2.5 Normal Forms

In order to check the status of a formula ϕ via truth tables, the truth table contains a column for each subformula of ϕ and all valuations for its variables. Any shape of ϕ is fine in order to generate the respective truth table. The superposition calculus (Section 2.7), The DPLL calculus (Section 2.8), and the CDCL (Conflict Driven Clause Learning) calculus (Section 2.9) all operate on a normal form, i.e., the shape of ϕ is restricted. All those calculi accept only conjunctions of disjunctions of literals, a particular *normal form*. It is called *Clause Normal Form* or simply *CNF*. The purpose of this section is to show that an arbitrary formula ϕ can be effectively and efficiently transformed into a formula in CNF, preserving at least satisfiability. Efficient transformations are typically not equivalence preserving because they introduce fresh propositional variables. Superposition, DPLL, and CDCL are all refutational calculi, so a satisfiability preserving normal form transformation is fine.

2.5.1 Conjunctive and Disjunctive Normal Forms

Both conjunctive and disjunctive normal forms only use the operators \land and \lor on top of literals. So all other operators need to be translated into a combination of \land , \lor and \neg and eventually negations have to be pushed downwards the formula in front of atoms. The crucial operator is an equivalence \leftrightarrow , because a formula $\phi \leftrightarrow \psi$ is logically equivalent to the formula $(\neg \phi \lor \psi) \land (\neg \psi \lor \phi)$. However, in the letter formula the occurrences of ϕ and ψ have been duplicated. Replacing a formula of nested \leftrightarrow occurrences that way results therefore in an exponentially larger formula.

A CNF is a conjunction of disjunction of literals, e.g., a formula $(P \lor \neq Q)(P \lor R)$. A formula containing only the operators \land , \lor and literals can always be transformed into a conjunction of disjunctions via the application of the distributivity law. For example the formula $\phi \lor (\psi_1 \land \psi_2)$ results in $(\phi \lor \psi_1) \land (\phi \lor \psi_2)$ after pushing this disjunction inside. Again, similar to the effect of replacing an equivalence, the formula ϕ is duplicated. Turing a deep nesting of \land operators below \lor operators may therefore also result in an exponentially larger formula. A dual property holds for the disjunctive normal form.

In the sequel I'll define the respective normal forms and present various calculi and algorithms for normal form transformations. The more sophisticated algorithms, Algorithm 3, Algorithm 4, transform any formula into a satisfiability preserving CNF in linear time.

Definition 2.5.1 (CNF, DNF). A formula is in *conjunctive normal form* (*CNF*) or *clause normal form* if it is a conjunction of disjunctions of literals, or in other words, a conjunction of clauses.

A formula is in *disjunctive normal form* (DNF), if it is a disjunction of conjunctions of literals.

The definition of the propositional language, Definition 2.1.1, considers only binary conjunctions and disjunctions,. Both operators are AC (Associative and Commutative) thus an *n*-ary usage of the operators as well as a set notation is compatible with the semantics. Actually, I will use all three notations, binary operators, *n*-ary operators as well as set notations interchangeably, whatever fits best in the respective context.

So a CNF has the form $\bigwedge_i \bigvee_j L_j$ and a DNF the form $\bigvee_i \bigwedge_j L_j$ where the L_j are literals. In the sequel the logical notation with \lor is overloaded with a multiset notation. Both the disjunction $L_1 \lor \ldots \lor L_n$ and the multiset $\{L_1, \ldots, L_n\}$ are clauses. For clauses the letters C, D, possibly indexed are used. Furthermore, a conjunction of clauses is considered as a set of clauses. Then, for a set of clauses, the empty set denotes \top . For a clause, the empty multiset denotes \emptyset and at the same time \bot .

Although CNF and DNF are defined in almost any text book on automated reasoning, the definitions in the literature differ with respect to the "border" cases: (i) are complementary literals permitted in a clause? (ii) are duplicated literals permitted in a clause? (iii) are empty disjunctions/conjunctions permitted? The above Definition 2.5.1 answers all three questions with "yes". A clause containing complementary literals is valid, as in $P \lor Q \lor \neg P$. Duplicate literals may occur, as in $P \lor Q \lor P$. The empty disjunction is \bot and the empty conjunction \top , i.e., the empty disjunction is always false while the empty conjunction is always true.

