



Formal proofs for Cylindrical Algebraic Coverings

... and other nonlinear reasoning techniques

Gereon Kremer





Some context

Assume

- ▶ you have an **SMT solver** (like `cvc5`)
- ▶ you support **nonlinear arithmetic reasoning**
- ▶ you produce **formal proofs** in the core solver (\rightarrow Haniel's talk)
- ▶ you want to have **proofs for theory reasoning**



Overview

- 1 Some arithmetic methods
- 2 Proofs for CAD
- 3 Cylindrical Algebraic Coverings
- 4 Proofs for Cylindrical Algebraic Coverings
- 5 Outlook



Proofs for incremental linearization

- ▶ Obtain a (linear) model
- ▶ Select a lemma schema
- ▶ Instantiate appropriately
- ▶ Refute the current (linear) model

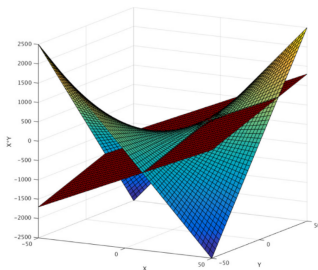
[Cimatti et al. 2018]



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$$(x \cdot y \geq b \cdot x + a \cdot y - a \cdot b)$$
$$\Leftrightarrow (x \leq a \wedge y \leq b) \vee (x \geq a \wedge y \geq b)$$



Source: [Cimatti et al. 2018]

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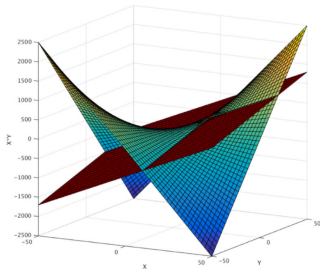
Proofs for incremental linearization

- ▶ Obtain a (linear) model
 - ▶ Select a lemma schema
 - ▶ Instantiate appropriately
 - ▶ Refute the current (linear) model
-
- ▶ Most of them are even simpler:

$$(x = 0) \vee \neg(x = 0)$$

$$(x \cdot z + y \cdot z > 0) \\ \Rightarrow (k = x + y \wedge k \cdot z > 0)$$

$$(x \cdot y \geq b \cdot x + a \cdot y - a \cdot b) \\ \Leftrightarrow (x \leq a \wedge y \leq b) \vee (x \geq a \wedge y \geq b)$$



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Proofs for some other arithmetic methods

▶ Simplex

- ▶ Input constraints $\bigwedge_j \sum_i c_{ij} \cdot x_i \bowtie_j c_{0j}, \bowtie_j \in \{>, \geq\}$
- ▶ **Farkas lemmas** provides coefficients for $\sum_j s_j \sum_i c_{ij} \cdot x_i = 0$
- ▶ But either $\sum_j c_{0j} > 0$ or some \bowtie_j is strict

▶ Interval Constraint Propagation

- ▶ Propagation: $(0 \leq x \leq 2) \wedge (y = x^2) \Rightarrow (0 \leq z \leq 4)$
- ▶ Split: $(x < 7) \vee (x = 7) \vee (x > 7)$

▶ Incremental linearization for transcendental functions [Cimatti et al. 2018]

- ▶ $\exp(x) > 0, (x > 0) \Rightarrow (\exp(x) > t + 1), \sin(x) = \sin(-x), \dots$
- ▶ Tangent lemmas based on Taylor approximations



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For all of them:

Lemmas may be **difficult to find**, but are **easy to prove**.



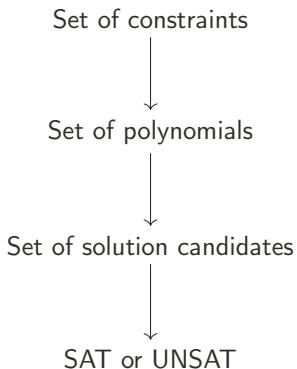
Cylindrical Algebraic Decomposition

A brief digression...



Cylindrical Algebraic Decomposition

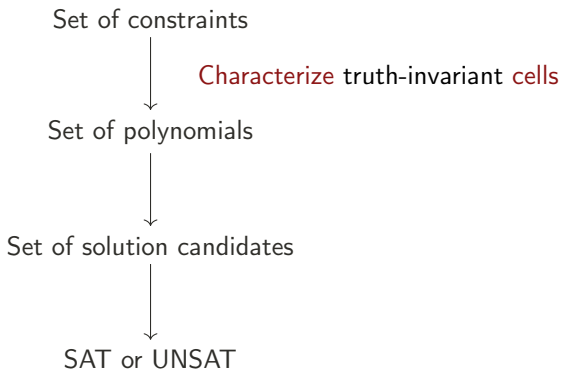
A very very very very abstract view:





Cylindrical Algebraic Decomposition

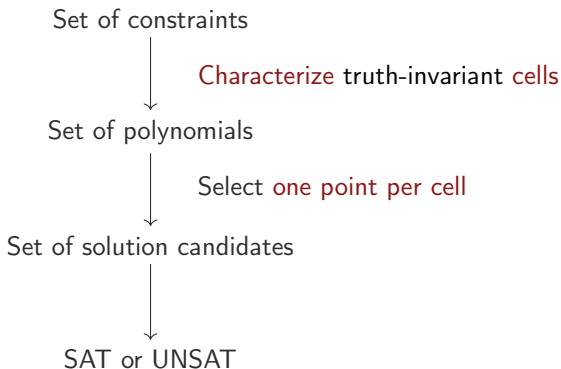
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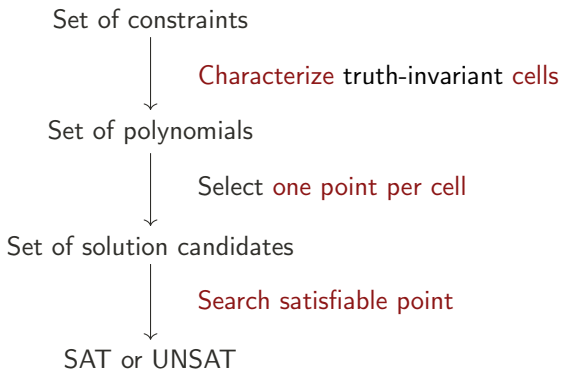
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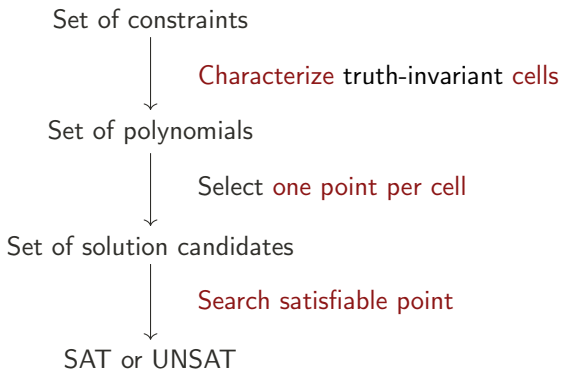
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Cylindrical Algebraic Decomposition

A very very very very abstract view:



What is the argument for answering UNSAT?

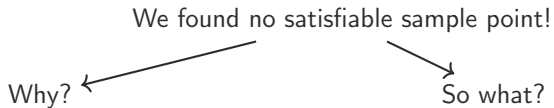


Proof sketch for CAD

We found no satisfiable sample point!



Proof sketch for CAD





Proof sketch for CAD

We found no satisfiable sample point!

Why?



Prove evaluation correct
needs **RAN** reasoning

So what?



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Set of candidates was sufficient!



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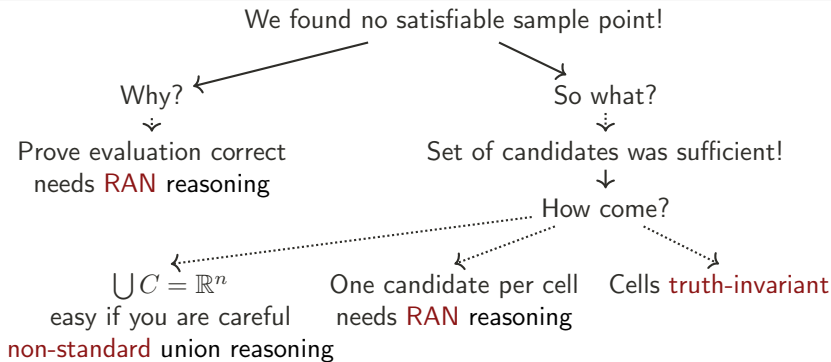
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How come?

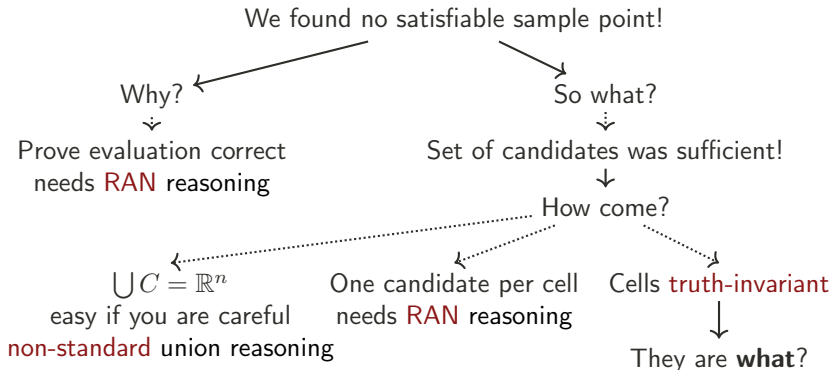


Proof sketch for CAD



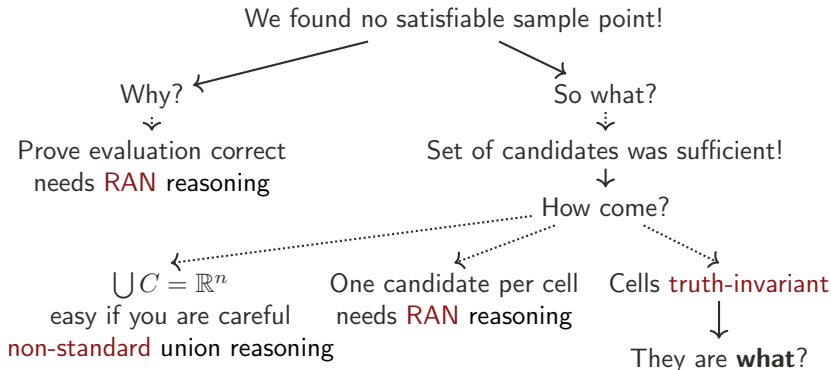


Proof sketch for CAD





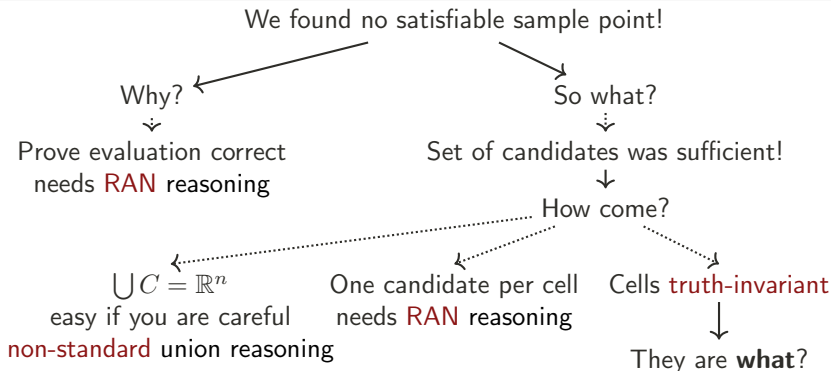
Proof sketch for CAD



First you compute polynomials in this particular way. Then the theorem of Puiseux with parameters tells you where some factors of these do or do not vanish, and if the coefficients are (complexifications of) real analytic functions, the polynomials are a complex conjugation invariant. With the non-standard valuation for real root isolation to avoid nullification, ...



