

# The State of SAT

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## Abstract

The papers in this special issue originated at *SAT 2001*, the Fourth International Symposium on the Theory and Applications of Satisfiability Testing. This foreword reviews the current state of satisfiability testing and places the papers in this issue in context.

*Key words:* Boolean satisfiability, complexity, challenge problems.

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## 1 Introduction

The past few years have seen enormous progress in the performance of Boolean satisfiability (SAT) solvers. Despite the worst-case exponential run time of all known algorithms, SAT solvers are now in routine use for applications such as hardware verification [1] that involve solving hard structured problems with up to a million variables [2,3]. Each year the International Conference on Theory and Applications of Satisfiability Testing hosts a SAT competition that highlights a new group of “world’s fastest” SAT solvers, and presents detailed performance results on a wide range of solvers [4,5]. In the the 2003 competition, over 30 solvers competed on instances selected from thousands of benchmark problems.

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We have organized this review around the “Ten challenges for satisfiability testing” that we published in 1997[6]. The challenges were first presented at the *International Joint Conference on Artificial Intelligence*, and since then progress reports have been maintained on the web site

<http://www.cs.washington.edu/homes/kautz/challenge>.

## 2 Challenging SAT Instances

Empirical evaluation of sat solvers on benchmark problems (such as those from [7]) has been a effective driving force for progress on both fundamental algorithms and theoretical understanding of the nature of satisfiability. The first two challenges were specific open SAT problems, one random and the other highly structured.

**Challenge 1:** *Prove that a hard 700 variable random 3-SAT formula is unsatisfiable.*

When we formulated in this challenge in 1997, complete SAT procedures based on DPLL [8] could handle around 300 to 400 variable hard random 3-SAT problems. Progress in recent years had slowed and it was not clear DPLL could be much improved upon for random 3-SAT. In particular, there was the possibility that the best DPLL methods were obtaining search trees that were close to minimal in terms of the number of backtrack points [9]. Dubois and Dequen [10], however, showed that there was still room for improvement. They introduced a new branching heuristic that exploits so-called “backbone” variables in a SAT problem. A backbone variable of a formula is a variable that is assigned the same truth value in all assignments that satisfy the maximum number of clauses. (For satisfiable formulas, these are simply the satisfying assignments of the formula.) The notion of a backbone variable came out of work on k-SAT using tools from statistical physics, which has provided significant insights into the solution structure of random instances. In particular, it can be shown that a relatively large set of backbone variables suddenly emerges when one passes through the phase transition point for k-SAT ( $k \geq 3$ ) [11]. Using a backbone-guided search heuristic, Dubois and Dequen can solve a 700 variable unsatisfiable, hard random 3-SAT instance in around 25 days of CPU time, thereby approaching practical feasibility.

In the context of this challenge, it should be noted that significant progress has been made in the last decade in terms of our general understanding of

the properties of random 3-SAT problems and the associated phase transition phenomenon. A full review of this area would require a separate paper. (See e.g. [12–21].) Many of the developments in the area have been obtained by using tools from statistical physics. This work has recently culminated in a new algorithm for solving satisfiable k-SAT instances near the phase transition point [22]. The method is called survey propagation and involves, in a sense, a sophisticated probabilistic analysis of the problem instance under consideration. An efficient implementation enables the solution of hard random 3-SAT phase transition instances of up to a million variables in about 2 hours of CPU time. For comparison, the previously most effective procedure for random 3-SAT, WalkSAT [23], can handle instances with around 100,000 variables within this timeframe. The exact scaling properties of survey propagation — and WalkSAT for that matter — are still unknown.

In conclusion, even though we have seen many exciting new results in terms of solving hard random instances, the gap between our ability to handle satisfiable and unsatisfiable instances has actually grown. An interesting question is whether a procedure dramatically different from DPLL can be found for handling unsatisfiable instances.

**Challenge 2:** *Develop an algorithm that finds a model for the DIMACS 32-bit parity problem.*

The second challenge problem derives from the problem of learning a parity function from examples. This problem is NP-complete and it is argued in [24] that any particular instance is likely to be hard to solve (although average-case NP-completeness has not been formally shown). However, this challenge was solved in 1998 by preprocessing the formula to detect chains of literals that are equivalent considering binary clauses alone, and then applying DPLL after simplification [25].<sup>1</sup> Later [26] showed similar performance by performance equivalency detection at every node in the search tree.

