

Reasoning Engines for Rigorous System Engineering

Block 3: Quantified Boolean Formulas and DepQBF

1. Inside Search-based QBF Solvers

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Success Story of SAT Solving:

- Backtracking search, clause learning as systematic application of resolution: CDCL
- Broad field of research: solver technology, theory, applications.
- Solver development driven by applications and vice versa.

Quantified Boolean Formulae (QBF):

- Explicit quantifiers (\forall, \exists) over propositional variables.
- NP-completeness of SAT vs. PSPACE-completeness of QBF.
- Potentially more succinct QBF encodings of PSPACE-complete problems.

QBF Solving:

- QCDCL: inspired by CDCL for SAT.
- Alternative: variable elimination.
- After peak in 2006/2007, renewed interest in QBF.

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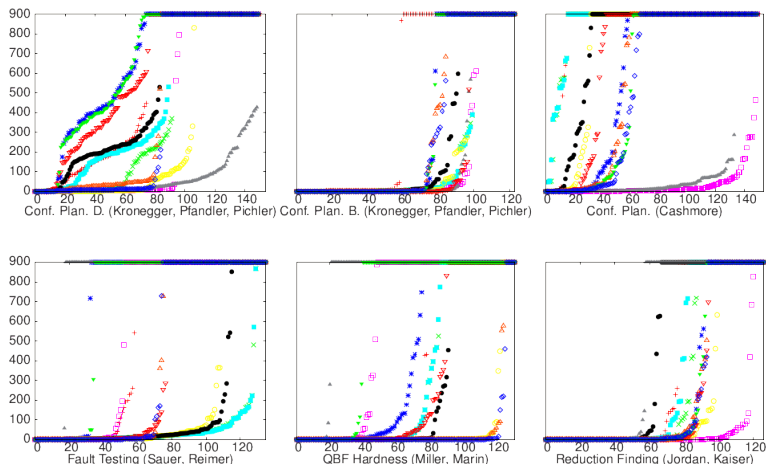
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Solver Performance in the QBF Gallery 2013



- 6 new formula sets, 150 formulas each.
- At least one solver is good for a set (but it is not always the same).
- <http://www.kr.tuwien.ac.at/events/qbfgallery2013/>

Our Focus:

- Search-based QBF solving as a major approach (next to variable elimination).
- Bottom-up approach: from basic building blocks to general view.
- The role of Q-resolution in QBF solvers.

Lessons to be Learned:

- (Q)CDCL is not just a combination of backtracking search and clause learning.
- Implementation: QBF solvers are more complex than SAT solvers.
- Pitfalls when porting SAT solver technology to QBF.

Example: DepQBF

- Search-based QBF solver, under active development since 2010.
- Open source: <http://lonsing.github.io/depqbf/>
- Friday: API demo, examples of recent improvements (incremental solving).

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Syntax, Semantics, Notation

QBF in Prenex Conjunctive Normal Form:

- Given a Boolean formula $\phi(x_1, \dots, x_m)$ in CNF.
- Quantifier prefix $Q_1 B_1 Q_2 B_2 \dots Q_m B_m$.
- Quantifiers $Q_i \in \{\forall, \exists\}$.
- Quantifier block $B_i \subseteq \{x_1, \dots, x_m\}$ containing variables.
- QBF in prenex CNF (PCNF): $Q_1 B_1 Q_2 B_2 \dots Q_m B_m \cdot \phi(x_1, \dots, x_m)$.
- $B_i \subseteq B_{i+1}$: quantifier blocks are linearly ordered (extended to variables, literals).

Example

- Given the CNF $\phi := (x_1 \vee \neg x_3) \wedge (x_1 \vee x_4) \wedge (\neg x_2 \vee \neg x_3) \wedge (\neg x_3 \vee x_4)$.
- Given the quantifier prefix $\forall x_1, x_2 \exists x_3, x_4$.
- Prenex CNF: $\forall x_1, x_2 \exists x_3, x_4. (x_1 \vee \neg x_3) \wedge (x_1 \vee x_4) \wedge (\neg x_2 \vee \neg x_3) \wedge (\neg x_3 \vee x_4)$.

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Variable Assignments:

- Mapping $V \rightarrow \{\top, \perp\}$, variables $V = \{x_1, \dots, x_m\}$, truth values \top and \perp .
- Given a CNF $\phi(x_1, \dots, x_i, \dots, x_m)$, assigning x_i to v , where $v \in \{\top, \perp\}$, produces the CNF $\phi(x_1, \dots, x_m)[x_i/v]$.
- In $\phi(x_1, \dots, x_m)[x_i/v]$, occurrences of x_i are replaced by the value v .
- Standard simplifications by Boolean algebra:
 $\phi' \vee \top \equiv \top$, $\phi' \vee \perp \equiv \phi'$, $\phi' \wedge \top \equiv \phi'$, $\phi' \wedge \perp \equiv \perp$.
- Write $\phi[x_i]$ for $\phi[x_i/\top]$ and $\phi[\neg x_i]$ for $\phi[x_i/\perp]$: literals denote assignments.

Example

- Given the CNF $\phi := (x_1 \vee \neg x_2) \wedge (x_2 \vee x_3) \wedge (\neg x_1 \vee \neg x_3)$.
- $\phi[x_2/\top] = (x_1 \vee \neg \top) \wedge (\top \vee x_3) \wedge (\neg x_1 \vee \neg x_3)$.
- $\phi[x_2/\perp] = (x_1) \wedge (\neg x_1 \vee \neg x_3)$.

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Recursive Definition:

- Recursively assign the variables in prefix order (from left to right).
- Base cases: the QBF \top (\perp) is satisfiable (unsatisfiable).
- $\psi = \forall x \dots \phi$ is satisfiable if $\psi[\neg x]$ **and** $\psi[x]$ are satisfiable.
- $\psi = \exists x \dots \phi$ is satisfiable if $\psi[\neg x]$ **or** $\psi[x]$ is satisfiable.
- Prerequisite: every variable is quantified in the prefix (no free variables).
- Satisfiability-equivalence of two PCNFs ψ and ψ' : $\psi \equiv \psi'$.

Example

The PCNF $\psi = \forall x \exists y. (x \vee \neg y) \wedge (\neg x \vee y)$ is satisfiable if

- (1) $\psi[x] = \exists y. (y)$ and
- (2) $\psi[\neg x] = \exists y. (\neg y)$ are satisfiable.

