

# Efficient Algorithms for Frequently Asked Questions

## 8. Solving SAT

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**DaST**   
Data • (Systems+Theory)

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## Agenda for This Lecture

We look at SATisfiability of CNF formulas through FAQ glasses

- Classical SAT solver: The DPLL procedure
  - Logical Resolution
- Connection to solving FAQs over the Boolean semiring

SAT instances with acyclic hypergraphs

- Are  $\alpha$ -acyclic SAT instances solvable efficiently?
- Solving  $\beta$ -acyclic SAT instances efficiently

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Example: Consider the Boolean formula  $F$  over variables  $x_1, x_2, x_3, x_4$ :

$$F = (x_1 \vee \neg x_2) \wedge (x_2 \vee x_3 \vee \neg x_4) \wedge (\neg x_2 \vee \neg x_3)$$

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- $F$  is a conjunction ( $\wedge$ ) of **clauses**, each clause is a disjunction ( $\vee$ ) of **literals**
  - Example of clause:  $(x_1 \vee \neg x_2)$
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  - **Single-phase variables** occur either only positively or only negatively, e.g.,  $\neg x_4$
- Possible satisfying assignment:  $x_2 = 0, x_3 = 1$ , anything else for  $x_1, x_4$

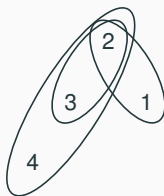
Any SAT instance can be immediately encoded in FAQ over the Boolean semiring

- Each variable in the CNF formula becomes a variable in the FAQ expression
- One factor per clause, mapping (non-)satisfying assignments to 1 (resp. 0)

$$F = \underbrace{(x_1 \vee \neg x_2)}_{\psi_{12}(x_1, x_2)} \wedge \underbrace{(x_2 \vee x_3 \vee \neg x_4)}_{\psi_{234}(x_2, x_3, x_4)} \wedge \underbrace{(\neg x_2 \vee \neg x_3)}_{\psi_{23}(x_2, x_3)}$$

$$\phi() = \bigvee_{x_1, x_2, x_3, x_4} \psi_{12}(x_1, x_2) \wedge \psi_{234}(x_2, x_3, x_4) \wedge \psi_{23}(x_2, x_3)$$

- Hypergraph: One hyperedge per clause, one node per variable (disregard  $\neg$ )



## Representation of Factors for Clauses (1/2)

Trivial representation: **Truth table** of variables in the clause

- The factor corresponding to a clause has one tuple per satisfying assignment of the variables
- Example: The clause  $(x_2 \vee x_3 \vee \neg x_4)$  is represented by the factor

$x_2$	$x_3$	$x_4$	$\psi_{234}(x_2, x_3, x_4)$
0	0	0	1
0	1	0	1
1	0	0	1
1	1	0	1
0	1	1	1
1	0	1	1
1	1	1	1

The only assignment that is not satisfying:  $x_2 = 0, x_3 = 0, x_4 = 1$

Problems with this representation:

- For a clause with  $n$  variables, the factor can have up to  $2^n$  tuples
- Yannakakis/LFTJ take time proportional to factor sizes, so exponential in  $n$



## Representation of Factors for Clauses (2/2)

Compact, natural representation: **The clause itself**

- + Only takes  $O(n)$  size, where  $n$  is the number of variables
- - Cannot represent arbitrary relationships between the variables
  - Cannot represent the result of semi-join reduction used by Yannakakis
  - Cannot represent factors defined by marginalisation of variables over clauses
  - Can only represent a disjunction of literals

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We want a variable-marginalisation algorithm, much like LFTJ

- Marginalise out one variable at a time
  - Special case: Single-phase variables
  - General case: Resolution
- Special case for clauses: Conjunction of contradicting unit-clauses
- Special case for clauses: Tautological clauses