Parity problems are particularly hard for local search methods because such algorithms tend to become trapped at a near-solution such that a small subset of clauses is never satisfied simultaneously. Clause re-weighting schemes [27,28] try to smooth out the search space by giving higher weight to clauses that are often unsatisfied. A clause weighting scheme based on Lagrange multipliers [29] was able to solve the 16-bit versions of the parity learning problems.

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<sup>1</sup> [25] also described a general preprocessor for identifying conjunctions of nested equivalencies subformulas using linear programming.

### 3 Challenges for Systematic Search

At the time of our original challenge paper nearly all the best systematic methods for propositional reasoning on clausal formulas were based on creating a resolution proof tree.<sup>2</sup> This includes the depth-first search Davis-Putnam-Loveland-Logemann procedure (DPLL) [32,33], where the proof tree can be recovered from the trace of the algorithm’s execution, but is not explicitly represented in a data structure (the algorithm only maintains a single branch of the proof tree in memory at any one time). Most work on systematic search concentrates on heuristics for variable-ordering and value selection, all in order to reduce the size of the tree.

However, there are known fundamental limitations on the size of the shortest resolution proofs that can be obtained in this manner, even with ideal branching strategies. The study of proof complexity [34] compares inference systems in terms of the sizes of the shortest proofs they sanction. For example, two proof systems are linearly related if there is a linear function  $f(n)$  such that for any proof of length  $n$  in one system there is a proof of length at most  $f(n)$  in the other system. A family of formulas  $C$  provides an *exponential separation* between systems  $S_1$  and  $S_2$  if the shortest proofs of formulas in  $C$  in system  $S_1$  are exponentially smaller than the corresponding shortest proofs in  $S_2$ .

A basic result in proof complexity is that general resolution is exponentially stronger than the DPLL procedure [35,36]. This is because the trace of DPLL running on an unsatisfiable formula can be converted to a tree-like resolution proof of the same size, and tree-like proofs must sometimes be exponentially larger than the DAG-like proofs generated by general resolution. Furthermore, it is known that even general resolution requires exponentially long proofs for certain “intuitively easy” problems [37–39]. The classic example are “pigeon hole” problems that represent the fact that  $n$  pigeons cannot fit in  $n - 1$  holes. Shorter proofs do exist in more powerful proof systems. Examples of proof systems more powerful than resolution include extended resolution, which allows one to introduce new defined variables, and resolution with symmetry-detection, which uses symmetries to eliminate parts of the tree without search. Assuming  $NP \neq co - NP$ , even the most powerful propositional proof systems would require exponential long proofs worst case — nonetheless, such systems provably dominate resolution in terms of minimum proof size.

Early attempts to mechanize proof systems more powerful than tree-like resolution gave no computational savings, because it is *harder* to find the small

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<sup>2</sup> Much work in verification has involved non-clausal representations, in particular Boolean Decision Diagrams [30,31]; but the large body of work on BDD’s will not be further discussed here.

proof tree in the new system than to simply crank out a large resolution proof. In essence, the overhead in dealing with the more powerful rules of inference consumes all the potential savings. Our third challenge was to present a practical proof system more powerful than resolution. In reviewing progress in this area we first consider systems more powerful than tree-like (DPLL) resolution, and next ones more powerful than general resolution.

### 3.1 Beyond DPLL

**Challenge 3A:** *Demonstrate that a propositional proof system more powerful than tree-like resolution can be made practical for satisfiability testing.*

Two new satisfiability testing algorithms were introduced in 1997, the same year as our challenge paper: rel-sat [40] and SATO [41]. Both were versions of DPLL augmented with “conflict clause learning”, a technique that grew out of research in AI on explanation-based approaches to speed-up learning [42–44]. The idea in clause learning is that at each backtrack point the system derives a reason for the inconsistency in the form of a new clause added to the original formula. Rel-sat and SATO were surprisingly powerful, and even able to solve open problems in finite mathematics. Clause learning was further developed for the solvers GRASP [45], Chaff [46,47] and BerkMin [48], and is currently a key technique in backtracking SAT solvers for applications such as verification.

