

# Proof complexity and SAT solving

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SAT/SMT/AR Summer School  
Nancy, France  
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## Three Simple Problems. . .

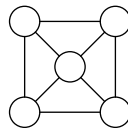
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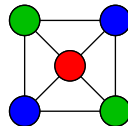


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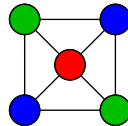


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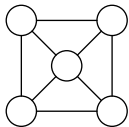
3-colouring? Yes, but no 2-colouring

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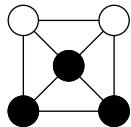


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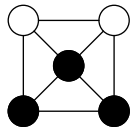
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3-clique? Yes, but no 4-clique

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- Variables should be set to **true** or **false**
- Constraint  $(x \vee \neg y \vee z)$ : means  $x$  or  $z$  should be true or  $y$  false
- $\wedge$  means all constraints should hold simultaneously
- Is there a truth value assignment satisfying all constraints?

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COLOURING: frequency allocation for mobile base stations

CLIQUE: bioinformatics, computational chemistry

SAT: easily models these and many other problems

## ...with Huge Practical Implications

- Some more examples of problems that can be encoded as propositional logic formulas:
  - computer hardware verification
  - computer software testing
  - artificial intelligence
  - operations research
  - cryptography
  - bioinformatics
  - et cetera...
- Leads to **humongous formulas** (100,000s or even 1,000,000s of variables)
- Can we use computers to solve these problems efficiently?

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- SAT mentioned already in Gödel's famous letter in 1956 to von Neumann
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- **NP-complete**, so probably very hard [Coo71, Lev73]
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  - COLOURING [Kho01, Zuc07]
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# Solving NP in Theory and Practice

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  - COLOURING [Kho01, Zuc07]
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  - SAT [Hås01]
- Except that in practice, there are good algorithms for
  - COLOURING [DLMM08, DLMO09, DLMM11]
  - CLIQUE [Pro12, McC17]and amazing **conflict-driven clause learning (CDCL)** solvers [BS97, MS99, MMZ<sup>+</sup>01] that solve huge SAT formulas

How can we understand real-world algorithms for NP-hard problems?

**This talk:** Use proof complexity (not only conceivable answer)

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Question 2: Topic for separate lecture(s) — lots of recent exciting progress; mostly negative (worst-case) results that proof search is hard, e.g., [AM20, GKMP20, dRGN<sup>+</sup>21]

# Applications of Proof Complexity

Three applied reasons for proof complexity:

- ① Understand real-world applied algorithmic paradigms [**this lecture** ]
- ② Get ideas for algorithmic improvements  
[EN18, EN20, DGD<sup>+</sup>21, DGN21, KBBN22]  
(See, e.g., tutorials <https://www.youtube.com/watch?v=LZ8VztiplaQ> and [https://www.youtube.com/watch?v=wD\\_2tx1rTaw](https://www.youtube.com/watch?v=wD_2tx1rTaw) about **ROUNDINGSAT**)
- ③ Enhance algorithms to write machine-verifiable certificates of correctness  
[EGMN20, GMN20, GMM<sup>+</sup>20, GN21, GMN22, GMNO22, VDB22, BGMN23, BBN<sup>+</sup>23, MM23, GMM<sup>+</sup>24, HOGN24, BBN<sup>+</sup>24, DMM<sup>+</sup>24, IOT<sup>+</sup>24, MMN24]  
(See tutorial [https://www.youtube.com/watch?v=s\\_5BIi4I22w](https://www.youtube.com/watch?v=s_5BIi4I22w) about **VERIPB**)

# Outline

## 1 DPLL, CDCL, and Resolution

- Davis-Putnam-Logemann-Loveland (DPLL) Method
- Conflict-Driven Clause Learning (CDCL)
- Resolution Proof System

## 2 Algebraic and Semi-algebraic Approaches

- Nullstellensatz
- Gröbner Bases and Polynomial Calculus
- Pseudo-Boolean Solving and Cutting Planes

## 3 Some More Advanced Proof Systems We Might Not Have Time for

- Sherali-Adams and Sums of Squares
- Stabbing Planes
- Extended Resolution



# Formal Description of SAT Problem

- **Variable**  $x$ : takes value **true** ( $= 1$ ) or **false** ( $= 0$ )
- **Literal**  $\ell$ : variable  $x$  or its negation  $\bar{x}$  (write  $\bar{x}$  instead of  $\neg x$ )
- **Clause**  $C = \ell_1 \vee \dots \vee \ell_k$ : disjunction of literals  
(Consider as sets, so no repetitions and order irrelevant)
- **Conjunctive normal form (CNF) formula**  $F = C_1 \wedge \dots \wedge C_m$ : conjunction of clauses

## The SATISFIABILITY (or just SAT) Problem

Given a CNF formula  $F$ , is it satisfiable?