Checking the validity of CNF formulas or the unsatisfiability of DNF formulas is easy: (i) a formula in CNF is valid, if and only if each of its disjunctions contains a pair of complementary literals P and $\neg P$, (ii) conversely, a formula in DNF is unsatisfiable, if and only if each of its conjunctions contains a pair of complementary literals P and $\neg P$ (see Exercise ??).

On the other hand, checking the unsatisfiability of CNF formulas or the validity of DNF formulas is coNP-complete. For any propositional formula ϕ there is an equivalent formula in CNF and DNF and I will prove this below by actually providing an effective procedure for the transformation. However, also because of the above comment on validity and satisfiability checking for CNF and DNF formulas, respectively, the transformation is costly. In general, a CNF or DNF of a formula ϕ is exponentially larger than ϕ as long as the normal forms need to be logically equivalent. If this is not needed, then by the introduction of fresh propositional variables, CNF normal forms for ϕ can be computed in linear time in the size of ϕ . More concretely, given a formula ϕ instead of checking validity the unsatisfiability of $\neg \phi$ can be considered. Then the linear time CNF normal form algorithm (see Section 2.5.3) is satisfiability preserving, i.e., the linear time CNF of $\neg \phi$ is unsatisfiable iff $\neg \phi$ is.

Proposition 2.5.2. For every formula there is an equivalent formula in CNF and also an equivalent formula in DNF.

Proof. See the rewrite systems \Rightarrow_{BCNF} , and \Rightarrow_{ACNF} below and the lemmata on their properties.

2.5.2 Basic CNF/DNF Transformation

The below algorithm bcnf is a basic algorithm for transforming any propositional formula into CNF, or DNF if the rule **PushDisj** is replaced by **PushConj**.

Algorithm 2: $bcnf(\phi)$	
Input : A propositional formula ϕ .	
Output : A propositional formula ψ equivalent to ϕ in CNF.	
whilerule $(ElimEquiv(\phi))$ do ;	
e whilerule $(\mathbf{ElimImp}(\phi))$ do ;	
whilerule $(\mathbf{ElimTB1}(\phi), \dots, \mathbf{ElimTB6}(\phi))$ do ;	
whilerule (PushNeg1(ϕ),,PushNeg3(ϕ)) do ;	
s whilerule $(PushDisj(\phi))$ do ;	
s return ϕ ;	

In the sequel I study only the CNF version of the algorithm. All properties hold in an analogous way for the DNF version. To start an informal analysis of the algorithm, consider the following example CNF transformation.

Example 2.5.3. Consider the formula $\neg((P \lor Q) \leftrightarrow (P \to (Q \land \top)))$ and the application of \Rightarrow_{BCNF} depicted in Figure 2.8. Already for this simple formula the CNF transformation via \Rightarrow_{BCNF} becomes quite messy. Note that the CNF result in Figure 2.8 is highly redundant. If I remove all disjunctions that are trivially true, because they contain a propositional literal and its negation, the result becomes

$$(P \lor \neg Q) \land (\neg Q \lor \neg P) \land (\neg Q \lor \neg Q)$$

now elimination of duplicate literals beautifies the third clause and the overall formula into

 $(P \lor \neg Q) \land (\neg Q \lor \neg P) \land \neg Q.$

Now let's inspect this formula a little closer. Any valuation satisfying the formula must set $\mathcal{A}(Q) = 0$, because of the third clause. But then the first two clauses are already satisfied. The formula $\neg Q$ subsumes the formulas $P \lor \neg Q$ and $\neg Q \lor \neg P$ in this sense. The notion of subsumption will be discussed in detail for clauses in Section 2.6. So it is eventually equivalent to

$\neg Q.$

The correctness of the result is obvious by looking at the original formula and doing a case analysis. For any valuation \mathcal{A} with $\mathcal{A}(Q) = 1$ the two parts of the equivalence become true, independently of P, so the overall formula is false. For $\mathcal{A}(Q) = 0$, for any value of P, the truth values of the two sides of the equivalence are different, so the equivalence becomes false and hence the overall formula true.