- (1) $\psi[x] = \exists y. (y)$ is satisfiable since $\psi[x, y] = \top$ is satisfiable.
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The PCNF $\psi = \exists y \forall x. (x \vee \neg y) \wedge (\neg x \vee y)$ is unsatisfiable because neither

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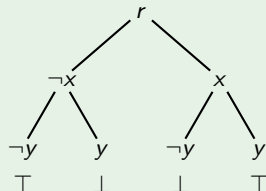
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Assignment Trees of a PCNF ψ :

- Dedicated root node r .
- Each path from root r to a leaf represents a variable assignment A .
- The assignment sequence along each path follows the prefix order.
- Leaf is labelled with \top if the PCNF $\psi[A]$ is satisfiable.
- Leaf is labelled with \perp if the PCNF $\psi[A]$ is unsatisfiable.

Example

- Satisfiable PCNF $\psi = \forall x \exists y. (x \vee \neg y) \wedge (\neg x \vee y)$.
- The node " r " represents ψ .
- The node " $\neg x$ " represents $\psi[\neg x] = \exists y. (\neg y)$.
- Leftmost path: $\psi[\neg x, \neg y]$ is satisfiable.
- Rightmost path: $\psi[x, y]$ is satisfiable.

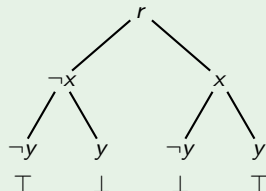


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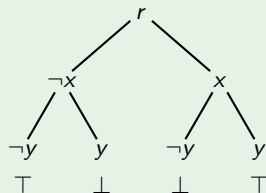
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Example (continued)

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- Assignment trees visualize the structure of recursive semantical evaluation.
- $\forall x. \psi$: both recursive subcases $\psi[\neg x]$ and $\psi[x]$ (children) must be satisfiable.
- $\exists x. \psi$: one recursive subcase $\psi[\neg x]$ or $\psi[x]$ (child) must be satisfiable.