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## The SATISFIABILITY (or just SAT) Problem

Given a CNF formula  $F$ , is it satisfiable?

Here is our example formula again:

$$(x \vee z) \wedge (y \vee \bar{z}) \wedge (x \vee \bar{y} \vee u) \wedge (\bar{y} \vee \bar{u}) \\ \wedge (u \vee v) \wedge (\bar{x} \vee \bar{v}) \wedge (\bar{u} \vee w) \wedge (\bar{x} \vee \bar{u} \vee \bar{w})$$

# The Same Problem in Three Different Shapes

$$\begin{aligned} & (x \vee z) \wedge (y \vee \neg z) \wedge (x \vee \neg y \vee u) \wedge (\neg y \vee \neg u) \\ & \wedge (u \vee v) \wedge (\neg x \vee \neg v) \wedge (\neg u \vee w) \wedge (\neg x \vee \neg u \vee \neg w) \end{aligned}$$

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$$(1 - x)(1 - z) = 0$$

$$(1 - y)z = 0$$

$$(1 - x)y(1 - u) = 0$$

$$yu = 0$$

$$(1 - u)(1 - v) = 0$$

$$xv = 0$$

$$u(1 - w) = 0$$

$$xuw = 0$$

For **true** = 1 and **false** = 0, is there a  $\{0, 1\}$ -valued solution?

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$$1 - x - z + xz = 0$$

$$z - yz = 0$$

$$y - xy - yu + xyu = 0$$

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$1 - x - z + xz = 0$	$x + z \geq 1$
$z - yz = 0$	$y + (1 - z) \geq 1$
$y - xy - yu + xyu = 0$	$x + (1 - y) + u \geq 1$
$yu = 0$	$(1 - y) + (1 - u) \geq 1$
$1 - u - v + uv = 0$	$u + v \geq 1$
$xv = 0$	$(1 - x) + (1 - v) \geq 1$
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$1 - x - z + xz = 0$	$x + z \geq 1$
$z - yz = 0$	$y - z \geq 0$
$y - xy - yu + xyu = 0$	$x - y + u \geq 0$
$yu = 0$	$-y - u \geq -1$
$1 - u - v + uv = 0$	$u + v \geq 1$
$xv = 0$	$-x - v \geq -1$
$u - uw = 0$	$-u + w \geq 0$
$xuw = 0$	$-x - u - w \geq -2$

For **true** = 1 and **false** = 0, is there a  $\{0, 1\}$ -valued solution?

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- 4 Set  $x = 0$ , simplify  $F$  and **make recursive call**
- 5 Set  $x = 1$ , simplify  $F$  and **make recursive call**
- 6 If result in both cases “**unsatisfiable**”, then report “**unsatisfiable**” and return

# A DPLL Toy Example

$$\begin{aligned} F = & (x \vee z) \wedge (y \vee \bar{z}) \wedge (x \vee \bar{y} \vee u) \wedge (\bar{y} \vee \bar{u}) \\ & \wedge (u \vee v) \wedge (\bar{x} \vee \bar{v}) \wedge (\bar{u} \vee w) \wedge (\bar{x} \vee \bar{u} \vee \bar{w}) \end{aligned}$$

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Visualize execution of DPLL algorithm as search tree