Proof sketch for CAD



First you compute polynomials in this particular way. Then the theorem of Puiseux with parameters tells you where some coefficients are 0 or ∞ , and if the coefficients are (complexifications of) real algebraic functions, the polynomials are a complex conjugation invariant. With the non-standard valuation for real root isolation to avoid nullification, ...

just trust "me"
with this huge monolithic proof



Some attempts

Formalizations **within theorem provers**:

- ▶ RAN reasoning in Coq and Isabelle/HOL
[Cohen 2012] [Thiemann et al. 2016] [Joosten et al. 2020]
- ▶ Sturm sequences in Coq
[Eberl 2015]
- ▶ Implementation of CAD in Coq (no proofs)
[Mahboubi 2007]



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- ▶ What if our **algorithms are different**?
Lazard valuation; Sturm's theorem vs. Descartes' rule of signs; ...
- ▶ Will **anyone ever understand** these proofs?
- ▶ What about **other proof checkers**?



Cylindrical Algebraic Coverings

Like CAD, but different.

- ▶ Regular CDCL(T)-style theory solver
- ▶ Algorithm similar to MCSAT / NLSAT
- ▶ Theory straight from CAD

[Ábrahám et al. 2021]



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Why should we care?

[Ábrahám et al. 2021]



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Why should we care?

QF_NRA	sat	unsat	solved
cvc5	5137	5596	10733
Yices2	4966	5450	10416
z3	5136	5207	10343
cvc5-old	3421	5376	8797

[Ábrahám et al. 2021]



Fundamental intuition

- ▶ **Guess** partial assignment

$$s_1 \times \cdots \times s_k \times s_{k+1}$$



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- ▶ **Guess** partial assignment

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- ▶ **Refute** partial assignment using **intervals**

$$s \notin s_1 \times \cdots \times s_k \times (a, b)$$



Fundamental intuition

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- ▶ Refute partial assignment using intervals

$$s \notin s_1 \times \cdots \times s_k \times (a, b)$$

- ▶ Lift covering to lower dimension

$$s_1 \times \cdots \times s_k \times \{(-\infty, a), [a, b], \dots (z, \infty)\} \rightarrow s_1 \times \cdots \times s_{k-1} \times (\alpha, \beta)$$



Fundamental intuition

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- ▶ Lift covering to lower dimension

$$s_1 \times \cdots \times s_k \times \{(-\infty, a), [a, b], \dots (z, \infty)\} \rightarrow s_1 \times \cdots \times s_{k-1} \times (\alpha, \beta)$$

- ▶ Eventually get satisfying assignment or a covering in first dimension

$$s = s_1 \times \cdots \times s_n \quad \text{OR} \quad s_1 \not\subseteq \{(-\infty, a), [a, b], \dots (z, \infty)\}$$



Cylindrical Algebraic Coverings in a nutshell

- ▶ Fix a **variable ordering**
- ▶ For the k th variable
 - ▶ Use constraints to **exclude unsatisfiable intervals**
 - ▶ **Guess** a value for the k th variable
 - ▶ Recurse to $k + 1$ st variable and obtain
 - ▶ a **full variable assignment** (\rightarrow return SAT)
 - ▶ or a **covering for the $k + 1$ st variable**
 - ▶ Use **CAD machinery** to infer an interval from this covering
- ▶ Until the collected intervals form a **covering** for the k th variable

Called for the first variable, we get either

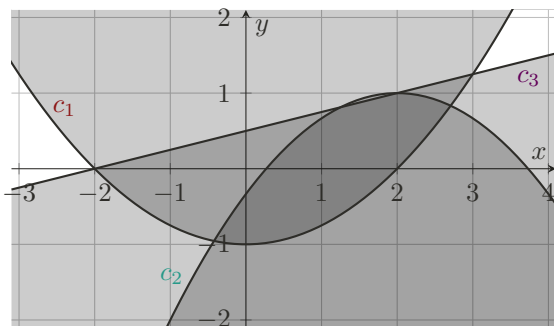
- ▶ a **model**, or
- ▶ a **conflict** (formulated as a covering).

[Ábrahám et al. 2021]



An example

$$c_1 : 4 \cdot y < x^2 - 4 \quad c_2 : 3 \cdot y > 5 - (x - 2)^2 \quad c_3 : 4 \cdot y > x + 2$$

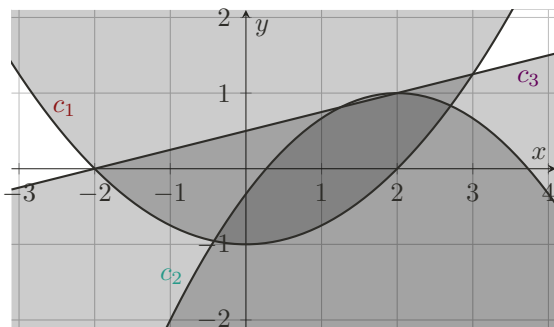




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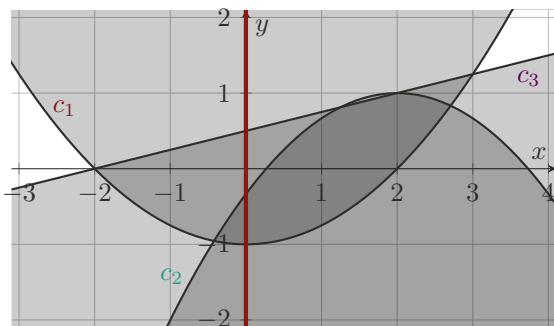
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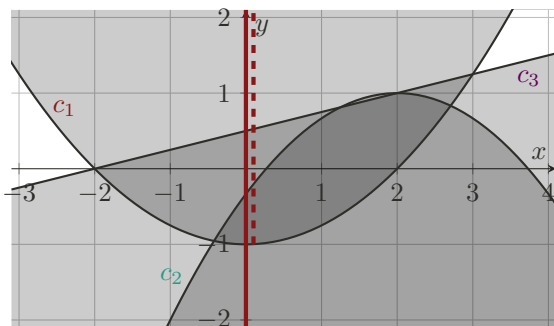