# The DPLL Procedure

## The Davis-Putnam (DP) Algorithm (1960): Building Block 1/4

1. Find every single-phase variable and eliminate its clauses

$$(\neg x_1 \vee \neg x_2 \vee \neg x_4) \wedge (x_1 \vee \neg x_3 \vee \neg x_4) \wedge (\neg x_1 \vee \neg x_2 \vee x_4) \wedge (\neg x_1 \vee \neg x_4 \vee \neg x_5) \wedge (\neg x_1 \vee x_3 \vee x_5)$$

Variable  $x_2$  only occurs negatively: Set  $\neg x_2 = 1$  and eliminate the clauses

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This filtering done in time linear in the number of clauses and variables

- Simulated by plain variable marginalisation in FAQ:

$$\psi_{134}(x_1, x_3, x_4) \wedge \psi_{135}(x_1, x_3, x_5) \wedge \psi_{145}(x_1, x_4, x_5) \wedge \underbrace{\bigvee_{x_2} \psi_{124}(x_1, x_2, x_4) \wedge \psi'_{124}(x_1, x_2, x_4)}_1$$

### 2. Eliminate tautological clauses

The clause  $(\neg x_2 \vee x_2 \vee x_1 \vee x_3 \vee x_4)$  evaluates to 1 for **any** variable assignment

What does tautology correspond to in the general FAQ world?

- Corresponding factor does not filter out any possible values for its variables
- In DB: Factor is Cartesian product of the active domains of its variables

### 3. Identify unit-clause contradictions

$$(\neg x_1 \vee \neg x_2 \vee \neg x_4) \wedge (\neg x_3) \wedge (\neg x_1 \vee \neg x_2 \vee x_4) \wedge (\neg x_1 \vee \neg x_4 \vee \neg x_5) \wedge (x_3)$$

There are two contradicting unit clauses:  $(\neg x_3)$  and  $(x_3)$ .

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The conjunction of  $(\neg x_3)$  and  $(x_3)$ , and the entire formula, always evaluates to 0.

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This building block can be simulated using full reducers in Yannakakis

- Semi-join reduction of the factor for the clause  $(x_3)$  using the factor for the clause  $(\neg x_3)$  yields the factor representing the constant 0

## 4. Eliminate a non-single-phase variable by resolution

Evaluate  $F = (x \vee \alpha) \wedge (\neg x \vee \beta)$ , where  $\alpha, \beta$  are disjunctions of literals without  $x$ .

A. **Marginalisation:** Marginalise  $x$  in  $F$   $\underbrace{((0 \vee \alpha) \wedge (1 \vee \beta))}_{(x=0) \wedge \alpha} \vee \underbrace{((1 \vee \alpha) \wedge (0 \vee \beta))}_{(x=1) \wedge \beta}$

- We obtain the formula  $(\neg x \wedge \alpha) \vee (x \wedge \beta)$  equivalent with  $F$
- We proceed with the evaluation of  $\alpha$  in case  $x = 0$  and of  $\beta$  in case  $x = 1$



## More on Resolution

Replace  $(x \vee \alpha) \wedge (\neg x \vee \beta)$  by equi-satisfiable clause  $(\alpha \vee \beta)$

General case: Formula has  $n$  clauses  $(x \vee \alpha_i)$  and  $m$  clauses  $(\neg x \vee \beta_j)$

- $\forall i \in [n], j \in [m]$ : Conjunction  $(x \vee \alpha_i) \wedge (\neg x \vee \beta_j)$  has resolvent  $(\alpha_i \vee \beta_j)$
- We replace  $\bigwedge_{i \in [n]} (x \vee \alpha_i) \wedge \bigwedge_{j \in [m]} (\neg x \vee \beta_j)$  by  $\bigwedge_{i \in [n], j \in [m]} (\alpha_i \vee \beta_j)$
- The new and old formulas are equi-satisfiable
- Variable  $x$  does not occur anymore in the new formula

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Complexity:

- For each variable  $x$ , we replace  $n + m$  clauses by  $n \cdot m$  resolvent clauses
- The complexity can be exponential in number of variables
- Exponential time unavoidable in worst case
- Polynomial time possible for 2SAT,  $\beta$ -acyclic SAT, Horn clauses, . . .