Pick variables in internal nodes; terminate in leaves when conflict reached

“Simplify formula” by (mentally) removing

- satisfied clauses
- falsified literals



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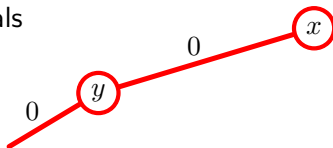
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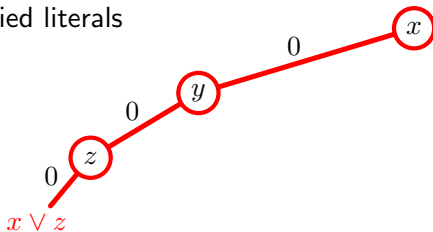
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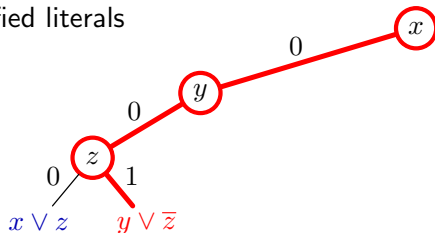
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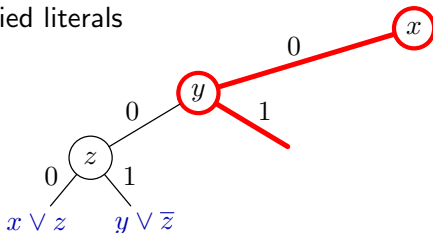
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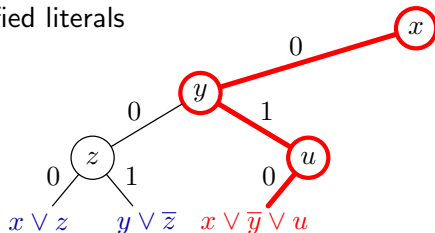
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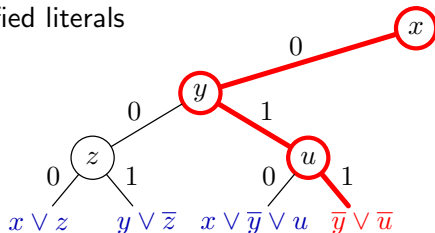
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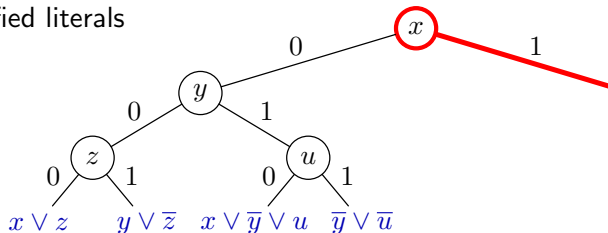
$$F = (x \vee z) \wedge (y \vee \bar{z}) \wedge (x \vee \bar{y} \vee u) \wedge (\bar{y} \vee \bar{u}) \\ \wedge (u \vee v) \wedge (\bar{v}) \wedge (\bar{u} \vee w) \wedge (\bar{u} \vee \bar{w})$$

Visualize execution of DPLL algorithm as search tree

Pick variables in internal nodes; terminate in leaves when conflict reached

“Simplify formula” by (mentally) removing

- satisfied clauses
- falsified literals



# A DPLL Toy Example

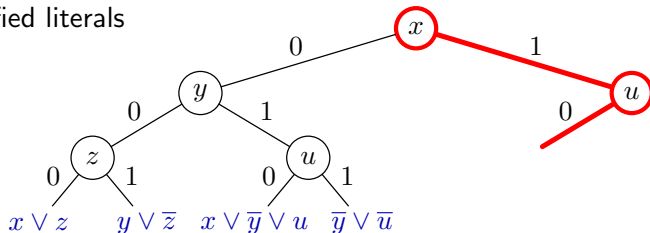
$$F = (x \vee z) \wedge (y \vee \bar{z}) \wedge (x \vee \bar{y}) \wedge (\bar{y} \vee \bar{u}) \\ \wedge (v) \wedge (\bar{v}) \wedge (\bar{u} \vee w) \wedge (\bar{u} \vee \bar{w})$$

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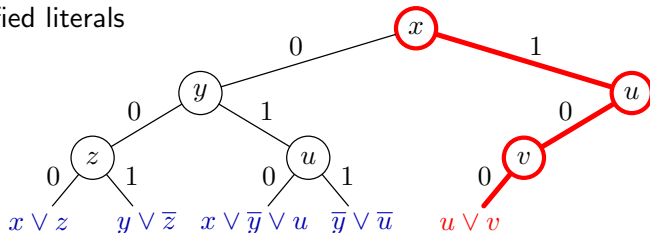
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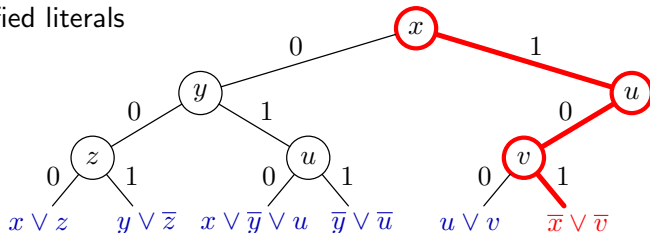
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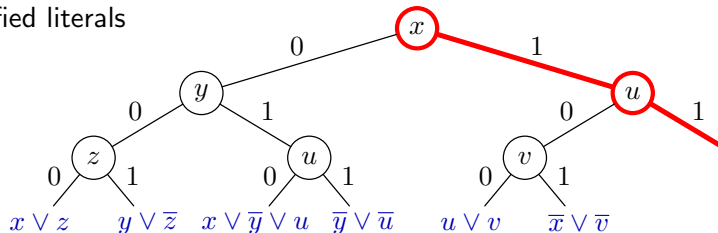
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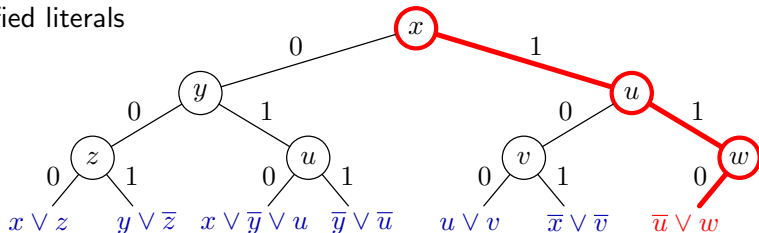
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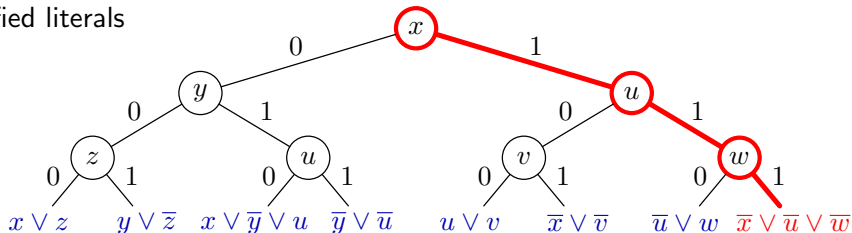
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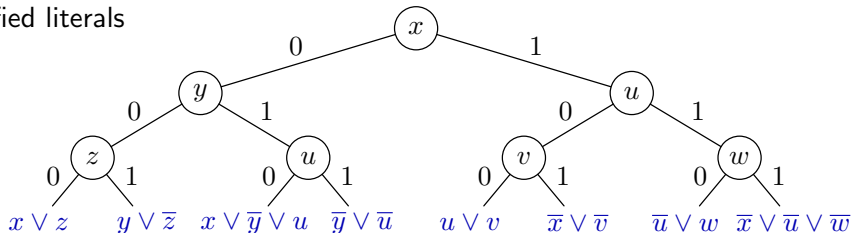
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# State-of-the-Art SAT Solving in One Slide