After proving $\Rightarrow_{\text{BCNF}}$ correct and terminating, in the succeeding section, Section 2.5.3, I will present an algorithm $\Rightarrow_{\text{ACNF}}$ that actually generates a much more compact CNF out of $\neg((P \lor Q) \leftrightarrow (P \to (Q \land \top)))$ and does this without generating the mess of formulas $\Rightarrow_{\text{BCNF}}$ does, see Figure 2.10. Applying

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C(1)

standard redundancy elimination rules Tautology Deletion, Condensation, and Subsumption, see Section 2.6 and Section 2.7, then actually generates $\neg Q$ as the overall result. Please recall that the above rules apply modulo commutativity of \lor , \land , e.g., the rule ElimTB1 is both applicable to the formulas $\phi \land \top$ and $\top \land \phi$.

The equivalences in Figure 2.1 suggest more potential for simplification. For example, the idempotency equivalences $(\phi \land \phi) \leftrightarrow \phi$, Ι $(\phi \lor \phi) \leftrightarrow \phi$ can be turned into simplification rules by applying them left to right. However, the way they are stated they can only be applied in case of identical subformulas. The formula $(P \lor Q) \land (Q \lor P)$ does this way not reduce to $(Q \vee P)$. A solution is to consider identity modulo commutativity. But then identity modulo commutativity and associativity (AC) as in $((P \lor Q) \lor R) \land (Q \lor (R \lor P))$ is still not detected. On the other hand, in practice, checking identity modulo AC is often too expensive. An elegant way out of this situation is to implement AC connectives like \lor or \land with flexible arity, to normalize nested occurrences of the connectives, and finally to sort the arguments using some total ordering. Applying this to $((P \lor Q) \lor R) \land (Q \lor (R \lor P))$ with ordering R > P > Q the result is $(Q \lor P \lor R) \land (Q \lor P \lor R)$. Now complete AC simplification is back at the cost of checking for identical subformulas. Note that in an appropriate implementation, the normalization and ordering process is only done once at the start and then normalization and argument ordering is kept as an invariant.

2.5.3 Advanced CNF Transformation

The simple algorithm for CNF transformation Algorithm 2 can be improved in various ways: (i) more aggressive formula simplification, (ii) renaming, (iii) polarity dependant transformations. The before studied Example 2.5.3 serves already as a nice motivation for (i) and (iii). Firstly, removing \top from the formula $\neg((P \lor Q) \leftrightarrow (P \to (Q \land \top)))$ first and not in the middle of the algorithm obviously shortens the overall process. Secondly, if the equivalence is replaced polarity dependant, i.e., using the equivalence $(\phi \leftrightarrow \psi) \leftrightarrow (\phi \land \psi) \lor (\neg \phi \land \neg \psi)$ and not the one used in rule ElimEquiv applied before, a lot of redundancy generated by $\Rightarrow_{\text{BCNF}}$ is prevented. In general, if $\psi[\phi_1 \leftrightarrow \phi_2]_p$ and $\text{pol}(\psi, p) = -1$ then for CNF transformation the equivalence is replaced by $\psi[(\phi_1 \land \phi_2) \lor (\neg \phi_1 \land \neg \phi_2)]_p$ and if $\text{pol}(\psi, p) = 1$ by $\psi[(\phi_1 \to \phi_2) \land (\phi_2 \to \phi_1)]_p$ in ψ .