Marquis-Silva [49] observed that clause learning can be viewed as adding resolvents to a tree-like proof, and Zhang [47] showed how different clause learning schemes could be categorized according to way clauses were derived from cuts in a data structure called a *conflict graph*.

Although the empirical power of clause learning had been clear for several years, Beame *et al.* [50] provided the first proof of an exponential separation between clause learning and ordinary DPPL. The result was, in fact, even stronger: they showed that there are formulas with short clause learning proofs that require exponentially large *regular resolution* proofs. Regular resolution proofs are DAGS, as in general resolution, but are restricted so that no variable is resolved upon more than once in any path from the root to a leaf. It is easy to see that all tree-like proofs are regular but not vice-versa. They further showed that combining clause learning with *restarts* [51,52] (where learned clauses are saved between restarts) is equivalent to general resolution. However, the questions of whether clause learning is *strictly stronger* than regular resolution — that is, whether or not there are also formulas with short regular proofs but long clause proofs — and whether clause learning *without* restarts is equivalent to general resolution are open.

Making clause learning work well in practice requires efficient strategies for managing the large number of learned clauses. The first technique developed for this management problem was relevance-bounded learning [40,41]. The idea is to discard a learned clause once it is unlikely to be useful later on in the proof. A simple but effective strategy is to throw out clauses of length greater than some fixed  $k$  when the search backtracks above the point at which any of the literals in the clause are assigned a value [40]. A second important management technique, called “watched literals”, was most fully exploited in Chaff [46]. Watched literals is actually a generic technique for reducing the time needed to tell which clauses have been shortened to length one during the DPPL’s unit propagation step. Two literals are arbitrarily chosen in each clause to be “watched”. When a literal is set, rather than scanning through all clauses containing the negation of the literal, the algorithm only scans clauses contained *watched* negations of the literal. It is easy to see that this technique still finds all unit clauses, because such a clause is guaranteed to be scanned once it becomes a binary clause. Watched literals allows modern solvers to handle millions of learned clauses with small time overhead (although space can then become problematic).

Clause learning strategies and variable branching strategies have traditionally been studied separately. However, [53] shows that there is great promise in developing branching strategies that explicitly take into account the order in which clauses are learned. They considered a class of formulas known as pebbling formulas [35,54–56], which can be thought of as representing precedence graphs in dependent task systems and scheduling scenarios. Such formulas require exponential-sized proofs for tree-like resolution, but have polynomial clause-learning proofs. However, it remains difficult to *find* such proofs. [53] preprocesses the formula to extract a *domain-specific* branching sequence — that is, a branching order that can be formally shown to yield small clause learning proofs for formulas encoding pebbling graphs. While ordinary DPLL (with a good branching order) scales to problems with about 60 variables on the pebbling formulas, and clause learning alone scales to 4,000 variables, clause learning with the domain specific ordering handles over 2,000,000 variables. To make this work of practical use we need to develop domain-specific strategies for other common structures that arise in applications such as verification or planning, and automated or semi-automated techniques for recognizing the structures.

### 3.2 Beyond General Resolution

**Challenge 3B:** *Demonstrate that a propositional proof system more powerful than general resolution can be made practical for satisfiability testing.*

Currently the most practical extension of general resolution is symmetry detection. The pigeon hole problem is intuitively easy because we immediately see that different pigeons and holes are indistinguishable, so we do not need to actually consider all possible matchings — without loss of generality, attempting to find a particular (say, lexicographically ordered) matching suffices. [57] showed how to determine if there existed a renaming (permutation)  $\psi$  of the variables in a formula that resulted in the same set of clauses, which justified a new rule of inference: from any clause  $(a \vee b \vee \dots)$ , infer  $(\psi(a) \vee \psi(b) \vee \dots)$ . [58] introduced a different way of using symmetries, by strengthening the formula through the addition of clauses that ruled out all but one of the symmetric cases. The drawback of this approach appeared to be the large (quadratic) number of symmetry breaking clauses needed; but [59] showed that a linear sized set of symmetry-breaking predicates was logically equivalent, and led to dramatic speedup on certain structured benchmark problems. Symmetry detection is not, however, a cure-all; [60] showed that any formula that was exponential for resolution could be transformed into one that was still exponential for resolution plus symmetry detection, by adding new literals and clauses that “hid” the symmetry.