High-level description of modern **conflict-driven clause learning (CDCL)** SAT solving (as pioneered in [BS97, MS99, MMZ<sup>+</sup>01]):

- Try to build satisfying assignment for formula (**branching** or **decision heuristic** crucial)
- When partial assignment violates formula, **compute explanation for conflict** and **add to formula** as new clause (**clause learning**)
- Every once in a while, **restart** from beginning (but save computed info)

# Conflict-Driven Clause Learning (CDCL) by Example

Two kinds of assignments — illustrate on example formula:

$$(p \vee \bar{u}) \wedge (q \vee r) \wedge (\bar{r} \vee w) \wedge (u \vee x \vee y) \wedge (x \vee \bar{y} \vee z) \wedge (\bar{x} \vee z) \wedge (\bar{y} \vee \bar{z}) \wedge (\bar{x} \vee \bar{z}) \wedge (\bar{p} \vee \bar{u})$$

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## Decision

Free choice to assign value to variable

Notation  $p \stackrel{d}{=} 0$

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Notation  $p \stackrel{d}{=} 0$

## Unit propagation

Forced choice to avoid falsifying clause

Given  $p = 0$ , clause  $p \vee \bar{u}$  forces  $u = 0$

Notation  $u \stackrel{p \vee \bar{u}}{=} 0$  ( $p \vee \bar{u}$  is **reason clause**)

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$$\boxed{p \stackrel{d}{=} 0}$$

$$\boxed{u \stackrel{p \vee \bar{u}}{=} 0}$$

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$$p \stackrel{d}{=} 0$$

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Always propagate if possible, otherwise decide

Add to assignment **trail**

Continue until satisfying assignment or **conflict**

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$$p \stackrel{d}{=} 0$$

$$u \stackrel{p \vee \bar{u}}{=} 0$$

$$q \stackrel{d}{=} 0$$

$$r \stackrel{q \vee r}{=} 1$$

## Decision

Free choice to assign value to variable

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$$u \stackrel{p \vee \bar{u}}{=} 0$$

$$q \stackrel{d}{=} 0$$

$$r \stackrel{q \vee r}{=} 1$$

$$w \stackrel{\bar{r} \vee w}{=} 1$$

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$$q \stackrel{d}{=} 0$$

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$$p \stackrel{d}{=} 0$$

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$$q \stackrel{d}{=} 0$$

$$r \stackrel{q \vee r}{=} 1$$

$$w \stackrel{\bar{r} \vee w}{=} 1$$

$$x \stackrel{d}{=} 0$$

$$y \stackrel{u \vee x \vee y}{=} 1$$

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$$p \stackrel{d}{=} 0$$

$$u \stackrel{p \vee \bar{u}}{=} 0$$

$$q \stackrel{d}{=} 0$$

$$r \stackrel{q \vee r}{=} 1$$

$$w \stackrel{\bar{r} \vee w}{=} 1$$

$$x \stackrel{d}{=} 0$$

$$y \stackrel{u \vee x \vee y}{=} 1$$

$$z \stackrel{x \vee \bar{y} \vee z}{=} 1$$

## Decision

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$$u \stackrel{p \vee \bar{u}}{=} 0$$