No constraint for x
Guess $x \mapsto 0$



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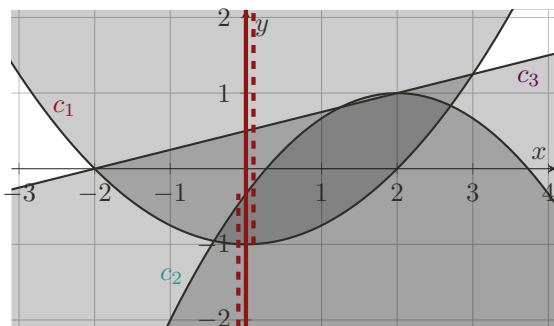
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$c_1 \rightarrow y \notin (-1, \infty)$



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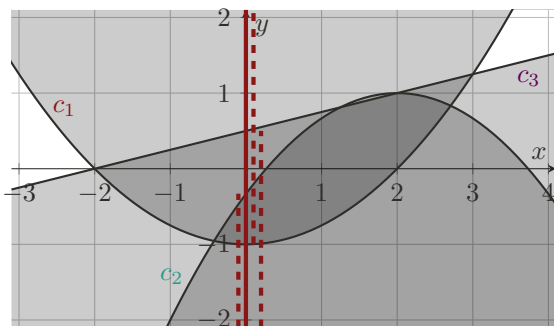
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$$c_2 \rightarrow y \notin (-\infty, -0.33)$$



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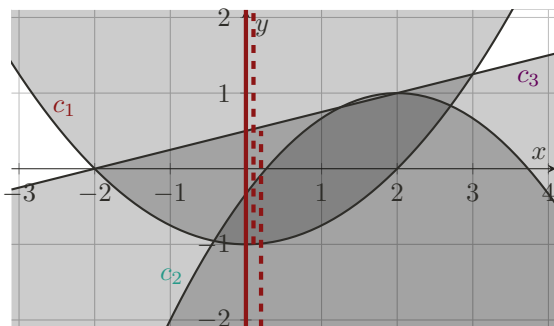
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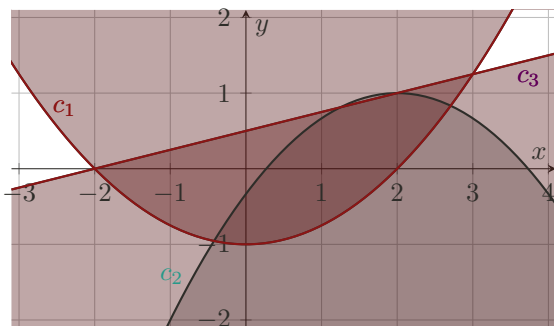
Construct covering

$$(-\infty, 0.5), (-1, \infty)$$



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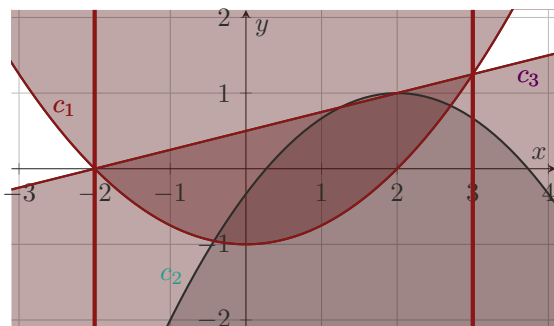
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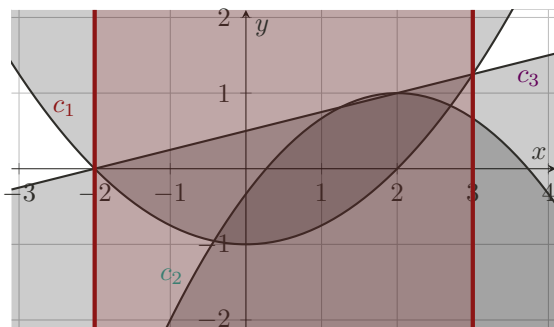
Construct interval for x

$$x \notin (-2, 3)$$



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Construct covering

$$(-\infty, 0.5), (-1, \infty)$$

Construct interval for x

$$x \notin (-2, 3)$$

New guess for x



The main algorithm

```
function get_unsat_cover( $(s_1, \dots, s_{i-1})$ )
```

```
   $\mathbb{I} := \text{get\_unsat\_intervals}(s)$ 
```

```
  while  $\bigcup_{I \in \mathbb{I}} I \neq \mathbb{R}$  do
```

```
     $s_i := \text{sample\_outside}(\mathbb{I})$ 
```

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    if  $i = n$  then return (SAT,  $(s_1, \dots, s_{i-1}, s_i)$ )
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       $J := \text{interval\_from\_characterization}((s_1, \dots, s_{i-1}), s_i, R)$ 
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Real root isolation over a partial sample point



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Recurse to next variable

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Recurse to next variable

CAD-style projection:
Roots of polynomials restrict where covering is still applicable