Item (ii) can be motivated by a formula

$$P_1 \leftrightarrow (P_2 \leftrightarrow (P_3 \leftrightarrow (\dots (P_{n-1} \leftrightarrow P_n) \dots)))$$

where Algorithm 2 generates a CNF with 2^{n-1} clauses out of this formula. The way out of this problem is the introduction of additional fresh propositional variables that *rename* subformulas. The price to pay is that a renamed formula is not equivalent to the original formula due to the extra propositional variables, but satisfiability preserving. A renamed formula for the above formula is

$$(P_1 \leftrightarrow (P_2 \leftrightarrow Q_1)) \land (Q_1 \leftrightarrow (P_3 \leftrightarrow Q_2)) \land \dots$$

where the Q_i are additional, fresh propositional variables. The number of clauses of the CNF of this formula is 4(n-1) where each conjunct $(Q_i \leftrightarrow (P_j \leftrightarrow Q_{i+1}))$ contributes four clauses.

Proposition 2.5.4. Let P be a propositional variable not occurring in $\psi[\phi]_p$.

- 1. If $pol(\psi, p) = 1$, then $\psi[\phi]_p$ is satisfiable if and only if $\psi[P]_p \wedge (P \to \phi)$ is satisfiable.
- 2. If $pol(\psi, p) = -1$, then $\psi[\phi]_p$ is satisfiable if and only if $\psi[P]_p \land (\phi \to P)$ is satisfiable.
- 3. If $pol(\psi, p) = 0$, then $\psi[\phi]_p$ is satisfiable if and only if $\psi[P]_p \wedge (P \leftrightarrow \phi)$ is satisfiable.

Proof. Exercise.

So depending on the formula ψ , the position p where the variable P is introduced, the definition of P is given by

$$def(\psi, p, P) := \begin{cases} (P \to \psi|_p) & \text{if } \operatorname{pol}(\psi, p) = 1\\ (\psi|_p \to P) & \text{if } \operatorname{pol}(\psi, p) = -1\\ (P \leftrightarrow \psi|_p) & \text{if } \operatorname{pol}(\psi, p) = 0 \end{cases}$$

C The polarity dependent definition of some predicate P introduces fewer clauses in case $pol(\psi, p)$ has polarity 1 or -1. Still, even if always an equivalence is used to define predicates, for a properly chosen renaming the number of eventually generated clauses remains polynomial. Depending on the afterwards used calculus the former or latter results in a typically smaller search space. If a calculus relies on an explicitly building a partial model, e.g., CDCL, Section 2.9 and Section 2.10, then always defining predicates via equivalences is to be preferred. It guarantees that once the valuation of all variables in $\psi|_p$ is determined, also the value P is determined by propagation. If a calculus relies on building inferences in a syntactic way, e.g., Resolution, Section 2.6 and Section 2.12, then using a polarity dependent definition of P results in fewer inference opportunities.

For renaming there are several choices which subformula to choose. Obviously, since a formula has only linearly many subformulas, renaming every subformula works [50, 41]. However, this produces a number of renamings that do even increase the size of an eventual CNF. For example renaming in $\psi[\neg\phi]_p$ the subformulas $\neg\phi$ and ϕ at positions p, p1, respectively, produces more clauses than just renaming one position out of the two. This will be captured below by the notion of an *obvious position*. Then, in the following section a renaming variant is introduced that actually produces smallest CNFs. For all variants, renaming relies on a set of positions $\{p_1, \ldots, p_n\}$ that are replaced by fresh propositional variables.

SimpleRenaming $\phi \Rightarrow_{\text{SimpRen}} \phi[P_1]_{p_1}[P_2]_{p_2} \dots [P_n]_{p_n} \wedge \operatorname{def}(\phi, p_1, P_1) \wedge \dots \wedge \operatorname{def}(\phi[P_1]_{p_1}[P_2]_{p_2} \dots [P_{n-1}]_{p_{n-1}}, p_n, P_n)$

provided $\{p_1, \ldots, p_n\} \subset pos(\phi)$ and for all i, i + j either $p_i \parallel p_{i+j}$ or $p_i > p_{i+j}$ and the P_i are different and new to ϕ

The term $\phi[P_1]_{p_1}[P_2]_{p_2} \dots [P_n]_{p_n}$ is evaluated left to right, i.e., a shorthand for $(\dots ((\phi[P_1]_{p_1})[P_2]_{p_2}) \dots [P_n]_{p_n})$. Actually, the rule SimpleRenaming does not provide an effective way to compute the set $\{p_1, \dots, p_n\}$ of positions in ϕ to be renamed. Where are several choices. Following Plaisted and Greenbaum [41], the set contains all positions from ϕ that do not point to a propositional variable or a negation symbol. In addition, renaming position ϵ does not make sense because it would generate the formula $P \wedge (P \to \phi)$ which results in more clauses than just ϕ . Choosing the set of Plaisted and Greenbaum prevents the explosion in the number of clauses during CNF transformation. But not all renamings are needed to this end.