$$q \stackrel{d}{=} 0$$

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$$w \stackrel{\bar{r} \vee w}{=} 1$$

$$x \stackrel{d}{=} 0$$

$$y \stackrel{u \vee x \vee y}{=} 1$$

$$z \stackrel{x \vee \bar{y} \vee z}{=} 1$$

$$\bar{y} \vee \bar{z} \stackrel{\perp}{=}$$

## Decision

Free choice to assign value to variable

Notation  $p \stackrel{d}{=} 0$

## Unit propagation

Forced choice to avoid falsifying clause

Given  $p = 0$ , clause  $p \vee \bar{u}$  forces  $u = 0$

Notation  $u \stackrel{p \vee \bar{u}}{=} 0$  ( $p \vee \bar{u}$  is **reason clause**)

Always propagate if possible, otherwise decide

Add to assignment **trail**

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# Conflict-Driven Clause Learning (CDCL) by Example

Two kinds of assignments — illustrate on example formula:

$$(p \vee \bar{u}) \wedge (q \vee r) \wedge (\bar{r} \vee w) \wedge (u \vee x \vee y) \wedge (x \vee \bar{y} \vee z) \wedge (\bar{x} \vee z) \wedge (\bar{y} \vee \bar{z}) \wedge (\bar{x} \vee \bar{z}) \wedge (\bar{p} \vee \bar{u})$$

$$p \stackrel{d}{=} 0$$

decision  
level 1

## Decision

Free choice to assign value to variable

Notation  $p \stackrel{d}{=} 0$

$$u \stackrel{p \vee \bar{u}}{=} 0$$

$$q \stackrel{d}{=} 0$$

decision  
level 2

## Unit propagation

Forced choice to avoid falsifying clause

Given  $p = 0$ , clause  $p \vee \bar{u}$  forces  $u = 0$

Notation  $u \stackrel{p \vee \bar{u}}{=} 0$  ( $p \vee \bar{u}$  is **reason clause**)

$$r \stackrel{q \vee r}{=} 1$$

$$w \stackrel{\bar{r} \vee w}{=} 1$$

$$x \stackrel{d}{=} 0$$

decision  
level 3

Always propagate if possible, otherwise decide

Add to assignment **trail**

Continue until satisfying assignment or **conflict**

$$y \stackrel{u \vee x \vee y}{=} 1$$

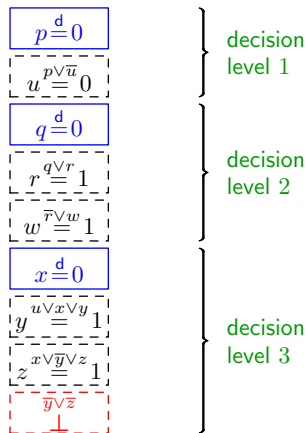
$$z \stackrel{x \vee \bar{y} \vee z}{=} 1$$

$$\bar{y} \vee \bar{z}$$

# Conflict Analysis

Time to analyse this conflict and learn from it!

$$(p \vee \bar{u}) \wedge (q \vee r) \wedge (\bar{r} \vee w) \wedge (u \vee x \vee y) \wedge (x \vee \bar{y} \vee z) \wedge (\bar{x} \vee z) \wedge (\bar{y} \vee \bar{z}) \wedge (\bar{x} \vee \bar{z}) \wedge (\bar{p} \vee \bar{u})$$



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$$p \stackrel{d}{=} 0$$

$$u \stackrel{p \vee \bar{u}}{=} 0$$

$$q \stackrel{d}{=} 0$$

$$r \stackrel{q \vee r}{=} 1$$

$$w \stackrel{\bar{r} \vee w}{=} 1$$

$$x \stackrel{d}{=} 0$$

$$y \stackrel{u \vee x \vee y}{=} 1$$

$$z \stackrel{x \vee \bar{y} \vee z}{=} 1$$

$$\bar{y} \vee \bar{z} \quad \perp$$

decision  
level 1

decision  
level 2

decision  
level 3

Could backtrack by erasing **conflict level** & flipping last decision



# Conflict Analysis

Time to analyse this conflict and learn from it!