Basic Backtracking Search

Recursive QBF Semantics and Backtracking Search

- Application of semantic rules: “splitting”, “decision making”, “branching”.
- Backtracking: flip value of decision (wrt. quantifier type and base case).
- Early termination if one subcase of \exists (\forall) is satisfiable (unsatisfiable).

```
bool bt_search (PCNF  $Q \times \psi$ , Assignment A)
  /* 1. Simplify under given assignment. */
   $\psi'$  := simplify( $Q \times \psi[A]$ );
  /* 2. Check base cases. */
  if ( $\psi'$  ==  $\perp$ )
    return false;
  if ( $\psi'$  ==  $\top$ )
    return true;
  /* 3. Decision making, backtracking. */
  if (Q ==  $\exists$ )
    return bt_search ( $\psi'$ , A  $\cup$  { $\neg x$ }) ||
           bt_search ( $\psi'$ , A  $\cup$  { $x$ });
  if (Q ==  $\forall$ )
    return bt_search ( $\psi'$ , A  $\cup$  { $\neg x$ }) &&
           bt_search ( $\psi'$ , A  $\cup$  { $x$ });
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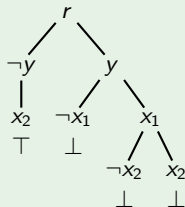
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Example

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- Leftmost path: check \forall -subcase $\psi[\neg y]$.
 \exists -subcase $\psi[\neg y, x_2] = \top$ already, no need to try $\psi[\neg y, \neg x_2]$.
Backtrack and check $\psi[y]$.
- \exists -subcase $\psi[y, \neg x_1] = \perp$, flip x_1 and check $\psi[y, x_1]$.
- Both \exists -subcases $\psi[y, x_1, \neg x_2] = \perp$ and $\psi[y, x_1, x_2] = \perp$,
hence \exists -subcase $\psi[y, x_1]$ unsat.
- Since \exists -subcases $\psi[y, \neg x_1]$, $\psi[y, x_1]$ unsat., also \forall -subcase
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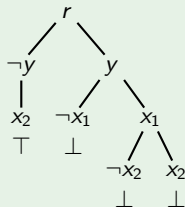
Observation: the clause (x_2) in ψ can only be satisfied by setting x_2 to true.

- Every subcase $\psi[\dots, \neg x_2, \dots]$ is unsatisfiable: consider $\psi[\dots, x_2, \dots]$ instead.
- \forall -subcase $\psi[x_2, y] = \perp$, hence ψ unsatisfiable: smaller assignment tree!

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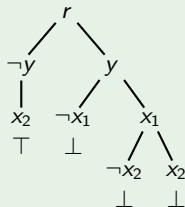
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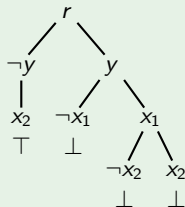
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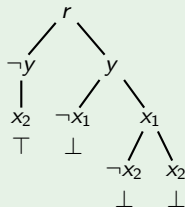
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Backtracking Search: Example

Example

$\psi := \forall y \exists x_1, x_2. (x_2) \wedge (\neg y \vee \neg x_2) \wedge (\neg y \vee x_1).$

- Leftmost path: check \forall -subcase $\psi[\neg y]$.
 \exists -subcase $\psi[\neg y, x_2] = \top$ already, no need to try $\psi[\neg y, \neg x_2]$.
Backtrack and check $\psi[y]$.
- \exists -subcase $\psi[y, \neg x_1] = \perp$, flip x_1 and check $\psi[y, x_1]$.
- Both \exists -subcases $\psi[y, x_1, \neg x_2] = \perp$ and $\psi[y, x_1, x_2] = \perp$,
hence \exists -subcase $\psi[y, x_1]$ unsat.
- Since \exists -subcases $\psi[y, \neg x_1]$, $\psi[y, x_1]$ unsat., also \forall -subcase
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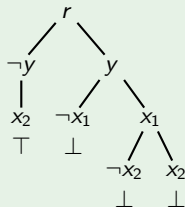
Observation: the clause (x_2) in ψ can only be satisfied by setting x_2 to true.

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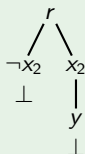
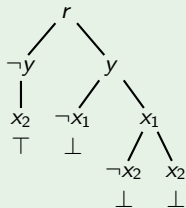
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Backtracking Search: Drawbacks

- Assignments by decisions only (i.e. must be flipped during backtracking).
- Generated assignment trees might contain irrelevant branches.
- Goal: add rules to make assignments other than decisions which can be ignored during backtracking.
- Avoid irrelevant branches resulting from “wrong” decisions.

Example (continued)

$$\psi := \forall y \exists x_1, x_2. (x_2) \wedge (\neg y \vee \neg x_2) \wedge (\neg y \vee x_1).$$



Observe: $\exists x_2$ is not leftmost in prefix of ψ .

*Improvements to Backtracking Search:
Assignment Generation*

Definition (Unit Literal Detection)

- Given a QBF ψ , a clause $C \in \psi$ is *unit* if and only if $C = (l)$ and $q(l) = \exists$.
- The existential literal l in C is called a *unit literal*.
- *Unit literal detection* $UL(C) := \{l\}$ collects the assignment $\{l\}$ from the unit clause $C = (l)$.
- Unit literal detection on a QBF ψ : $UL(\psi) := \bigcup_{C \in \psi} UL(C)$.

Example (continued)

The clause (x_2) in $\psi := \forall y \exists x_1, x_2. (x_2) \wedge (\neg y \vee \neg x_2) \wedge (\neg y \vee x_1)$ is unit: $UL(\psi) = \{x_2\}$

M. Cadoli, A. Giovanardi, M. Schaerf. An Algorithm to Evaluate Quantified Boolean Formulae. AAAI, 1998.

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Definition (Pure Literal Detection)

- A literal l is *pure* in a QBF ψ if there are clauses which contain l but no clauses which contain $\neg l$.
- *Pure literal detection* $PL(\psi) := \bigcup \{l'\}$ collects the assignment $\{l'\}$ such that l is a pure literal in ψ and $l' := l$ if $q(l) = \exists$ and $l' := \neg l$ if $q(l) = \forall$.
- The variable of an existential (universal) pure literal is assigned so that clauses are satisfied (not satisfied) by that assignment.

Example (continued)

The universal literal $\neg y$ in $\psi := \forall y \exists x_1, x_2. (x_2) \wedge (\neg y \vee \neg x_2) \wedge (\neg y \vee x_1)$ is pure.
 $PL(\psi) = \{y\}$ and $\psi[y] := \exists x_1, x_2. (x_2) \wedge (\neg x_2) \wedge (x_1)$.

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Definition

Given a clause C , *universal reduction (UR)* on C produces the clause

$$UR(C) := C \setminus \{l \in C \mid q(l) = \forall \text{ and } \forall l' \in C \text{ with } q(l') = \exists : \text{var}(l') < \text{var}(l)\},$$

where $<$ is the linear variable ordering given by the quantifier prefix.

- UR deletes “trailing” universal literals from clauses.
- UR shortens clauses.

Example (continued)

Given $\psi := \forall y \exists x_1, x_2. (x_2) \wedge (\neg y \vee \neg x_2) \wedge (\neg y \vee x_1)$.

By UL: $\psi[x_2] := \forall y \exists x_1. (\neg y) \wedge (\neg y \vee x_1)$.

$UR((\neg y)) = \emptyset$ in $\psi[x_2]$.

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Definition

Boolean Constraint Propagation for QBF (QBCP):

- Given a PCNF ψ and the empty assignment $A = \{\}$, i.e. $\psi[A] = \psi$.
 1. Apply universal reduction to $\psi[A]$.
 2. Apply unit literal detection (UL) to $\psi[A]$ to get new assignments by UL.
 3. Apply pure literal detection (PL) to $\psi[A]$ to find new assignments by PL.
- Add assignments found by UL and PL to A , repeat steps 1-3.
- Stop if A does not change anymore or if $\psi[A] = \top$ or $\psi[A] = \perp$.

Properties of QBCP:

- QBCP takes a PCNF ψ and an assignment A and produces an extended assignment A' and a new PCNF $\psi' = \psi[A']$ by UL, PL, and UR.
- Soundness: $\psi \equiv \psi'$ (satisfiability-equivalence).
- No order restriction: QBCP assigns variables from any quantifier block.

QBCP in Practice:

- Combine decision making and QBCP.
- Successively apply QBCP starting with $A = \{x\}$ where x is a decision.
- No need to flip assignments by UL and PL in QBCP during backtracking.

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- No simplifications of ψ by QBCP possible.
- Make decision: $A = \{y_5\}$.
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- By QBCP, we have shown: $\psi[y_5] \equiv \psi[y_5, x_4, y_2, x_1, x_3] \equiv \perp.$
- Since y_5 is a universal decision: $\psi[y_5] \equiv \perp \equiv \psi$, only one branch explored.
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- By QBCP, we have shown: $\psi[y_5] \equiv \psi[y_5, x_4, y_2, x_1, x_3] \equiv \perp.$
- Since y_5 is a universal decision: $\psi[y_5] \equiv \perp \equiv \psi$, only one branch explored.
- Worst case: search tree has 2^5 branches.

Example

- $\psi =$
 $\forall y_5 \exists x_1 \forall y_2 \exists x_3, x_4. (\neg y_5 \vee x_4) \wedge (y_5 \vee \neg x_4) \wedge (x_1 \vee y_2 \vee \neg x_4) \wedge (\neg x_1 \vee x_3 \vee \neg x_4) \wedge (\neg y_2 \vee \neg x_3).$
- No simplifications of ψ by QBCP possible.
- Make decision: $A = \{y_5\}$.
- $\psi[y_5] = \exists x_1 \forall y_2 \exists x_3, x_4. (\mathbf{x}_4) \wedge (x_1 \vee y_2 \vee \neg x_4) \wedge (\neg x_1 \vee x_3 \vee \neg x_4) \wedge (\neg y_2 \vee \neg x_3).$
- By UL: $\psi[y_5, x_4] = \exists x_1 \forall y_2 \exists x_3. (x_1 \vee \mathbf{y}_2) \wedge (\neg x_1 \vee x_3) \wedge (\neg y_2 \vee \neg x_3).$
- By UR: $\psi[y_5, x_4] = \exists x_1 \forall y_2 \exists x_3. (x_1) \wedge (\neg x_1 \vee x_3) \wedge (\neg \mathbf{y}_2 \vee \neg x_3).$
- By PL: $\psi[y_5, x_4, y_2] = \exists x_1 \exists x_3. (\mathbf{x}_1) \wedge (\neg x_1 \vee x_3) \wedge (\neg x_3).$
- By UL: $\psi[y_5, x_4, y_2, x_1] = \exists x_3. (\mathbf{x}_3) \wedge (\neg x_3).$
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Iterative Search-Based QBF Solving (QDPLL)

QDPLL:

- QBF-specific variant of the DPLL algorithm for propositional logic [DLL62].
- Original descriptions [GNT01, CGS98] both recursive and iterative.
- Start with empty assignment.
- Decisions open a new \exists/\forall -subcase.
- Function `qbcpr` applies UL, PL, UR and simplifications to extend the assignment corresponding to the current \exists/\forall -subcase.
- Function `analyze`: retraction of assignments, flipping a decision variable by backtracking.

Result `qdp11` (PCNF `f`)