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     $J := \text{interval\_from\_characterization}((s_1, \dots, s_i), R)$ 
```

```
     $\mathbb{I} := \mathbb{I} \cup \{J\}$ 
```

```
return (UNSAT,  $\mathbb{I}$ )
```

Real root isolation over a partial sample point

Select sample from $\mathbb{R} \setminus I$

Recurse to next variable

CAD-style projection:
Roots of polynomials restrict where covering is still applicable

Extract interval from polynomials



The main algorithm

```
function get_unsat_cover(( $s_1, \dots, s_{i-1}$ ))
```

```
 $\mathbb{I} := \text{get\_unsat\_intervals}(s)$ 
```

```
while  $\bigcup_{I \in \mathbb{I}} I \neq \mathbb{R}$  do
```

```
   $s_i := \text{sample\_outside}(\mathbb{I})$ 
```

```
  if  $i = n$  then return (SAT, ( $s_1, \dots, s_{i-1}, s_i$ ))
```

```
  ( $f, O$ ) := get_unsat_cover(( $s_1, \dots, s_{i-1}, s_i$ ))
```

```
  if  $f = \text{SAT}$  then return (SAT,  $O$ )
```

```
  else if  $f = \text{UNSAT}$  then
```

```
     $R := \text{construct\_characterization}((s_1, \dots, s_i))$ 
```

```
     $J := \text{interval\_from\_characterization}((s_1, \dots, s_i), R)$ 
```