$$(p \vee \bar{u}) \wedge (q \vee r) \wedge (\bar{r} \vee w) \wedge (u \vee x \vee y) \wedge (x \vee \bar{y} \vee z) \wedge (\bar{x} \vee z) \wedge (\bar{y} \vee \bar{z}) \wedge (\bar{x} \vee \bar{z}) \wedge (\bar{p} \vee \bar{u})$$

$$p \stackrel{d}{=} 0$$

$$u \stackrel{p \vee \bar{u}}{=} 0$$

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$$r \stackrel{q \vee r}{=} 1$$

$$w \stackrel{\bar{r} \vee w}{=} 1$$

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decision  
level 1

Could backtrack by erasing **conflict level** & flipping last decision

decision  
level 2

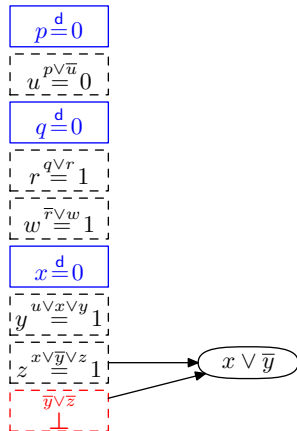
But want to **learn** from conflict and cut away as much of search space as possible

decision  
level 3

# Conflict Analysis

Time to analyse this conflict and learn from it!

$$(p \vee \bar{u}) \wedge (q \vee r) \wedge (\bar{r} \vee w) \wedge (u \vee x \vee y) \wedge (x \vee \bar{y} \vee z) \wedge (\bar{x} \vee z) \wedge (\bar{y} \vee \bar{z}) \wedge (\bar{x} \vee \bar{z}) \wedge (\bar{p} \vee \bar{u})$$



Could backtrack by erasing **conflict level** & flipping last decision

But want to **learn** from conflict and cut away as much of search space as possible

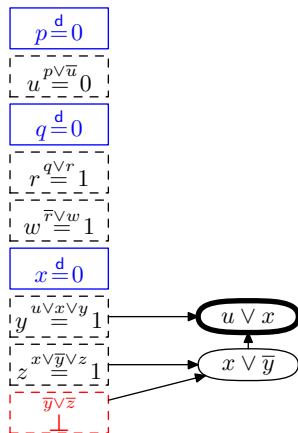
Case analysis over  $z$  for last two clauses:

- $x \vee \bar{y} \vee z$  wants  $z = 1$
- $\bar{y} \vee \bar{z}$  wants  $z = 0$
- Merge clauses & remove  $z$  — must satisfy  $x \vee \bar{y}$

# Conflict Analysis

Time to analyse this conflict and learn from it!

$$(p \vee \bar{u}) \wedge (q \vee r) \wedge (\bar{r} \vee w) \wedge (u \vee x \vee y) \wedge (x \vee \bar{y} \vee z) \wedge (\bar{x} \vee z) \wedge (\bar{y} \vee \bar{z}) \wedge (\bar{x} \vee \bar{z}) \wedge (\bar{p} \vee \bar{u})$$



Could backtrack by erasing **conflict level** & flipping last decision

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Case analysis over  $z$  for last two clauses:

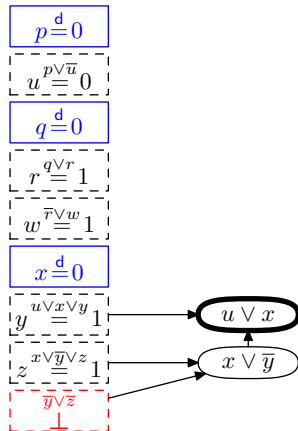
- $x \vee \bar{y} \vee z$  wants  $z = 1$
- $\bar{y} \vee \bar{z}$  wants  $z = 0$
- Merge clauses & remove  $z$  — must satisfy  $x \vee \bar{y}$

Repeat until **UIP clause** with only 1 variable at conflict level after last decision — **learn** and **backjump**

# Complete Example of CDCL Execution

**Backjump:** undo max #decisions while learned clause propagates

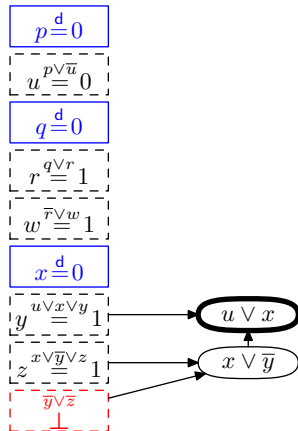
$$(p \vee \bar{u}) \wedge (q \vee r) \wedge (\bar{r} \vee w) \wedge (u \vee x \vee y) \wedge (x \vee \bar{y} \vee z) \wedge (\bar{x} \vee z) \wedge (\bar{y} \vee \bar{z}) \wedge (\bar{x} \vee \bar{z}) \wedge (\bar{p} \vee \bar{u})$$



# Complete Example of CDCL Execution

**Backjump:** undo max #decisions while learned clause propagates

$$(p \vee \bar{u}) \wedge (q \vee r) \wedge (\bar{r} \vee w) \wedge (u \vee x \vee y) \wedge (x \vee \bar{y} \vee z) \wedge (\bar{x} \vee z) \wedge (\bar{y} \vee \bar{z}) \wedge (\bar{x} \vee \bar{z}) \wedge (\bar{p} \vee \bar{u})$$