```
Result r = UNDEF;
Assignment a = {};
while (true)
  /* Simplify. */
  (r,a) = qbcpr (f,a);
  if (r == UNDET)
    /* Decision making. */
    a = assign_dec_var (f,a);
  else
    /* Backtracking. */
    /* r == UNSAT or r == SAT */
    btlevel = analyze (r,a);
    if (btlevel == INVALID)
      return r;
    else
      a = backtrack (btlevel);
```

M. Cadoli, A. Giovanardi, M. Schaerf. An Algorithm to Evaluate Quantified Boolean Formulae. AAAI, 1998.

E. Giunchiglia, M. Narizzano, A. Tacchella. QUBE: A System for Deciding Quantified Boolean Formulas Satisfiability. IJCAR, 2001.

Search-Based QBF Solving: Iterative vs. Recursive

Result qdpll (PCNF f)

```
Result r = UNDEF;
Assignment a = {};
while (true)
  /* Simplify. */
  (r,a) = qbcp (f,a);
  if (r == UNDET)
    /* Decision making. */
    a = assign_dec_var (f,a);
  else
    /* Backtracking. */
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    btlevel = analyze (r,a);
    if (btlevel == INVALID)
      return r;
    else
      a = backtrack (btlevel);
```

```
bool bt_search (PCNF  $Qx\psi$ , Assignment A)
  /* 1. Simplify under given assignment. */
   $\psi' := \text{simplify}(Qx\psi[A]);$ 
  /* 2. Check base cases. */
  if ( $\psi' == \perp$ )
    return false;
  if ( $\psi' == \top$ )
    return true;
  /* 3. Decision making, backtracking. */
  if ( $Q == \exists$ )
    return bt_search ( $\psi'$ ,  $A \cup \{\neg x\}$ ) ||
           bt_search ( $\psi'$ ,  $A \cup \{x\}$ );
  if ( $Q == \forall$ )
    return bt_search ( $\psi'$ ,  $A \cup \{\neg x\}$ ) &&
           bt_search ( $\psi'$ ,  $A \cup \{x\}$ );
```

Comparison:

- `bt_search` very close to recursive semantics.
- `qdpll` explicitly enumerates paths (i.e. assignments) in assignment trees.
- QBCP makes the difference between `qdpll` and `bt_search`.
- Structure of `qdpll` is close to implementations of modern QBF solvers.

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- Structure of `qdpll` is close to implementations of modern QBF solvers.

*Improvements to Backtracking Search:
Backtracking is not optimal*

Assignments:

- Represented as sequence $A = \{l_1, l_2, \dots, l_n\}$ of literals.
- Assignments due to decisions and QBCP (UL, PL).
- Literals l_i are ordered chronologically as they were assigned.
- Conflict: assignment A such that $\psi[A] = \perp$.
- Solution: assignment A such that $\psi[A] = \top$.

Chronological Backtracking:

- Given a conflict $A = \{\dots, d, \dots, l_n\}$ where d is the most-recent *unflipped* existential decision.
- Given a solution $A = \{\dots, d, \dots, l_n\}$ where d is the most-recent *unflipped* universal decision.
- No such d : formula solved.
- Retract decision d and later assignments:
 $A' = A \setminus \{d, \dots, l_n\}$.
- Set the variable of d to the opposite value (flip):
 $A' = A' \cup \{\neg d\}$.
- Continue with $A = A'$.

Snippet of qdpll:

```
/* Backtracking. */  
/* r == UNSAT or r == SAT */  
btlevel = analyze (r,a);  
if (btlevel == INVALID)  
    return r;  
else  
    a = backtrack (btlevel);
```

Example

$$\psi = \exists x_1, x_2, x_3, x_4 \forall y_5 \exists x_6. (\neg x_3 \vee x_4) \wedge (x_3 \vee x_4) \wedge (\neg x_4 \vee x_6) \wedge (\neg x_1 \vee y_5 \vee \neg x_6) \wedge \phi.$$

- 1 Assume that ϕ contains further clauses.
- 2 Decision on x_1 : $A = A \cup \{x_1\}$.
- 3 Decision on x_2 : $A = A \cup \{x_2\}$.
- 4 Decision on x_3 : $A = A \cup \{x_3\}$.
- 5 $\psi[x_1, x_2, x_3] = \exists x_4 \forall y_5 \exists x_6. (x_4) \wedge (\neg x_4 \vee x_6) \wedge (y_5 \vee \neg x_6)$.
- 6 By QBCP (UL): $A = A \cup \{x_4, x_6\}$.
- 7 By QBCP (UR): conflict $A = \{x_1, x_2, x_3, x_4, x_6\}$, $\psi[A] = \perp$.
- 8 Flip x_3 , get conflict $A = \{x_1, x_2, \neg x_3, x_4, x_6\}$, where again x_4, x_6 by UL.
- 9 Flip x_2 , assume that no conflict/solution is found with $A = \{x_1, \neg x_2\}$.
- 10 Continue with a decision on x_3 : $A = \{x_1, \neg x_2, x_3\}$ or $A = \{x_1, \neg x_2, \neg x_3\}$.
- 11 In any case, get a conflict by $\{x_1, \neg x_2, x_3, x_4, x_6\}$ and $\{x_1, \neg x_2, \neg x_3, x_4, x_6\}$.
- 12 Repeated subassignments $\{x_3, x_4, x_6\}$, $\{\neg x_3, x_4, x_6\}$ of conflicts (steps 7,8).
- 13 Flipping x_2 did not resolve the conflict, redundant work in steps 9-11.

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- 2 Decision on x_1 : $A = A \cup \{x_1\}$.
- 3 Decision on x_2 : $A = A \cup \{x_2\}$.
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- 13 Flipping x_2 did not resolve the conflict, redundant work in steps 9-11.

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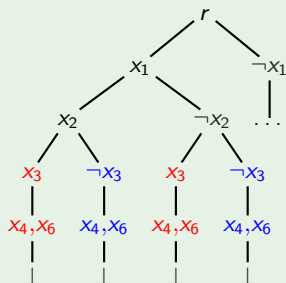
QDPLL with Chronological Backtracking (2/2)

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Drawback of Chronological Backtracking:

- Flipping variables which are irrelevant for the current conflict/solution.
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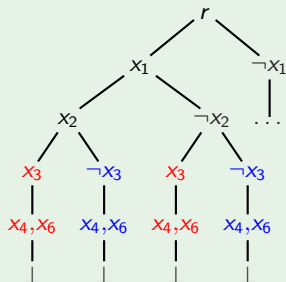
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QBCP and Implication Graphs

Definition (implication graph as a leveled graph)

- Vertices: literals in A (variable assignments), special vertex \emptyset denoting a clause $C \in \psi$ such that $C[A] = \perp$ (*conflicting clause*).
- For assignments $\{l\}$ by UL from a unit clause $C[A]$: the clause $ante(l) := C$ is the *antecedent clause* of the assignment $\{l\}$.
- Define $ante(\emptyset) = C$, for a clause $C \in \psi$ such that $C[A] = \perp$.
- Edges: $(x, y) \in E$ if y assigned by UL and literal $\neg x \in ante(y)$.

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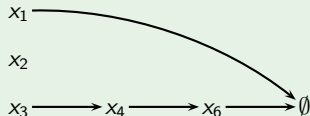
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Implication graph for conflict

$$A = \{x_1, x_2, x_3, x_4, x_6\}$$

where x_1, x_2 , and x_3 are decisions.

Note: UR applied to get \emptyset .



- Implication graph is implicitly constructed during QBCP.
- Similar to BCP in SAT solvers, but QBCP includes additional rules PL, UR.

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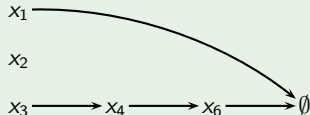
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Non-Chronological Backtracking — Backjumping (1/3)

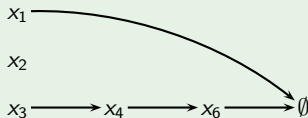
Idea: given a conflict A and the implication graph.

- 1 Start at the conflicting clause \emptyset and traverse the implication graph backwards.
- 2 Collect all decisions reachable from \emptyset : *conflict set*.
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- Step 4: flip x_3 , $A \cup \{\neg x_3\} = \{x_1, \neg x_3\}$.
- “Jump over” irrelevant, non-reachable x_2 .



Non-Chronological Backtracking — Backjumping (1/3)

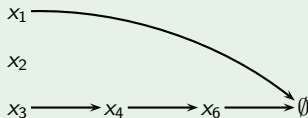
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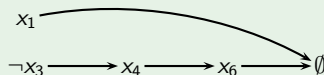


Non-Chronological Backtracking — Backjumping (2/3)

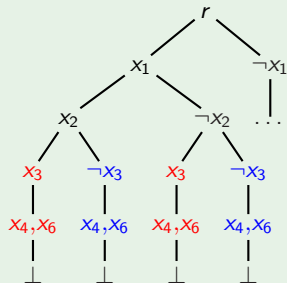
Example (continued)

$$\psi = \exists x_1, x_2, x_3, x_4 \forall y_5 \exists x_6. (\neg x_3 \vee x_4) \wedge (x_3 \vee x_4) \wedge (\neg x_4 \vee x_6) \wedge (\neg x_1 \vee y_5 \vee \neg x_6) \wedge \phi.$$

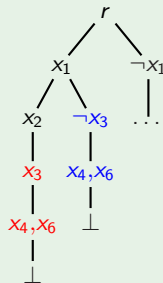
- After flipping x_3 , get conflict
 $A = \{x_1, \neg x_3, x_4, x_6\}$, decisions $x_1, \neg x_3$.
- Conflict set $\{x_1, \neg x_3\}$.
- Retract $\{\neg x_3, x_4, x_6\}$ from A .
- Flip x_1 , $A \cup \{\neg x_1\} = \{\neg x_1\}$.



Chronological backtracking:



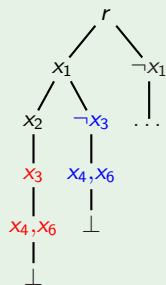
Non-chronological backtracking:



Properties of Backjumping:

- “backtracking” = “chronological backtracking”.
- “backjumping” = “non-chronological backtracking”.
- Potential retraction of irrelevant decisions, exponential reduction of branches in assignment trees.
- Children of nodes in assignment trees might have different labels: $x_2, \neg x_3$ in the example.
- Similar approaches to backjump from solutions, i.e. $\psi[A] = \top$.
- Fundamentally different from traditional recursive backtracking search.

Example (continued)



Snippet of `bt_search`:

```
/* 3. Decision making, backtracking. */
if (Q ==  $\exists$ )
    return bt_search ( $\psi'$ , A  $\cup$  { $\neg x$ }) ||
           bt_search ( $\psi'$ , A  $\cup$  { $x$ });
if (Q ==  $\forall$ )
    return bt_search ( $\psi'$ , A  $\cup$  { $\neg x$ }) &&&
           bt_search ( $\psi'$ , A  $\cup$  { $x$ });
```

Implementation:

- Function analyze must be adapted.
- Stop if there is no decision to be flipped in the conflict set.
- Think of backtracking like a variant of backjumping where the conflict set always contains all decisions made.

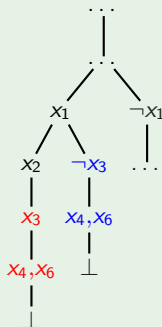
```
Result qdpll (PCNF f)
  Result r = UNDEF;
  Assignment a = {};
  while (true)
    /* Simplify. */
    (r,a) = qbcf (f,a);
    if (r == UNDET)
      /* Decision making. */
      a = assign_dec_var (f,a);
    else
      /* Backtracking. */
      /* r == UNSAT or r == SAT */
      btlevel = analyze (r,a);
      if (btlevel == INVALID)
        return r;
      else
        a = backtrack (btlevel);
```


Drawback of Backjumping

Example (continued)

$$\psi = \exists x_1, x_2, x_3, x_4 \forall y_5 \exists x_6. (\neg x_3 \vee x_4) \wedge (x_3 \vee x_4) \wedge (\neg x_4 \vee x_6) \wedge (\neg x_1 \vee y_5 \vee \neg x_6) \wedge \phi.$$

- Assume that the assignment tree on the right is a subtree of a bigger tree.
- Observe: every assignment A with $\{x_1, x_4\} \subseteq A$ is a conflict (under QBCP).
- QBCP extends $\{x_1, x_4\}$ to $\{x_1, x_4, x_6\}$ by UL.
- Clause $(\neg x_1 \vee y_5 \vee \neg x_6)[x_1, x_4, x_6] = \perp$.
- The subassignment $\{x_1, x_4\}$ can be repeated in other branches, the same clause is conflicting.
- Backjumping cannot avoid this problem.



*Improvements to Backtracking Search:
Backjumping is not optimal*

Idea:

- A clause $(l_1 \vee l_2 \vee \dots \vee l_k)$ is conflicting under the assignment $\{\neg l_1, \dots, \neg l_k\}$.
- QDPLL tries to satisfy clauses by unit literal detection in QBCP.
- Clauses in a PCNF guide QDPLL away from conflicts.
- Intuition(!): if a subassignment $A = \{l_1, l_2, \dots, l_k\}$ is responsible for a conflict then add the clause $(\neg l_1 \vee \neg l_2 \vee \dots \vee \neg l_k)$ to the PCNF.
- QDPLL tries to satisfy the added clause by assigning $\neg l_i$ for at least one l_i .
- QDPLL will not enumerate assignments A' such that $A \subseteq A'$.

Example (continued)

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- Every assignment A with $\{x_1, x_4\} \subseteq A$ is a conflict (under QBCP).
- Adding the clause $(\neg x_1 \vee \neg x_4)$ to ψ prevents QDPLL from repeating the subassignment $\{x_1, x_4\}$ in other branches.
- Assigning x_1 (x_4) triggers the assignment of $\neg x_4$ ($\neg x_1$) by unit literal detection in QBCP.

Properties:

- “clause learning” = adding clauses obtained from analyzing a conflict.
- “learned clause” = added clause.
- In general, adding arbitrary clauses to a PCNF ψ can make ψ unsatisfiable.
- Correctness of clause learning: $\psi \equiv \psi \wedge C$.

In Practice:

- Checking if $\psi \equiv \psi \wedge C$ is PSPACE-complete.
- How to efficiently find clauses C which can safely be added to ψ ?

Resolution:

- Given the PCNF $\psi' = \psi \wedge C_1 \wedge C_2$, the resolution operation produces a new clause C_r (*resolvent*) from C_1 and C_2 such that $\psi' \equiv \psi' \wedge C_r$.
- By construction, a resolvent can safely be added to a PCNF.
- Idea: use resolution to produce learned clauses.

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Q-Resolution:

- Combination of universal reduction and resolution for propositional logic.
- Q-resolvents C can safely be added to a PCNF because $\psi \equiv \psi \wedge C$.

Definition (Q-Resolution)

- Let C_1, C_2 be *non-tautological* clauses where $v \in C_1, \neg v \in C_2$ for an \exists -variable v .
- Variable v is the *pivot* of the Q-resolution step.
- *Tentative Q-resolvent* of C_1 and C_2 : $C_1 \otimes C_2 := (UR(C_1) \setminus \{v\}) \cup (UR(C_2) \setminus \{\neg v\})$.
- If $\{x, \neg x\} \subseteq C_1 \otimes C_2$ for some variable x , then no Q-resolvent exists.
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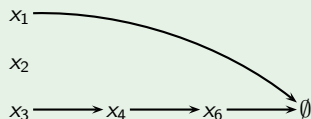
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- Idea: consider antecedent clauses by unit literal detection and the conflicting clause for possible Q-resolutions, in reverse assignment order.
- Resolve $ante(\emptyset) = (\neg x_1 \vee y_5 \vee \neg x_6)$ and $ante(x_6) = (\neg x_4 \vee x_6)$, get tentative Q-resolvent $(\neg x_1 \vee \neg x_4 \vee y_5)$ and finally the Q-resolvent $(\neg x_1 \vee \neg x_4)$ by UR.
- Add $(\neg x_1 \vee \neg x_4)$ as a learned clause.

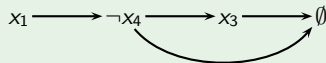


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- Add $(\neg x_1 \vee \neg x_4)$ as a learned clause.
- Retract $\{x_2, x_3, x_4, x_6\}$, continue with $A = \{x_1\}$.
- By QBCP the learned clause $(\neg x_1 \vee \neg x_4)$ is unit and $A = \{x_1, \neg x_4\}$.
- Further, clause $(x_3 \vee x_4)$ is unit and $A = \{x_1, \neg x_4, x_3\}$.
- Conflict $A = \{x_1, \neg x_4, x_3\}$, clause $(\neg x_3 \vee x_4)[A] = \perp$ conflicting.
- Resolve $\text{ante}(\emptyset) = (\neg x_3 \vee x_4)$ and $\text{ante}(x_3) = (x_3 \vee x_4)$, get Q-resolvent (x_4) .

After learning $(\neg x_1 \vee \neg x_4)$,
continue with $A = \{x_1\}$:



Example (continued)

$$\psi = \exists x_1, x_2, x_3, x_4 \forall y_5 \exists x_6. (\neg x_3 \vee x_4) \wedge (x_3 \vee x_4) \wedge (\neg x_4 \vee x_6) \wedge (\neg x_1 \vee y_5 \vee \neg x_6) \wedge \phi.$$

- Resolve $\text{ante}(\emptyset) = (\neg x_3 \vee x_4)$ and $\text{ante}(x_3) = (x_3 \vee x_4)$, get Q-resolvent (x_4) .
- Add (x_4) as a learned clause.
- Retract $\{x_1, \neg x_4, x_3\}$, continue with $A = \{\}$.
- By QBCP, get $A = \{x_4, \neg x_1, x_6\}$ since the two learned clauses became unit.
- ...

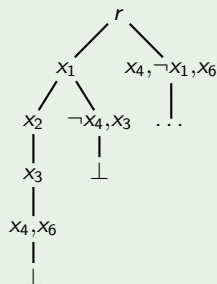
After learning $(\neg x_1 \vee \neg x_4)$ and (x_4) ,
continue with $A = \{\}$:

$$x_4 \longrightarrow \neg x_1 \longrightarrow x_6$$

Example (continued)

$$\psi = \exists x_1, x_2, x_3, x_4 \forall y_5 \exists x_6. (\neg x_3 \vee x_4) \wedge (x_3 \vee x_4) \wedge (\neg x_4 \vee x_6) \wedge (\neg x_1 \vee y_5 \vee \neg x_6) \wedge \phi.$$

- Only three decisions in left branch: x_1, x_2, x_3 .
- Other branches due to learned clauses which become unit after backtracking.
- Right branch: assignments $x_4, \neg x_1, x_6$ by unit literal detection due to learned clauses *without* decisions.
- Note: we never flipped decision variables explicitly.



Properties:

- Decisions are not explicitly flipped (unlike in backjumping).
- Our focus: learned clauses always become unit in QBCP after retracting assignments.
- Fundamentally different from backjumping and traditional backtracking.
- More powerful than backjumping: learned clauses prune search space.
- QDPLL learns the empty clause if and only if ψ is unsatisfiable.

Novel View on Search-Based Solving with Clause Learning:

- Assignment-driven engines searching for a Q-resolution proof (of unsatisfiable QBFs).
- Traditional backtracking view does not fit any more (also applies to SAT solvers).
- More appropriate name: *conflict-driven clause learning (CDCL)* for QBF (*QCDCL*).

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Modern Search-Based QBF Solving:

- Implementation: analyze must be adapted.
- Clause learning in analyze.
- Backtracking based on learned clause.
- No explicit flipping of decisions.
- Challenges: *efficient* implementation.

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Result qdpll (PCNF f)
Result r = UNDEF;
Assignment a = {};
while (true)
  /* Simplify. */
  (r,a) = qbcf (f,a);
  if (r == UNDET)
    /* Decision making. */
    a = assign_dec_var (f,a);
  else
    /* Backtracking. */
    /* r == UNSAT or r == SAT */
    btlevel = analyze (r,a);
    if (btlevel == INVALID)
      return r;
    else
      a = backtrack (btlevel);
```