As we have noted clause learning alone does not exceed the power of general resolution. However, if instead of caching conflicts, one modifies DPLL so that the entire residual formula at each node in the search tree is cached, then the proof complexity of the resulting system can exceed resolution [61] (if the test for a cached formula includes subsumption checking). Furthermore, [62] argues that formula caching is the fastest practical algorithm for *counting* the number of solutions of formula.

**Challenge 4:** *Demonstrate that integer programming can be made practical for satisfiability testing.*

Over the years, there has been a significant amount of work on the close connection between 0/1 integer programming and SAT (e.g., [63,64]). A key question is whether techniques developed for integer programming can be of use in SAT solvers. So far, it has been difficult to obtain a concrete computational advantage of integer programming methods on practical SAT instances. The recent work by Warners and van Maaren provides two promising examples of where integer programming and related techniques may have an impact. First, as discussed above, linear programming can be used in a two-phase algorithm for the 32-bit parity formulas [25]. Secondly, by using a semi-definite programming formulation, pigeon hole formulas can be solved efficiently [65]. The challenge remains to incorporate these approaches in more general, practical SAT solvers.

In recent years, we have also seen an interesting development in the opposite direction: use SAT techniques in the design of more efficient solvers for 0/1 in-

teger programming problems. More specifically, one considers pseudo-Boolean encodings, which use Boolean variables and linear inequalities over such variables with integer coefficients. Most interestingly, some of the best solvers for pseudo-Boolean problems are extensions of the best SAT solvers [66–68].

## 4 Challenges for Stochastic Search

**Challenge 5:** *Design a practical stochastic local search procedure for proving unsatisfiability.*

Given the success of local search style procedures on satisfiable problem instances, it would be interesting to use a local search strategy for finding “proof objects”, *i.e.*, objects that demonstrate the unsatisfiability of an instance. This challenge remains wide open. A key issue is the need to find smaller proof objects. Work on strong backdoor sets, which are small sets of variables that, together with a polytime propagation method, can demonstrate unsatisfiability may lead to some new opportunities in this area [69].

**Challenge 6:** *Improve stochastic local search on structured problems by efficiently handling variable dependencies.*

DPLL procedures handle variable dependency quite effectively through unit propagation. Local search methods, such as Walksat, handle dependencies through a random walk process, which may require on the order of  $N^2$  flips to travel a dependency chain of  $N$  variables [70]. Given the large number of dependent variables in structured instances, the local search methods therefore are often less effective than local search style methods. Note that this is not always the case. For example, in runs on verification benchmarks, Velev [2] showed how the performance of DLM [71] and Walksat [23,72] is comparable to many of the best DPLL style methods. A series of papers, such as [73–78] among others, has also led to a much improved understanding of local search methods for SAT.

Hirsch [79] introduces a local search procedure, UnitWalk, where variable dependencies are propagated explicitly as part of the search process. The propagation strategy is closely related to the one studied in [80]. UnitWalk is quite effective on certain classes of structured problems but there is still room for improvement. Comparisons with WalkSat shows that neither strategy dominates. This led to QingTing [81], which is a local search solver that dynamically switches between a UnitWalk and a Walksat strategy, depending on the underlying structure of the problem.

In a different approach to handling dependencies, in [70], redundant clauses



are added to the SAT problem instances in a preprocessing phase. The redundant clauses capture long range dependencies between variables. It can be shown, both theoretically and empirically, that such redundant clauses speed up a local search style solver.

Although the challenge problem was formulated specifically in the context of local search methods, techniques for discovering and exploiting various forms of variable dependencies have also been shown to be effective for DPLL style procedures. See, for example, [82–84].

## 5 Randomized Systematic Search

**Challenge 7:** *Demonstrate the successful combination of stochastic search and systematic search techniques, by the creation of a new algorithm that outperforms the best previous examples of both approaches.*

[85,86] present hybrid approaches, integrating a local search and a DPLL solver. Variable dependencies are exploited by analyzing sub-formulas as they are generated at nodes in the DPLL tree. This work provides a promising step towards hybrid solvers, but it remains a challenge to have such solvers outperform non-hybrids on a wide range of benchmark problems.