# The DP Algorithm: Putting the Building Blocks Together

**Algorithm** DP (CNF Formula  $F$ )

1. **if**  $F$  is empty (i.e., has no clause) **then return** 1 // Satisfiable
2. **if**  $F$  has a unit-clause contradiction **then return** 0 // Unsatisfiable
3. **if**  $F$  has single-phase variables **then** remove their clauses from  $F$   
// These clauses can be made true
- // Next eliminate a variable and replace its clauses by resolvents
4. Pick a remaining variable  $x$
5.  $F' =$  empty-set
6. **for each** pair of clauses  $(x \vee \alpha_i)$  and  $(\neg x \vee \beta_j)$  in  $F$  **do**
7.     **if**  $(\alpha_i \vee \beta_j)$  is not tautological **then** add  $(\alpha_i \vee \beta_j)$  to  $F'$  // Resolution
8. Remove all clauses containing  $x$  or  $\neg x$  from  $F$  and add to  $F$  all clauses in  $F'$
9. **return** DP ( $F$ )

## The DP Algorithm: Running Example

$$\underbrace{(\neg x_1 \vee \neg x_2 \vee \neg x_4)}_{c_1} \wedge \underbrace{(x_1 \vee \neg x_3 \vee \neg x_4)}_{c_2} \wedge \underbrace{(\neg x_1 \vee \neg x_2 \vee x_4)}_{c_3} \wedge \underbrace{(\neg x_1 \vee \neg x_4 \vee \neg x_5)}_{c_4} \wedge \underbrace{(\neg x_1 \vee x_2 \vee x_3 \vee x_5)}_{c_5}$$

$$\underline{\text{DP}}(c_1 \wedge c_2 \wedge c_3 \wedge c_4 \wedge c_5)$$

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No unit-clause contradiction, no single-phase variable



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Remove the clauses of single-phase variables

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DP(( $\neg x_3 \vee \neg x_4 \vee \neg x_2 \vee \neg x_4$ )  $\wedge$  ( $\neg x_3 \vee \neg x_4 \vee \neg x_4 \vee \neg x_5$ ))

Single-phase variables: Set  $\neg x_2 = \neg x_3 = \neg x_4 = \neg x_5 = 1$

Remove the clauses of single-phase variables

There is no clause left

## The DP Algorithm: Running Example

$$\underbrace{(\neg x_1 \vee \neg x_2 \vee \neg x_4)}_{c_1} \wedge \underbrace{(x_1 \vee \neg x_3 \vee \neg x_4)}_{c_2} \wedge \underbrace{(\neg x_1 \vee \neg x_2 \vee x_4)}_{c_3} \wedge \underbrace{(\neg x_1 \vee \neg x_4 \vee \neg x_5)}_{c_4} \wedge \underbrace{(\neg x_1 \vee x_2 \vee x_3 \vee x_5)}_{c_5}$$

DP( $c_1 \wedge c_2 \wedge c_3 \wedge c_4 \wedge c_5$ )

No unit-clause contradiction, no single-phase variable

Pick  $x_1$

Add resolvent:  $(\neg x_3 \vee \neg x_4 \vee \neg x_2 \vee \neg x_4)$  for  $c_2 \wedge c_1$

Resolvent:  $(\neg x_3 \vee \neg x_4 \vee \neg x_2 \vee x_4)$  for  $c_2 \wedge c_3$  is tautological, not added

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There is no clause left

DP( $\emptyset$ )

return 1

return 1

return 1

## The DPLL Algorithm (1962)

DPLL refines DP. They are both complete, i.e., decide SAT for **any** CNF formula

- **Backtracking-based search using repeated variable marginalisation**
- **Single-phase variable elimination** like for DP
- **Unit propagation**
  - Unit clause ( $\ell$ ): Literal  $\ell$  has to be set to 1, no choice!
  - Every clause that contains  $\ell$  is removed (becomes 1)
  - Every clause that contains  $\neg\ell$  is updated by removing  $\neg\ell$  (which is 0)
  - This often leads to deterministic cascades of units



