiniZinc → FlatZinc decomposition for global constraints and SMT-LIB with optimization extensions

# Writing SMT-LIB

- From SMT-LIB standard: "...Preferring ease of parsing over human readability is reasonable in this context not only because SMT-LIB benchmarks are meant to be read by solvers but also because they are produced in the first place by automated tools like verification condition generators or translators..."
- One may write a SMT-LIB instance manually...
  - Tricky prefix notation, impractical for large instances
- ...or define an ad hoc script producing a SMT-LIB instance
  - E.g., Bash or Python script
- ...or define the instance with Z3 and then use Z3's API to generate a corresponding SMT-LIB instance
  - E.g., Z3Py + to\_smt2() method of Solver class
  - Easier writing, no need to define ad hoc script
  - Translation may introduce additional variables

# Z3Py Example

```
from z3 import *
Tie, Shirt = Bools('Tie Shirt')
s = Solver()
s.add(
   Or(Tie, Shirt),
   Or(Not(Tie), Shirt),
   Or(Not(Tie), Not(Shirt))
)
print(s.to_smt2())
print(s.dimacs())
```

- to\_smt2 returns the SMT-LIB instance for solver's assertions
- dimacs returns the DIMACS instance for solver's assertions

 $tie\_shirt.py$ 

### SMT-LIB output

```
; benchmark generated from python API
(set-info :status unknown)
(declare-fun Shirt () Bool)
(declare-fun Tie () Bool)
(assert
  (or Tie Shirt))
(assert
  (let (($x8 (not Tie)))
  (or $x8 Shirt)))
(assert
  (let (($x8 (not Tie)))
  (or $x8 (not Shirt))))
(check-sat)
```

 Note the introduction of \$x8, a local variable defined through the let binder

# DIMACS output

```
p cnf 2 3
1 2 0
-1 2 0
-1 -2 0
c 1 Tie
c 2 Shirt
```

- Header p cnf 2 3 means CNF formula with 2 variables and 3 clauses
- Follows one clause per line, terminated with 0
  - 1 2 0 is the clause  $x_1 \vee x_2$
  - -1 2 0 is the clause  $\neg x_1 \lor x_2$
  - -1 -2 0 is the clause  $\neg x_1 \lor \neg x_2$
- Each line that begins with c is a comment

#### **Exercises**

- CVC5 + IDL Theory project: write C++ code
   https://github.com/cvc5/cvc5/blob/idl-lab/project.md
- Define SMT-LIB specifications for well-known NP-Hard problems (subset-sum, knapsack, TSP, ...) and solve with different SMT solvers
- Take some MiniZinc models and manually translate to SMT-LIB https://github.com/MiniZinc/minizinc-benchmarks
  - compare with fzn2omt translation https://github.com/PatrickTrentin88/fzn2omt

#### Resources

- Z3 solver
  - Programming Z3. N. Bjørner, L. de Moura, L. Nachmanson, and C. Wintersteiger
     https://theory.stanford.edu/~nikolaj/programmingz3.html
  - https:
    //ericpony.github.io/z3py-tutorial/guide-examples.htm
- CVC5 solver
  - https://cvc5.github.io/
  - https://github.com/cvc5/cvc5
- SMT-LIB initiative
  - https://smtlib.cs.uiowa.edu/
  - https://smtlib.cs.uiowa.edu/papers/smt-lib-reference-v2. 6-r2017-07-18.pdf