A smaller set of positions from ϕ , called *obvious positions*, is still preventing the explosion and given by the rules: (i) p is an obvious position if $\phi|_p$ is an equivalence and there is a position q < p such that $\phi|_q$ is either an equivalence or disjunctive in ϕ or (ii) pq is an obvious position, $q \neq \epsilon$, if $\phi|_{pq}$ is a conjunctive formula in ϕ , $\phi|_p$ is a disjunctive formula in ϕ and for all positions r with p < r < pq the formula $\phi|_r$ is not a conjunctive formula.

A formula $\phi|_p$ is conjunctive in ϕ if $\phi|_p$ is a conjunction and $\operatorname{pol}(\phi, p) \in \{0, 1\}$ or $\phi|_p$ is a disjunction or implication and $\operatorname{pol}(\phi, p) \in \{0, -1\}$. Analogously, a formula $\phi|_p$ is disjunctive in ϕ if $\phi|_p$ is a disjunction or implication and $\operatorname{pol}(\phi, p) \in \{0, 1\}$ or $\phi|_p$ is a conjunction and $\operatorname{pol}(\phi, p) \in \{0, -1\}$.

Example 2.5.5. Consider as an example the formula

$$\phi = [\neg (\neg P \lor (Q \land R))] \to [P \lor (\neg Q \leftrightarrow \neg R)].$$

Its tree representation as well as the polarity and position of each node is shown in Figure 2.9. Then the set of obvious positions is

$$\{22, 112\}$$

where 22 is obvious, because $\phi|_{22}$ is an equivalence and $\phi|_2$ is disjunctive, case (i) of the above definition. The position 112 is obvious, because it is conjunctive and $\phi|_{11}$ is a disjunctive formula, case (ii) of the above definition. Both positions are also considered by the Plaisted and Greenbaum definition, but they also add the positions $\{11, 2\}$ to this set, resulting in the set

$$\{2, 22, 11, 112\}.$$

Then applying SimpleRenaming to ϕ with respect to obvious positions results in

 $[\neg(\neg P \lor P_1)] \rightarrow [P \lor P_2] \land (P_1 \rightarrow (Q \land R)) \land (P_2 \rightarrow (\neg Q \leftrightarrow \neg R))$

and applying SimpleRenaming with respect to the Plaisted Greenbaum positions results in

$$\begin{split} [\neg P_3] \rightarrow [P_4] \land (P_1 \rightarrow (Q \land R)) \land (P_2 \rightarrow (\neg Q \leftrightarrow \neg R)) & \land \\ (P_3 \rightarrow (\neg P \lor P_1)) \land (P_4 \rightarrow (P \lor P_2)) \end{split}$$

where I applied in both cases a polarity dependent definition of the freshly introduced propositional variables. A CNF generated by bcnf out of the renamed formula using obvious positions results in 5 clauses, where the renamed formula using the Plaisted Greenbaum positions results in 7 clauses.

I Formulas are naturally implemented by trees in the style of the tree in Figure 2.9. Every node contains the connective of the respective subtree and an array with pointers to its children. Optionally, there is also a back-pointer to the father of a node. Then a subformula at a particular position can be represented by a pointer to the respective subtree. The polarity or position of a subformula can either be a stored additionally in each node, or, if back-pointers are available, it can be efficiently computed by traversing all nodes up to the root.