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DPLL is a special case of LFTJ in the Boolean domain

- Backbone for both: variable marginalisation
- Single-phase variable elimination is a special case of marginalisation
  - For a Boolean variable, we sum over two cases: 0 and 1
  - For a single-phase variable, only one case is useful: its literal is 1
- Unit propagation is akin to Yannakakis (semi-join) reducer

## The DPLL Algorithm (1962)

**Algorithm** DPLL (CNF Formula  $F$ )

1. **if**  $F$  only has single-phase variables **then return** 1 // Satisfiable

2. **if**  $F$  has an empty clause **then return** 0 // Unsatisfiable

//Next replace every occurrence of literal  $\ell$  with 1 and of  $\neg\ell$  to 0

3. **for each** unit clause  $(\ell)$  in  $F$  **do**  $F := \text{unit-propagate}(\ell, F)$

4. **for each** single-phase variable  $\ell$  in  $F$  **do**  $F := \text{single-phase}(\ell, F)$

5. **if**  $F$  has no literal, i.e., it is constant, **then return**  $F$

//Next choose a literal to marginalise

6.  $\ell = \text{choose-literal}(F)$

7. **return** DPLL  $(F \wedge (\ell))$  | DPLL  $(F \wedge (\neg\ell))$

## The DPLL Algorithm: Running Example

$$F = (\neg x_1 \vee \neg x_2 \vee \neg x_4) \wedge (x_1 \vee \neg x_3 \vee \neg x_4) \wedge (\neg x_1 \vee \neg x_2 \vee x_4) \wedge (\neg x_1 \vee \neg x_4 \vee \neg x_5) \wedge (\neg x_1 \vee x_2 \vee x_3 \vee x_5)$$

DPLL ( $F$ )

Choose literal  $\ell = \neg x_1$

DPLL ( $F \wedge (\neg x_1)$ )

Propagate unit clause  $(\neg x_1)$  in  $F$  to obtain  $F := (\neg x_3 \vee \neg x_4)$

Single-phase variables: Set  $\neg x_3 = \neg x_4 = 1$ ,  $F$  becomes (1)

There is no literal left in  $F$ , return 1

return 1

In case we would first recurse with DPLL ( $F \wedge (x_1)$ ):

Propagate unit clause  $(x_1)$  in  $F$  to obtain

$$F := (\neg x_2 \vee \neg x_4) \wedge (\neg x_2 \vee x_4) \wedge (\neg x_4 \vee \neg x_5) \wedge (x_2 \vee x_3 \vee x_5)$$

Single-phase variable: Set  $x_3 = 1$  to obtain

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# Acyclic SAT

- Well-known: SAT is NP-hard

(Cook's Theorem)

## $\alpha$ - and $\beta$ -Acyclic SAT

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- Bad news:  $\alpha$ -acyclic SAT is still NP-hard

## $\alpha$ - and $\beta$ -Acyclic SAT

- Well-known: SAT is NP-hard (Cook's Theorem)
- Bad news:  $\alpha$ -acyclic SAT is still NP-hard
- Good News:  $\beta$ -acyclic SAT can be solved in polynomial time using the DP algorithm

## $\alpha$ -acyclic SAT is NP-hard (1/3)

Polynomial **reduction** from arbitrary SAT to  $\alpha$ -acyclic SAT

**Given:** Arbitrary CNF formula  $F$

**Construct:**  $\alpha$ -Acyclic CNF formula  $F'$  that is equi-satisfiable to  $F$



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- Let  $F = c_1 \wedge \dots \wedge c_m$  with variables  $x_1, \dots, x_n$
- Set  $F' = c_1 \wedge \dots \wedge c_m \wedge (x_1 \vee \dots \vee x_n \vee x_0)$  with fresh variable  $x_0$