```
     $\mathbb{I} := \mathbb{I} \cup \{J\}$ 
```

```
return (UNSAT,  $\mathbb{I}$ )
```

Real root isolation over a partial sample point

Select sample from $\mathbb{R} \setminus I$

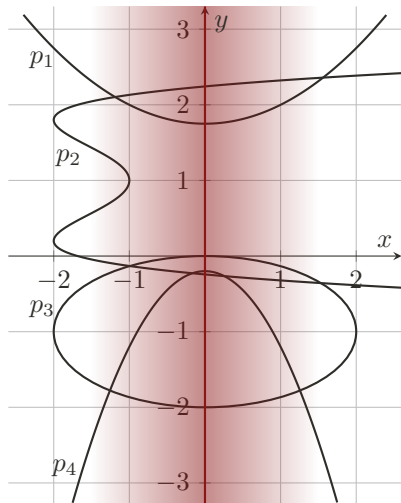
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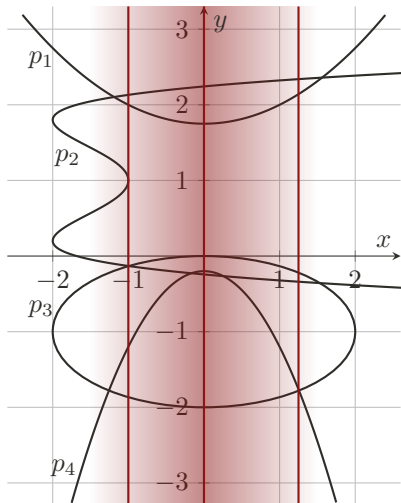
construct_characterization



Identify region around sample



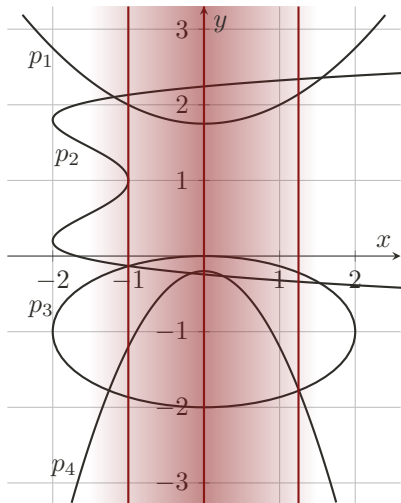
construct_characterization



Identify region around sample



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Identify region around sample

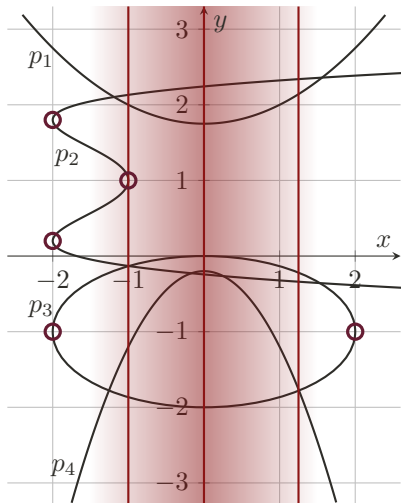
CAD projection:

Discriminants (and coefficients)

Resultants



construct_characterization



Identify region around sample

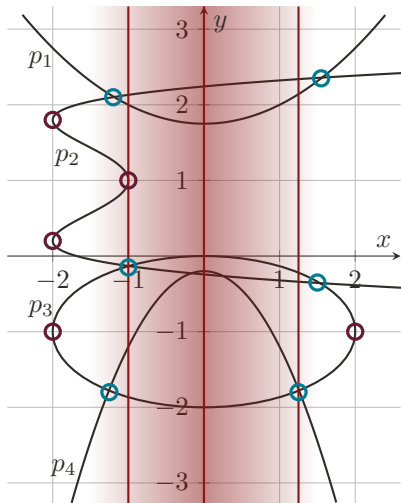
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construct_characterization



Identify region around sample

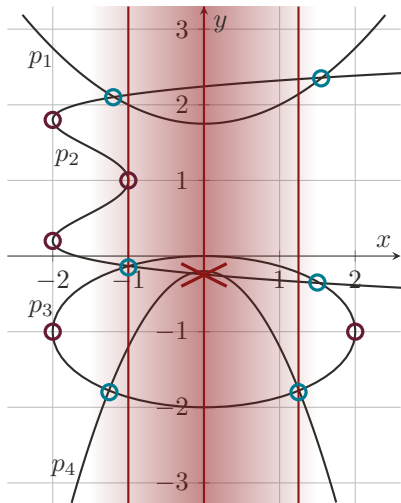
CAD projection:

Discriminants (and coefficients)

Resultants



construct_characterization



Identify region around sample

CAD projection:

Discriminants (and coefficients)

Resultants

Improvement over CAD:

Resultants between **neighbouring intervals only!**



Proofs for Cylindrical Algebraic Coverings

Are proofs trivial now?

[Abrahám et al. 2021]



Proofs for Cylindrical Algebraic Coverings

Are proofs trivial now?

No, **but**:

- ▶ Proof is much **more constructive**
- ▶ Hard reasoning is **local to a partial assignment**
- ▶ Feels **more natural**

[Abrahám et al. 2021]



Proofs for Cylindrical Algebraic Coverings

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No, **but**:

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- ▶ Hard reasoning is **local to a partial assignment**
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Basically, we claim:

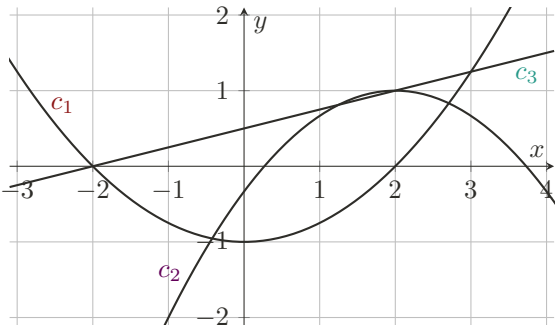
- ▶ Algorithm **is a proof sketch** (CAD is not)
- ▶ Proof steps are **reasonably intuitive** (CAD is not)

[Abrahám et al. 2021]



An example

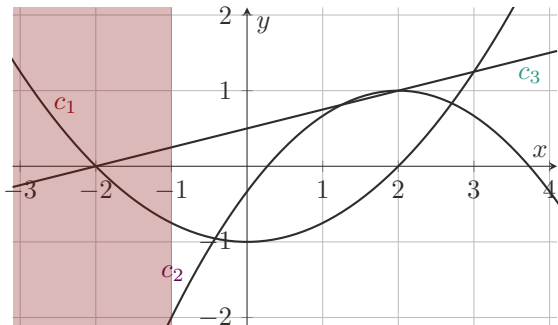
$$c_1 : 4 \cdot y < x^2 - 4 \quad c_2 : 3 \cdot y > 5 - (x - 2)^2 \quad c_3 : 4 \cdot y > x + 2 \quad c_4 : x > -1 \quad c_5 : x < 2$$





An example

$$c_1 : 4 \cdot y < x^2 - 4 \quad c_2 : 3 \cdot y > 5 - (x - 2)^2 \quad c_3 : 4 \cdot y > x + 2 \quad c_4 : x > -1 \quad c_5 : x < 2$$

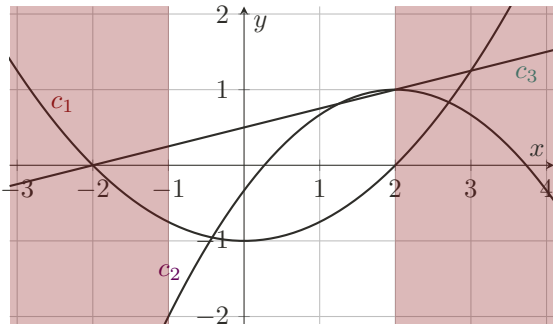


$$c_4 \rightarrow x \notin (-\infty, -1]$$



An example

$$c_1 : 4 \cdot y < x^2 - 4 \quad c_2 : 3 \cdot y > 5 - (x - 2)^2 \quad c_3 : 4 \cdot y > x + 2 \quad c_4 : x > -1 \quad c_5 : x < 2$$



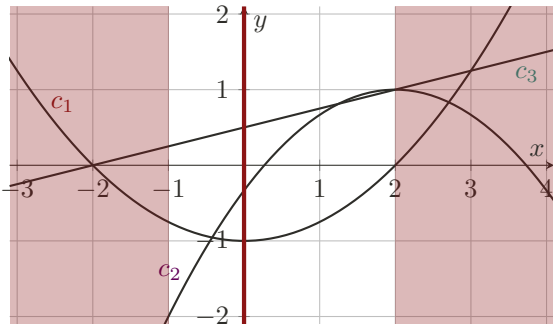
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An example

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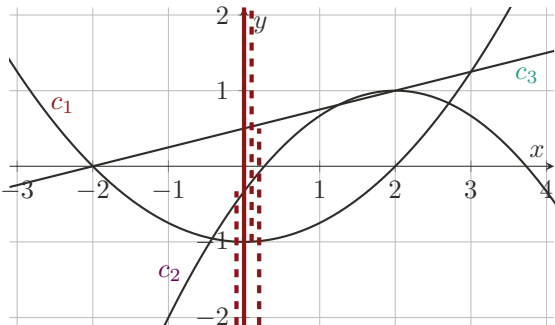
$$c_5 \rightarrow x \notin [2, \infty)$$

$$x \mapsto 0$$



An example

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$$c_4 \rightarrow x \notin (-\infty, -1]$$

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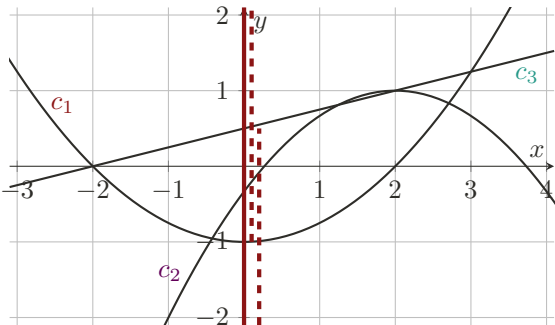
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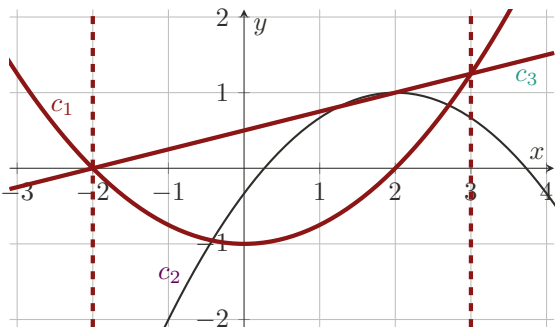
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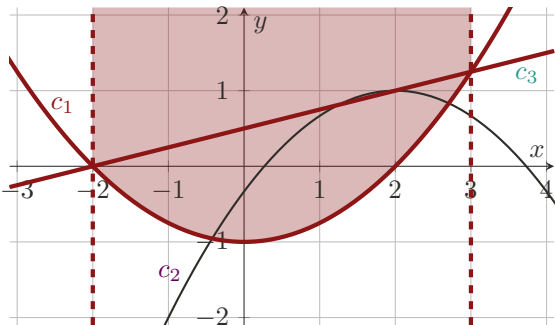
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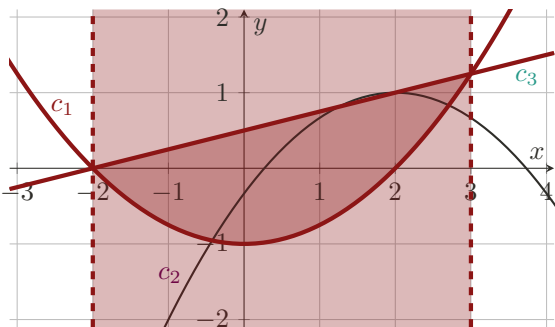
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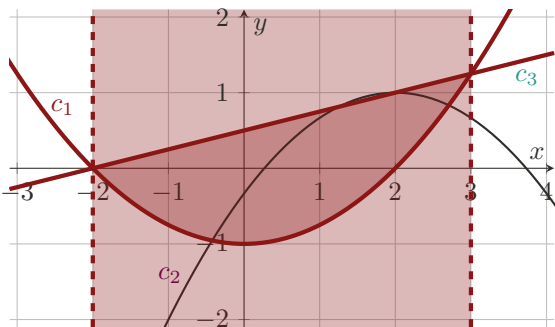
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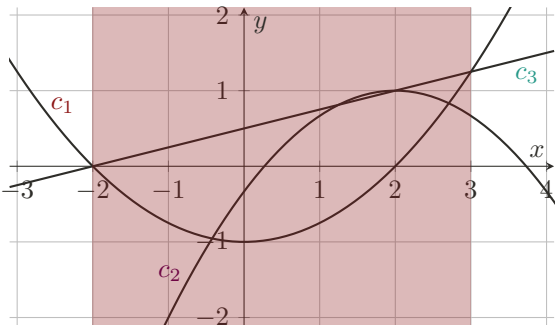
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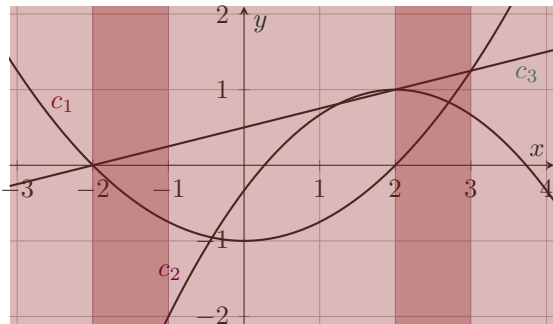
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RECURSE

DIRECT c_4
 $\Rightarrow \neg(x \leq -1)$

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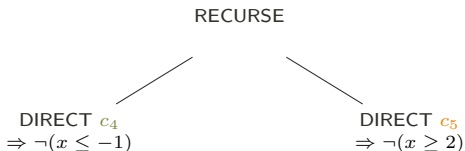
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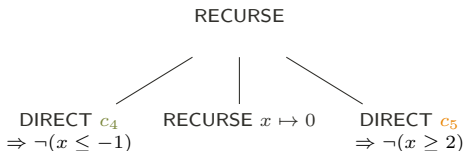
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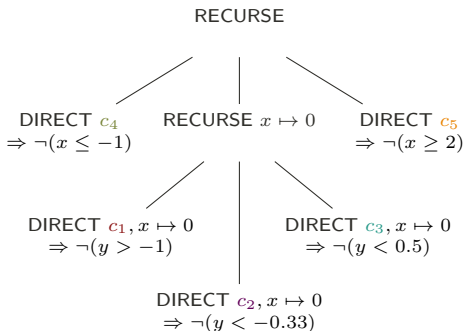
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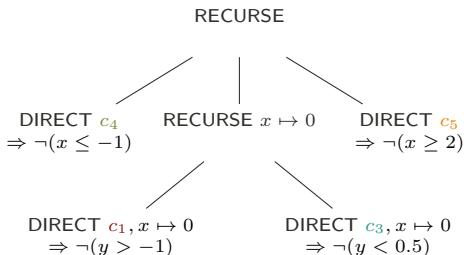
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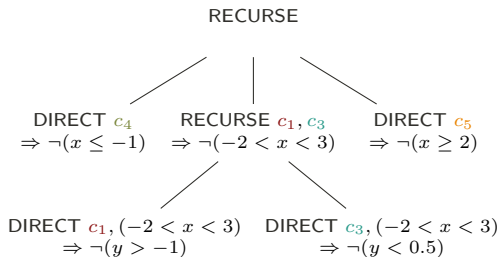
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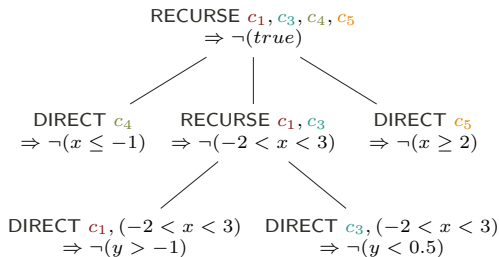
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How it looks in cvc5*