We implicitly assumed in this challenge, as was common at the time, that stochastic search refers to some form of local search. Systematic, complete methods, such as DPLL, were generally deterministic. A major recent change during the last five years came out of the insight that adding randomization to a complete search method, combined with a restart strategy, can provide a significant computational advance [51]. (Note that explicit randomization is not required. For example, clauses learning between restarts of a DPLL solver, such as used in Chaff, also forces explorations of different parts of the search space on different restarts.)

Randomization and restarts take advantage of the large variations that have been observed between different runs of backtrack search procedures on a given problem instance. In fact, it has been shown that randomized DPLL run time distributions are often — but not always — “heavy-tailed” [87–90]. This means that one observes a mixtures of run times on dramatically different scales. By using rapid restarts, one can take advantage of the occasionally short, successful run [51]. In a recent paper [69], it was shown that such short runs can be explained by the existence of a small set of *backdoor* variables in the problem instance. Once backdoor variables are assigned a value, the polytime propagation and simplification mechanism of the solver under consideration sets the remaining variables without further backtracking. (In case

of a unsatisfiable instances, the propagation mechanisms discovers an inconsistency after propagation.) Practical problem instances can have surprisingly small sets of backdoor variables. We have observed structured instances with tens of thousands of variables with backdoor sets of around a dozen variables. Randomization and restarts, in conjunction with the variable selection heuristics, help the solver discover the backdoor sets. Work on backdoor variables and clause learning, as discussed above, is providing us with a better understanding as to why structured SAT instances with up to a million variables, from, e.g., verification applications, can be solved with current state-of-the-art solvers.

An important related issue is how to decide on a good restart policy. Luby *et al.* [91] described restart policies for general randomized algorithms for two scenarios where runtime itself is the only observable: (i) when each run is a random sample from a known distribution, one can calculate a fixed optimal cutoff; (ii) when there is no knowledge of the distribution, a *universal schedule* mixing short and longer cutoffs comes within a log factor of the minimal run time. Horvitz *et al.* [92] showed that it is possible to do better than Luby’s fixed optimal policy by making observations of a variety of features related to the nature and progress of problem solving during an early portion of the run (referred to as the *observation horizon*) and learning, and then using, a Bayesian model to predict the length of each run. Examples of features of a running SAT solver (satz) included the minimum, maximum, final, and average values of (1) The number of backtracks; (2) The number of unit propagations; (3) Domain-specific measures of the current subproblem (for example, for a coloring problem, the number of nodes that have been colored), as well as the derivatives of such values.

Ruan *et al.* [93] considered the case where there are  $k$  known distributions, and each run is a sample from *one* of the distributions—but the solver is not told *which* distribution. The paper showed how offline dynamic programming can be used to generate the optimal restart policy, and how the policy can be coupled with real-time observations to control restarting. In recent work the same authors [94] generalize this to the case where the  $k$  distributions are not specified in advance: instead, the solver first infers how a problem ensemble can be decomposed into a set of sub-ensembles such that each sub-ensemble clusters instances with similar runtime distributions.

## 6 Challenges for Problem Encodings

**Challenge 8:** *Characterize the computational properties of different encodings of a real-world problem domain, and/or give general principles that hold over a range of domains.*

There has been a good amount of work on comparing different SAT encodings. For example, [95,96] consider different translations of constraint satisfaction problems (CSP) into SAT. A central issue in this work is what kinds of encodings preserve local CSP consistency checking in the SAT encoding, where local processing consists mainly of unit-propagation. By exploiting some key ideas from CSPs, such as m-loosenes [97], one can in fact optimize the SAT encodings [98]. Examples of other work in the area are on encoding planning problems [99,100] and quasi-group completion problems (a multi-coloring task) [101].

This work shows clearly that encodings have a significant impact on the practical solvability of the underlying problems. Some general lessons have been obtained, but there is still a need for more unifying, domain-independent principles.

**Challenge 9:** *Find encodings of real-world domains which are robust in the sense that “near models” are actually “near solutions”.*

In our work on planning [102], we noticed that assignments that satisfy all but a few of the clauses encoding our planning problems often represented action sequences that were very different from valid plans. This means that there can be a significant practical mismatch between a solver that tries to maximize the number of satisfied clauses (which is the standard approach is SAT solvers) and the search for valid plans. In particular, maximizing the number of satisfied clauses does not lead to nearly valid plans. It would seem that it should be possible to design better SAT encodings. This challenge remains open. For some related work, dealing with the robustness of encodings in general, see [103].