## $\alpha$ -acyclic SAT is NP-hard (1/3)

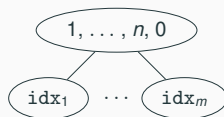
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$F'$  is  $\alpha$ -acyclic, since it has a join tree



where  $\text{idx}_i$  is the index set of the variables in  $c_i$

$$F = c_1 \wedge \dots \wedge c_m$$

equi-satisfiable to

$$F' = c_1 \wedge \dots \wedge c_m \wedge (x_1 \vee \dots \vee x_n \vee x_0)$$

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Example

$$F = (x_1 \vee \neg x_2 \vee x_3) \wedge (\neg x_1 \vee x_2 \vee \neg x_3) \wedge (\neg x_1 \vee \neg x_2 \vee \neg x_3)$$

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- $\{x_1 = 1, x_2 = 1, x_3 = 0\}$  satisfies  $F$   
 $\{x_1 = 1, x_2 = 1, x_3 = 0, x_0 = 1\}$  satisfies  $F'$

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- $\{x_1 = 0, x_2 = 0, x_3 = 1, x_0 = 0\}$  satisfies  $F'$   
 $\{x_1 = 0, x_2 = 0, x_3 = 1\}$  satisfies  $F$

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$$F' = c_1 \wedge \dots \wedge c_m \wedge (x_1 \vee \dots \vee x_n \vee x_0)$$

General case:

$F$  satisfiable  $\Rightarrow F'$  satisfiable

- Consider satisfying assignment  $\tau$  for  $F$
- $\tau \cup \{x_0 = 1\}$  satisfies  $F'$

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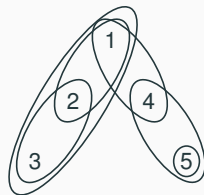
$F'$  satisfiable  $\Rightarrow F$  satisfiable

- Consider satisfying assignment  $\tau'$  for  $F'$
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## Order of Variable Marginalisation Matters

$$F = \underbrace{(x_1 \vee \neg x_2 \vee \neg x_3)}_{c_1} \wedge \underbrace{(\neg x_1 \vee x_4)}_{c_2} \wedge \underbrace{(\neg x_2 \vee x_3)}_{c_3} \wedge (x_1 \vee x_2) \wedge (\neg x_4 \vee x_5) \wedge (\neg x_5)$$



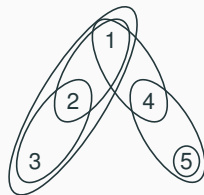
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Start with the elimination of  $x_1$

Resolvent of  $c_1$  and  $c_2$  is  $c_{12} = (\neg x_2 \vee \neg x_3 \vee x_4)$

$c_{12}$  is **not included** in any clause of  $F$



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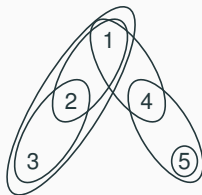
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$\implies$  No increase in the number of clauses



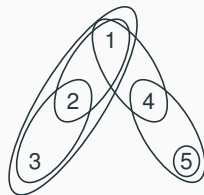
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$\beta$ -acyclic CNF formulas admit marginalisation orders that avoid exponential increase in the number of clauses

This is thanks to a nice property of beta-acyclic hypergraphs: nested inclusion

## Nested Inclusion Chain

A set  $\{e_1, \dots, e_k\}$  of sets forms a **nested inclusion chain** if  $e_{i_1} \subseteq \dots \subseteq e_{i_k}$  for some ordering  $i_1, \dots, i_k \in [k]$

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## Nested Inclusion Chain

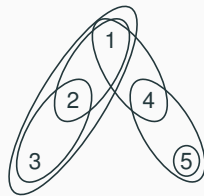
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Example

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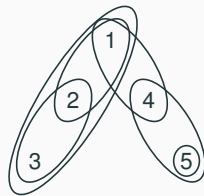
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$$\partial(3) = \{\{2, 3\}, \{1, 2, 3\}\}$$