```
(SCOPE (c1 c3 c4 c5)
  (ARITH_NL_CAD_RECURSIVE
    (SCOPE ((ROOT_PREDICATE k=1 (<= x 0) (+ 1 (* 1 x))))
      (ARITH_NL_CAD_DIRECT
        (ASSUME (ROOT_PREDICATE k=1 (<= x 0) (+ 1 (* 1 x))))
        (ASSUME c4)))
      (SCOPE ((ROOT_PREDICATE k=1 (>= x 0) (+ (- 2) (* 1 x))))
        (ARITH_NL_CAD_DIRECT
          (ASSUME (ROOT_PREDICATE k=1 (>= x 0) (+ (- 2) (* 1 x))))
          (ASSUME c5)))
        (SCOPE ((ROOT_PREDICATE k=1 (> x 0) (+ (- 6) (* (- 1) x) (* 1 (^ x 2))))
          (ROOT_PREDICATE k=2 (< x 0) (+ (- 6) (* (- 1) x) (* 1 (^ x 2))))))
          (ARITH_NL_CAD_RECURSIVE
            (ASSUME (ROOT_PREDICATE k=1 (> x 0) (+ (- 6) (* (- 1) x) (* 1 (^ x 2))))))
            (ASSUME (ROOT_PREDICATE k=2 (< x 0) (+ (- 6) (* (- 1) x) (* 1 (^ x 2))))))
            (SCOPE ((ROOT_PREDICATE k=1 (<= y 0) (+ (- 2) (* (- 1) x) (* 4 y))))
              (ARITH_NL_CAD_DIRECT
                (ASSUME (ROOT_PREDICATE k=1 (> x 0) (+ (- 6) (* (- 1) x) (* 1 (^ x 2))))))
                (ASSUME (ROOT_PREDICATE k=2 (< x 0) (+ (- 6) (* (- 1) x) (* 1 (^ x 2))))))
                (ASSUME (ROOT_PREDICATE k=1 (<= y 0) (+ (- 2) (* (- 1) x) (* 4 y))))
                (ASSUME c3)))
              (SCOPE ((ROOT_PREDICATE k=1 (>= y 0) (+ 4 (* (- 1) (^ x 2)) (* 4 y))))
                (ARITH_NL_CAD_DIRECT
                  (ASSUME (ROOT_PREDICATE k=1 (> x 0) (+ (- 6) (* (- 1) x) (* 1 (^ x 2))))))
                  (ASSUME (ROOT_PREDICATE k=2 (< x 0) (+ (- 6) (* (- 1) x) (* 1 (^ x 2))))))
                  (ASSUME (ROOT_PREDICATE k=1 (>= y 0) (+ 4 (* (- 1) (^ x 2)) (* 4 y))))
                  (ASSUME c1))))))
```



Hard reasoning is still there... but localized