**Challenge 10:** *Develop a generator for problem instances that have computational properties that are more similar to real-world instances.*

The final challenge is in response to the concern that the random  $k$ -SAT formulas that dominated benchmarks in 1997 might begin to drive research in the wrong direction [104]. [105] introduced a generation model based on the quasigroup (or Latin square) completion problem (QCP). The task is to determine if a partially colored square can be completed so that no color is repeated in any row or any column. QCP is an NP-complete problem, and random instances exhibit a peak in problem hardness in the area of the phase transition in the percentage of satisfiable instances generated as the ratio of the number of uncolored cells to the total number of cells is varied. The structure implicit in a QCP problem is similar to that found in real-world domains, such as scheduling, bandwidth assignment, and experimental design.

In order to measure the performance of incomplete solvers, it is necessary to have benchmark instances that are known to be satisfiable. This require-

ment is problematic in domains where incomplete methods can solve larger instances than complete methods: it is not possible to use a complete method to filter out the unsatisfiable instances. [101] described a generation model for quasigroup completion problems that are always guaranteed to be satisfiable. Another interesting approach for generating satisfiable instances is based on a translation of problems from cryptography [106].

Structured problem generators have also been created by linking a random generator for some particular domain to a SAT translator. For example, the Blackbox planning system [107] can be used to convert STRIPS planning problems into CNF formulas. The Blackbox distribution included a simple generator for random logistics planning problems, making it easy to generate random SAT problems that have the underlying structure of a planning problem.

Many SAT benchmarks today are encodings of bounded-model checking verification problems [1,108]. While hundreds of specific problems are available, it would be useful to be able to randomly generate similar problems by the thousands for testing purposes: we hope to encourage the creation of such a tool.

## 7 Contributions

This volume contains eight papers that exemplify areas of recent progress on satisfiability testing and related problems. Preliminary versions of these papers were presented at the 2001 SAT Symposium.

The paper by Kaporis, Kirousis, Stamatiou, Vamvakari, and Zito provides new results on the location of the unsatisfiability threshold for random  $k$ -SAT. This work is the next step in a series of increasingly better bounding results for the  $k$ -SAT threshold. The upperbounds are obtained via sophisticated probabilistic arguments. It will be interesting to see whether these insights can be translated into an algorithmic approach to directly tackle our first challenge.

Several papers discuss techniques for improving systematic search methods, such as DPPL, as discussed in our third challenge. Shlyakhter describes a strategy for capturing symmetries by inferring symmetry-breaking predicates that can be added to the formula. Goldberg and Novicov describe Berkmin, which is a DPPL style solver with superior performance, building on GRASP, SATO, and Chaff. Williams and Ragno introduce an alternative systematic search paradigm, called conflict-directed  $A^*$ , for solving optimal constraint satisfaction problems. They demonstrate the effectiveness of this strategy in

the context of reasoning about model-based embedded systems.

Iwama and Tamaki show how the random-walk based local search algorithm analyzed by Schoning on 3-SAT can be improved upon on formulas that have an imbalance between 0's and 1's in the satisfying truth assignments. Such an imbalance is present in many encodings of practical combinatorial problems. Incorporating such extra knowledge about the variable settings into a local search procedure provides a step towards the resolution of our sixth challenge.

Randomization has been a standard component of local search methods but recently the benefits of randomization have also been demonstrated for complete search. Lynce and Marques-Silva provide a detailed study of the use of various randomization techniques in complete search, both for variable and value selection. Randomized DPLL style procedures can be viewed as providing a bridge between complete and local search methods.

The final two papers in this issue explore richer problem encodings that reach beyond the Boolean propositional approach. Bejar, Manyá, Cabiscol, Fernandez, and Gomes introduce a many-valued extension of SAT. This formalism lies in between SAT and general constraint satisfaction approaches. By carefully limiting the extension of SAT, they are able to maintain very efficient solution strategies while exploiting more compact encodings. Finally, Hunt, Marathe, and Stearns provide a detailed analysis of a range of extensions of SAT, including quantified and stochastic constrained satisfaction problems.

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