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## DP Solver for $\beta$ -Acyclicity SAT

### Property 1

Every  $\beta$ -acyclic hypergraph has a node  $i$  s.th.  $\partial(i)$  forms a nested inclusion chain

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## DP algorithm for $\beta$ -acyclic SAT

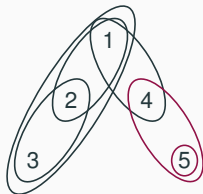
Apply the resolution rule only for a variable  $x_i$  such that  $\partial(i)$  forms a nested inclusion chain

## Example 1/4

$$F_0 = (x_1 \vee \neg x_2 \vee \neg x_3) \wedge (\neg x_1 \vee x_4) \wedge (\neg x_2 \vee x_3) \wedge (x_1 \vee x_2) \wedge (\neg x_4 \vee x_5) \wedge (\neg x_5)$$

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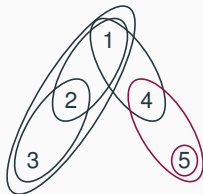


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Nested inclusion chains

$$\partial(5) = \{\{5\}, \{4, 5\}\}, \partial(3) = \{\{2, 3\}, \{1, 2, 3\}\}$$

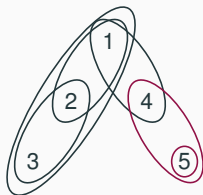


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Do resolution on 5

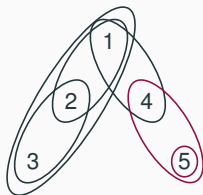


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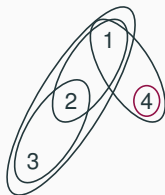
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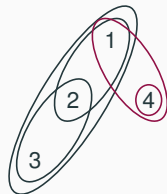
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$$F_1 = (x_1 \vee \neg x_2 \vee \neg x_3) \wedge (\neg x_1 \vee x_4) \wedge (\neg x_2 \vee x_3) \wedge (x_1 \vee x_2) \wedge (\neg x_4)$$



## Example 2/4

$$F_1 = (x_1 \vee \neg x_2 \vee \neg x_3) \wedge (\neg x_1 \vee x_4) \wedge (\neg x_2 \vee x_3) \wedge (x_1 \vee x_2) \wedge (\neg x_4)$$

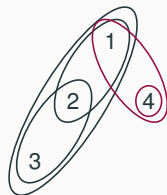


## Example 2/4

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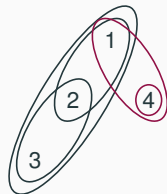


## Example 2/4

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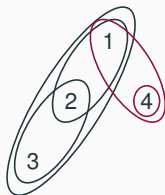
Do resolution on 4

## Example 2/4

$$F_1 = (x_1 \vee \neg x_2 \vee \neg x_3) \wedge (\neg x_1 \vee x_4) \wedge (\neg x_2 \vee x_3) \wedge (x_1 \vee x_2) \wedge (\neg x_4)$$

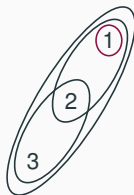
Nested inclusion chains

$$\partial(4) = \{\{4\}, \{1, 4\}\}, \partial(3) = \{\{2, 3\}, \{1, 2, 3\}\}$$



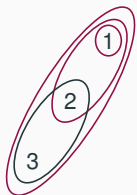
Do resolution on 4

$$F_2 = (x_1 \vee \neg x_2 \vee \neg x_3) \wedge (\neg x_1) \wedge (\neg x_2 \vee x_3) \wedge (x_1 \vee x_2)$$



## Example 3/4

$$F_2 = (x_1 \vee \neg x_2 \vee \neg x_3) \wedge (\neg x_1) \wedge (\neg x_2 \vee x_3) \wedge (x_1 \vee x_2)$$

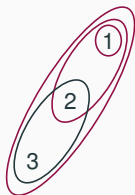


## Example 3/4

$$F_2 = (x_1 \vee \neg x_2 \vee \neg x_3) \wedge (\neg x_1) \wedge (\neg x_2 \vee x_3) \wedge (x_1 \vee x_2)$$