```
(SCOPE ((ROOT_PREDICATE k=1 (<= y 0) (+ (- 2) (* (- 1) x) (* 4 y))))
  (ARITH_NL_CAD_DIRECT
    (ASSUME (ROOT_PREDICATE k=1 (> x 0) (+ (- 6) (* (- 1) x) (* 1 (^ x 2)))))
    (ASSUME (ROOT_PREDICATE k=2 (< x 0) (+ (- 6) (* (- 1) x) (* 1 (^ x 2)))))
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    (ASSUME c3)))
```



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    (ASSUME (ROOT_PREDICATE k=1 (> x 0) (+ (- 6) (* (- 1) x) (* 1 (^ x 2)))))
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    (ASSUME c3)))
```

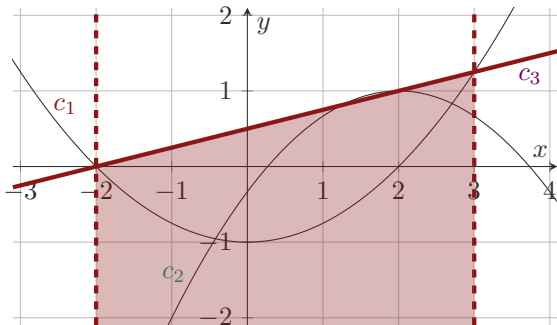
$$(c_3 \wedge x > \text{Root}_1(x^2 - x - 6) \wedge x < \text{Root}_2(x^2 - x - 6)) \Rightarrow \neg(y \leq \text{Root}_1(4y - x - 2))$$



Hard reasoning is still there... but localized

```
(SCOPE ((ROOT_PREDICATE k=1 (<= y 0) (+ (- 2) (* (- 1) x) (* 4 y))))  
(ARITH_NL_CAD_DIRECT  
(ASSUME (ROOT_PREDICATE k=1 (> x 0) (+ (- 6) (* (- 1) x) (* 1 (^ x 2))))))  
(ASSUME (ROOT_PREDICATE k=2 (< x 0) (+ (- 6) (* (- 1) x) (* 1 (^ x 2))))))  
(ASSUME (ROOT_PREDICATE k=1 (<= y 0) (+ (- 2) (* (- 1) x) (* 4 y))))  
(ASSUME c3)))
```

$$(c_3 \wedge x > \text{Root}_1(x^2 - x - 6) \wedge x < \text{Root}_2(x^2 - x - 6)) \Rightarrow \neg(y \leq \text{Root}_1(4y - x - 2))$$





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Any ideas?



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