Pitfall (Implementation): Traditional Clause Learning for QBF (1/2)

- *In reverse assignment order*, resolve on existential variables which were assigned as unit literals, using clauses (i.e. antecedents) which became unit during QBCP.
- Tautological resolvents by universal literals might occur but must be avoided: deviate from strict reverse assignment order [GNT06].
- Worst case exponential number of intermediate resolvents [VG12].

Example

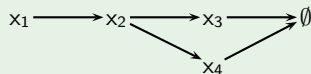
$$\begin{aligned} & \exists x_1, x_3, x_4 \forall y_5 \exists x_2 \\ & (\neg x_1 \vee x_2) \wedge \\ & (x_3 \vee y_5 \vee \neg x_2) \wedge \\ & (x_4 \vee \neg y_5 \vee \neg x_2) \wedge \\ & (\neg x_3 \vee \neg x_4) \end{aligned}$$

Assignment $A = \{x_1, x_2, x_3, x_4\}$

Assignment order: x_1, x_2, x_3, x_4

Can we resolve in reverse assignment order?

Clause $(\neg x_3 \vee \neg x_4)$ conflicting:

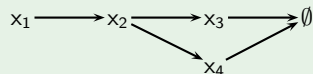


Pitfall (Implementation): Traditional Clause Learning for QBF (2/2)

Example

$$\begin{aligned} &\exists x_1, x_3, x_4 \forall y_5 \exists x_2 \\ &(\neg x_1 \vee x_2) \wedge \\ &(x_3 \vee y_5 \vee \neg x_2) \wedge \\ &(x_4 \vee \neg y_5 \vee \neg x_2) \wedge \\ &(\neg x_3 \vee \neg x_4) \end{aligned}$$

Clause $(\neg x_3 \vee \neg x_4)$ conflicting:

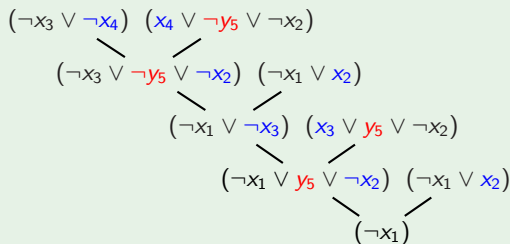


Assignment $A = \{x_1, x_2, x_3, x_4\}$

Assignment order: x_1, x_2, x_3, x_4

Resolve on: x_4, x_2 (!), x_3, x_2

Derivation of learned clause $(\neg x_1)$:



- Linear-time procedure: resolve *in* assignment order [LEVG13].

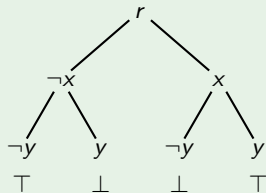
Towards a Proof System for PCNFs

Cube Learning:

- Given a solution A , i.e. $\psi[A] = \top$.
- Solution A is a branch in the assignment tree with a \top -leaf.
- All clauses in ψ are satisfied under A .
- Idea: record A as a conjunction of literals: *learned cube*.
- Dual to clauses, learned cubes become unit in QBCP after backtracking and prevent the solver from enumerating the same subassignment.

Example

- Satisfiable PCNF $\psi = \forall x \exists y. (x \vee \neg y) \wedge (\neg x \vee y)$.



Definition (model generation rule [GNT06])

Given a PCNF $\psi := \hat{Q}.\phi$ and a solution A , i.e. $\psi[A] = \top$. An *initial cube* $C = (\bigwedge_{l_i \in A} l_i)$ is a conjunction over the literals of a solution A .

Example

$\psi := \exists x_1 \forall y_8 \exists x_5, x_2, x_6, x_4. (y_8 \vee \neg x_5) \wedge (x_2 \vee \neg x_6) \wedge (\neg x_1 \vee x_4) \wedge (\neg y_8 \vee \neg x_4) \wedge (x_1 \vee x_6) \wedge (x_4 \vee x_5).$

Solution $A_1 := \{x_6, x_2, \neg y_8, \neg x_5, x_4\}$, initial cube $C_1 := (x_6 \wedge x_2 \wedge \neg y_8 \wedge \neg x_5 \wedge x_4).$

Solution $A_2 := \{y_8, \neg x_4, \neg x_1, x_5, x_6, x_2\}$, initial cube $C_2 := (y_8 \wedge \neg x_4 \wedge \neg x_1 \wedge x_5 \wedge x_6 \wedge x_2).$

Definition

Given a cube C , *existential reduction (ER)* on C produces the cube

$$ER(C) := C \setminus \{l \in C \mid q(l) = \exists \text{ and } \forall l' \in C \text{ with } q(l') = \forall : \text{var}(l') < \text{var}(l)\},$$

where $<$ is the linear variable ordering given by the quantifier prefix.

- ER is dual to universal reduction, deletes “trailing” existential literals from cubes.
- ER shortens cubes.