**Assertion level 1** (2nd largest level in learned clause) —  
trim trail to that level

# Complete Example of CDCL Execution

**Backjump:** undo max #decisions while learned clause propagates

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$$p \stackrel{d}{=} 0$$

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$$q \stackrel{d}{=} 0$$

$$r \stackrel{q \vee r}{=} 1$$

$$w \stackrel{\bar{r} \vee w}{=} 1$$

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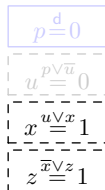
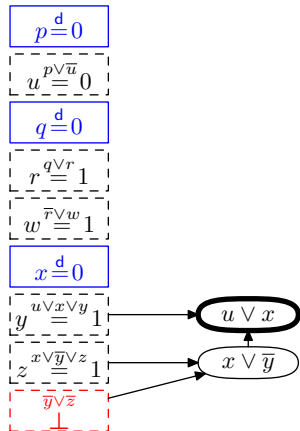
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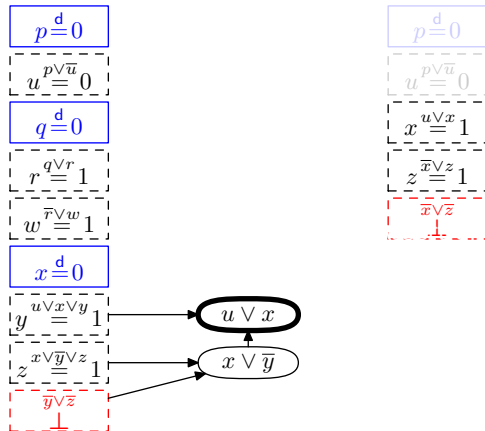
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Then continue as before. . .

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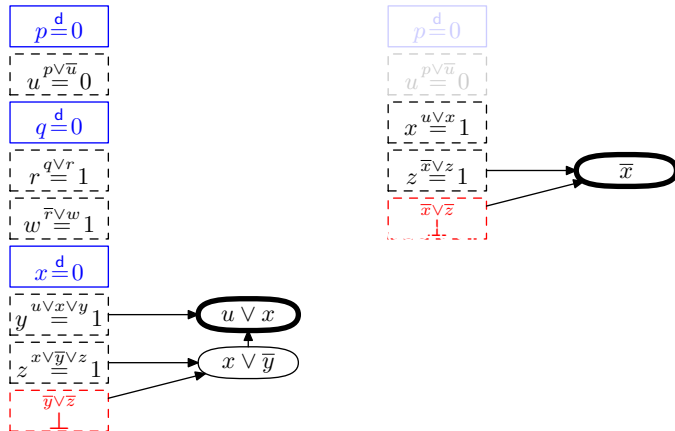