The before mentioned polarity dependent transformations for equivalences are realized by the following two rules:

ElimEquiv1 $\chi[(\phi \leftrightarrow \psi)]_p \Rightarrow_{\text{ACNF}} \chi[(\phi \rightarrow \psi) \land (\psi \rightarrow \phi)]_p$ provided $\text{pol}(\chi, p) \in \{0, 1\}$

ElimEquiv2 $\chi[(\phi \leftrightarrow \psi)]_p \Rightarrow_{ACNF} \chi[(\phi \land \psi) \lor (\neg \phi \land \neg \psi)]_p$ provided pol $(\chi, p) = -1$

Furthermore, the advanced algorithm eliminates \top and \perp before eliminating \leftrightarrow and \rightarrow . Therefore the respective rules are added:

where the two rules ElimTB11, ElimTB12 for equivalences are applied with respect to commutativity of \leftrightarrow .

I For an implementation the Algorithm 3 can be further improved. For example, once equivalences are eliminated the polarity of each literal is exactly known. So eliminating implications and pushing negations inside is not needed. Instead the eventual CNF can be directly constructed from the formula.

44

Algorithm 3: $\operatorname{acnf}(\phi)$	
Input : A formula ϕ .	
Output : A formula ψ in CNF satisfiability preserving to ϕ .	
1 whilerule $(\mathbf{ElimTB1}(\phi), \dots, \mathbf{ElimTB12}(\phi))$ do ;	
2 SimpleRenaming(ϕ) on obvious positions;	
B whilerule (ElimEquiv1(ϕ),ElimEquiv2(ϕ)) do ;	
4 whilerule $(\mathbf{ElimImp}(\phi))$ do ;	
5 whilerule (PushNeg1(ϕ),,PushNeg3(ϕ)) do ;	
whilerule (PushDisj(ϕ)) do ;	
7 return ϕ ;	

Proposition 2.5.6 (Models of Renamed Formulas). Let ϕ be a formula and ϕ' a renamed CNF of ϕ computed by acnf. Then any (partial) model \mathcal{A} of ϕ' is also a model for ϕ .

Proof. By an inductive argument it is sufficient to consider one renaming application, i.e., $\phi' = \phi[P]_p \wedge \det(\phi, p, P)$. There are three cases depending on the polarity. (i) if $\operatorname{pol}(\phi, p) = 1$ then $\phi' = \phi[P]_p \wedge P \to \phi|_p$. If $\mathcal{A}(P) = 1$ then $\mathcal{A}(\phi|_p) = 1$ and hence $\mathcal{A}(\phi) = 1$. The interesting case is $\mathcal{A}(P) = 0$ and $\mathcal{A}(\phi|_p) = 1$. But then because $\operatorname{pol}(\phi, p) = 1$ also $\mathcal{A}(\phi) = 1$ by Lemma 2.2.7. (ii) if $\operatorname{pol}(\phi, p) = -1$ the case is symmetric to the previous one. Finally, (iii) if $\operatorname{pol}(\phi, p) = 0$ for any \mathcal{A} satisfying ϕ' it holds $\mathcal{A}(\phi|_p) = \mathcal{A}(P)$ and hence $\mathcal{A}(\phi) = 1$.

Note that Proposition 2.5.6 does not hold the other way round. Whenever a formula is manipulated by introducing fresh symbols, the truth of the original formula does not depend on the truth of the fresh symbols. For example, consider the formula

 $\phi \lor \psi$

which is renamed to

$$\phi \lor P \land P \to \psi$$

Then any interpretation \mathcal{A} with $\mathcal{A}(\phi) = 1$ is a model for $\phi \lor \psi$. It is not necessarily a model for $\phi \lor P \land P \to \psi$. If $\mathcal{A}(P) = 1$ and $\mathcal{A}(\psi) = 0$ it does not satisfy $\phi \lor P \land P \to \psi$.

The introduction of fresh symbols typically does not preserve validity but only satisfiability of formulas. Hence, it is well-suited for refutational reasoning based on a CNF, but not for equivalence reasoning based on a DNF. On the other hand renaming is mandatory to prevent a potential explosion of the formula size by normal form transformation. This is one explanation while typical automated reasoning calculi rely on a CNF. An alternative would be to develop automated reasoning calculi like resolution or