Example (continued)

$$\psi := \exists x_1 \forall y_8 \exists x_5, x_2, x_6, x_4. (y_8 \vee \neg x_5) \wedge (x_2 \vee \neg x_6) \wedge (\neg x_1 \vee x_4) \wedge (\neg y_8 \vee \neg x_4) \wedge (x_1 \vee x_6) \wedge (x_4 \vee x_5).$$

$$\text{Initial cube } C_1 := (x_6 \wedge x_2 \wedge \neg y_8 \wedge \neg x_5 \wedge x_4).$$

$$C_3 := ER(C_1) = (\neg y_8)$$

$$\text{Initial cube } C_2 := (y_8 \wedge \neg x_4 \wedge \neg x_1 \wedge x_5 \wedge x_6 \wedge x_2).$$

$$C_4 := ER(C_2) = (y_8 \wedge \neg x_1)$$

Definition (cube resolution [GNT06, ZM02])

Given two non-contradictory cubes C_1 and C_2 , *cube resolution* is defined analogously to Q-resolution for clauses, except:

- existential reduction.
- universal variables as pivots.

The cube resolvent of C_1 and C_2 (if it exists) is denoted by $C := C_1 \otimes C_2$.

Example (continued)

$$\psi := \exists x_1 \forall y_8 \exists x_5, x_2, x_6, x_4. (y_8 \vee \neg x_5) \wedge (x_2 \vee \neg x_6) \wedge (\neg x_1 \vee x_4) \wedge (\neg y_8 \vee \neg x_4) \wedge (x_1 \vee x_6) \wedge (x_4 \vee x_5).$$

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$$C_4 := ER(C_2) = (y_8 \wedge \neg x_1)$$

$$C_5 := C_3 \otimes C_4 = (\neg x_1), ER(C_5) = \emptyset.$$

Cube Learning:

- Model generation, existential reduction, cube resolution.
- The empty cube is derived if and only if the PCNF satisfiable.
- Dual to clause learning: driven by assignment generation, implication graphs.

Clause Learning:

- Universal reduction, Q-resolution.
- The empty clause is derived if and only if the PCNF unsatisfiable.

Definition

- PCNF $\psi := \hat{Q}. \phi$ with quantifier prefix \hat{Q} and CNF ϕ .
- *Augmented CNF* of ψ : $\psi' := \hat{Q}. (\phi \wedge \theta \vee \gamma)$.
- Original clauses ϕ .
- Learned clauses θ , filled during clause learning.
- Learned cubes γ , filled during cube learning.
- Properties: $\hat{Q}. \phi \equiv \hat{Q}. (\phi \wedge \theta)$ and $\hat{Q}. \phi \equiv \hat{Q}. (\phi \vee \gamma)$.

- QCDCL generates proofs.
- Proof generation is driven by assignments.
- QCDCL does not flip decision variables explicitly.
- Backtracking is driven by learned clauses and cubes.
- Problem: CNF is bad for cube learning.

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Inspired by efficient solvers for propositional logic (SAT).

Restarts:

- Periodically retract all assignments and start over with $A = \{\}$.
- Makes the solver incomplete unless restart period grows sufficiently large.
- Idea: getting out of “bad” regions in the search space.

Assignment Caching:

- Store assigned values other than decisions in a per-variable cache.
- If variable x is selected to make a decision, then assign cached value of x .
- Idea: re-use previous assignments in similar parts of the formula.

Deletion of Learned Clauses and Cubes:

- Formula grows steadily by addition of learned clauses and cubes.
- QBCP will be slowed down.
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Challenge: Variants of Clause/Cube Learning

Traditional Q-Resolution:

- Tautological resolvents C , i.e. where $\{v, \neg v\} \subseteq C$, are disallowed.
- In general, tautological resolvents might produce unsound results.

Long-Distance (LD) Resolution:

- Allow to produce *certain* tautological resolvents: soundness.
- Can produce exponentially shorter proofs than Q-resolution.
- Implemented in yQuaffle, DepQBF for clause learning.

QU-Resolution:

- Allow to resolve over universally quantified variables.
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Future Work:

- How to integrate QU-resolution systematically into QCDCL?

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Challenge: Variable Dependencies (1/2)

Order of Assignments:

- Given the PCNF $Q_1 B_1 Q_2 B_2 \dots Q_m B_m \cdot \phi$, QDPLL in general must only assign variables as decisions starting from B_1 to ensure soundness.

Example

The PCNF $\psi = \forall x \exists y. (x \vee \neg y) \wedge (\neg x \vee y)$ is satisfiable.

The PCNF $\psi = \exists y \forall x. (x \vee \neg y) \wedge (\neg x \vee y)$ is unsatisfiable.

- This linear ordering limits the freedom to select decision variables.

Example

$\psi = Q_1 B_1 \dots Q_n B_n \cdot \phi \wedge \phi'(B_n)$.

- ϕ : hard formula.
- $\phi'(B_n)$: easy formula over variables in B_n .
- QDPLL tends to assign variables in B_n late (except in QBCP).
- QDPLL attempts to solve hard ϕ first.

Challenge: Variable Dependencies (2/2)

Dependency Analysis:

- Are there variables which can be moved to the left end in the quantifier prefix without changing the satisfiability of ψ ?
- Related work: quantifier shifting / miniscoping in theorem proving.
- PSPACE-complete problem.

Dependency Schemes:

- Binary relation $D \subseteq V \times V$ over variables in a PCNF.
- If $(x, y) \in D$ then must assign x before y to ensure soundness.
- If $(x, y) \notin D$ then can assign x before y or vice versa.
- D computed by a syntactic analysis of the PCNF.
- Tradeoff: efficiency of computation and precision.
- Dependency Schemes in DepQBF: efficient integration as compact graphs.

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Preprocessing:

- Impressive reduction in formula size and solving time.
- Can be harmful for solvers relying on formula structure.
- Applications: preprocessing can destroy the original encoding (certificates).

CNF-based Solving and Structure Reconstruction:

- Dedicated non-PCNF solvers operating on e.g. circuit structure.
- Recent focus on CNF data structures due to efficiency.
- Structure reconstruction to extract circuit information from a CNF.
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Search-Based QBF Solving (QDPLL):

- Originates from backtracking search (1960s), like SAT solvers.
- Modern implementations: fundamentally different.

QCDCL: Assignment Generation + Clause/Cube Learning:

- More powerful than backtracking/backjumping.
- No explicit flipping of decision variables.
- Generation of resolution proofs guided by assignments.
- State-of-the-art approach, crucial implementation details.
- Future work: safely relax the quantifier ordering.
- Future work: integrate preprocessing, certificate generation.

<http://lonsing.github.io/depqbf/>



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