Nested inclusion chains

$$\partial(1) = \{\{1\}, \{1, 2\}, \{1, 2, 3\}\}, \partial(3) = \{\{2, 3\}, \{1, 2, 3\}\}$$

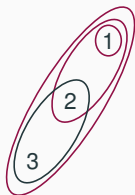


## Example 3/4

$$F_2 = (x_1 \vee \neg x_2 \vee \neg x_3) \wedge (\neg x_1) \wedge (\neg x_2 \vee x_3) \wedge (x_1 \vee x_2)$$

Nested inclusion chains

$$\partial(1) = \{\{1\}, \{1, 2\}, \{1, 2, 3\}\}, \partial(3) = \{\{2, 3\}, \{1, 2, 3\}\}$$



Do resolution on 1

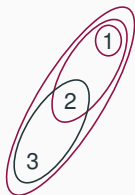


## Example 3/4

$$F_2 = (x_1 \vee \neg x_2 \vee \neg x_3) \wedge (\neg x_1) \wedge (\neg x_2 \vee x_3) \wedge (x_1 \vee x_2)$$

Nested inclusion chains

$$\partial(1) = \{\{1\}, \{1, 2\}, \{1, 2, 3\}\}, \partial(3) = \{\{2, 3\}, \{1, 2, 3\}\}$$



Do resolution on 1

$$F_3 = (\neg x_2 \vee \neg x_3) \wedge (\neg x_2 \vee x_3) \wedge (x_2)$$



## Example 4/4

$$F_3 = (\neg x_2 \vee \neg x_3) \wedge (\neg x_2 \vee x_3) \wedge (x_2)$$



## Example 4/4

$$F_3 = (\neg x_2 \vee \neg x_3) \wedge (\neg x_2 \vee x_3) \wedge (x_2)$$

Nested inclusion chains

$$\partial(2) = \{\{2\}, \{2, 3\}, \{2, 3\}\}, \partial(3) = \{\{2, 3\}, \{2, 3\}\}$$



## Example 4/4

$$F_3 = (\neg x_2 \vee \neg x_3) \wedge (\neg x_2 \vee x_3) \wedge (x_2)$$

Nested inclusion chains

$$\partial(2) = \{\{2\}, \{2, 3\}, \{2, 3\}\}, \partial(3) = \{\{2, 3\}, \{2, 3\}\}$$



Do resolution on 2

## Example 4/4

$$F_3 = (\neg x_2 \vee \neg x_3) \wedge (\neg x_2 \vee x_3) \wedge (x_2)$$

Nested inclusion chains

$$\partial(2) = \{\{2\}, \{2, 3\}, \{2, 3\}\}, \partial(3) = \{\{2, 3\}, \{2, 3\}\}$$



Do resolution on 2

$$F_4 = (\neg x_3) \wedge (x_3)$$



## Example 4/4

$$F_3 = (\neg x_2 \vee \neg x_3) \wedge (\neg x_2 \vee x_3) \wedge (x_2)$$

Nested inclusion chains

$$\partial(2) = \{\{2\}, \{2, 3\}, \{2, 3\}\}, \partial(3) = \{\{2, 3\}, \{2, 3\}\}$$



Do resolution on 2

$$F_4 = (\neg x_3) \wedge (x_3)$$



Unit-clause contradiction

## Example 4/4

$$F_3 = (\neg x_2 \vee \neg x_3) \wedge (\neg x_2 \vee x_3) \wedge (x_2)$$

Nested inclusion chains

$$\partial(2) = \{\{2\}, \{2, 3\}, \{2, 3\}\}, \partial(3) = \{\{2, 3\}, \{2, 3\}\}$$



Do resolution on 2

$$F_4 = (\neg x_3) \wedge (x_3)$$



Unit-clause contradiction

$\Rightarrow F$  not satisfiable