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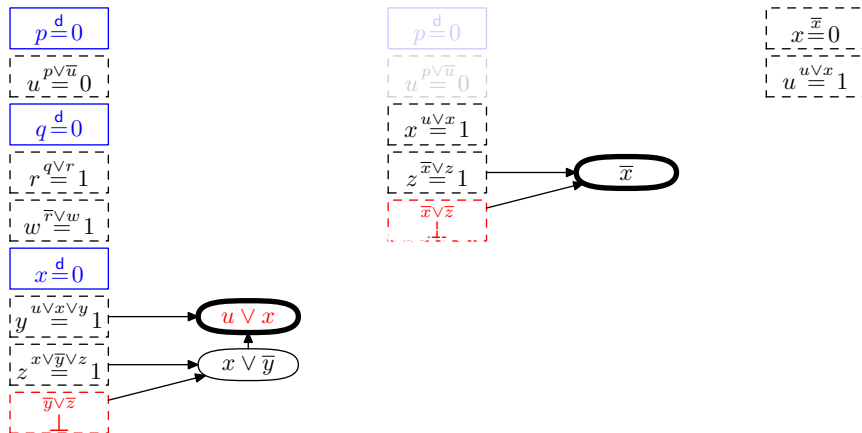
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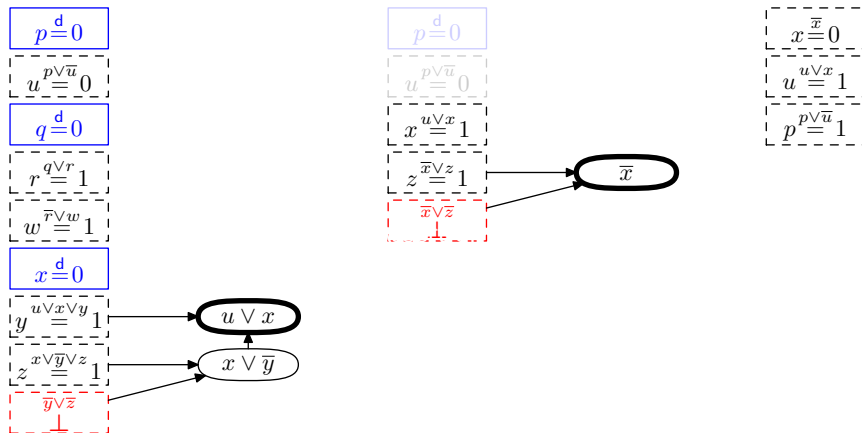
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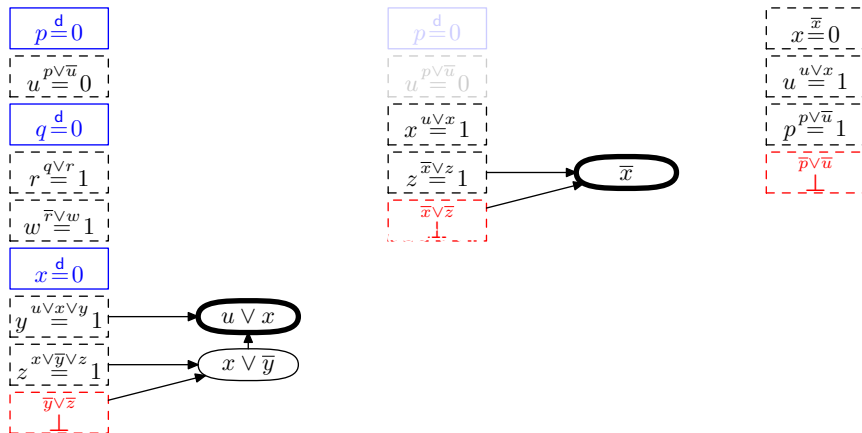
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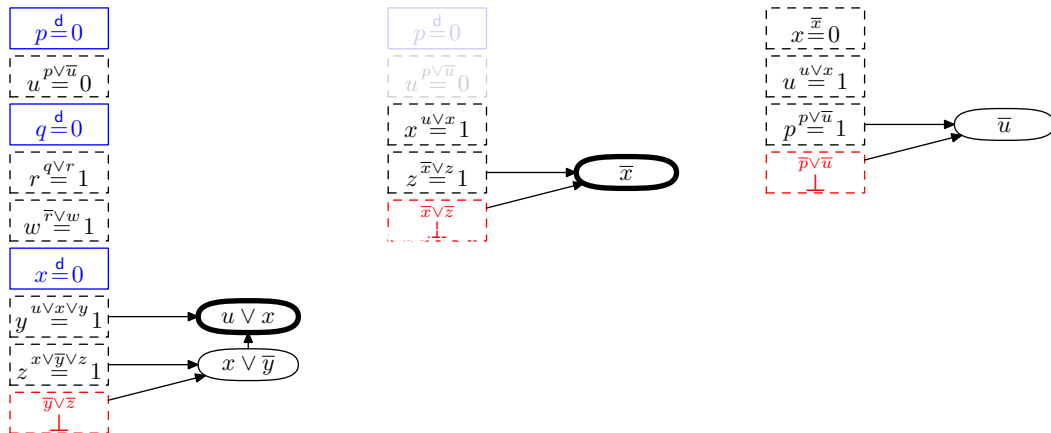
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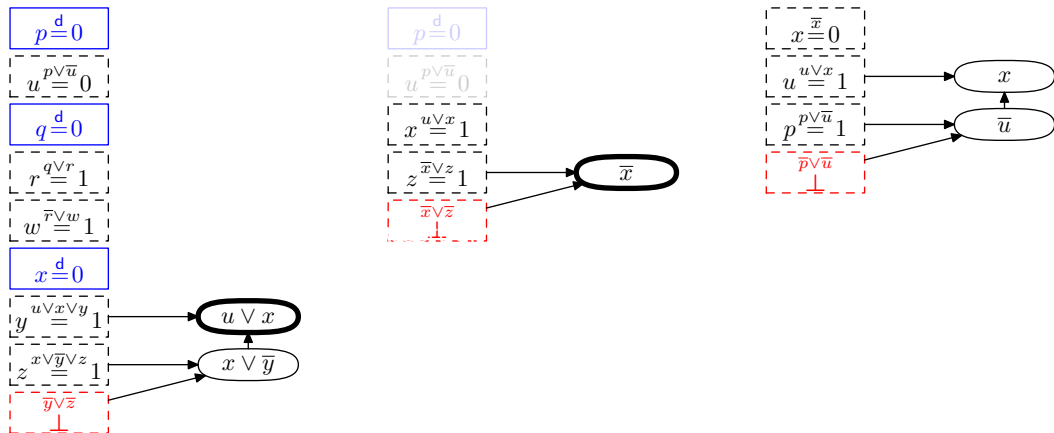
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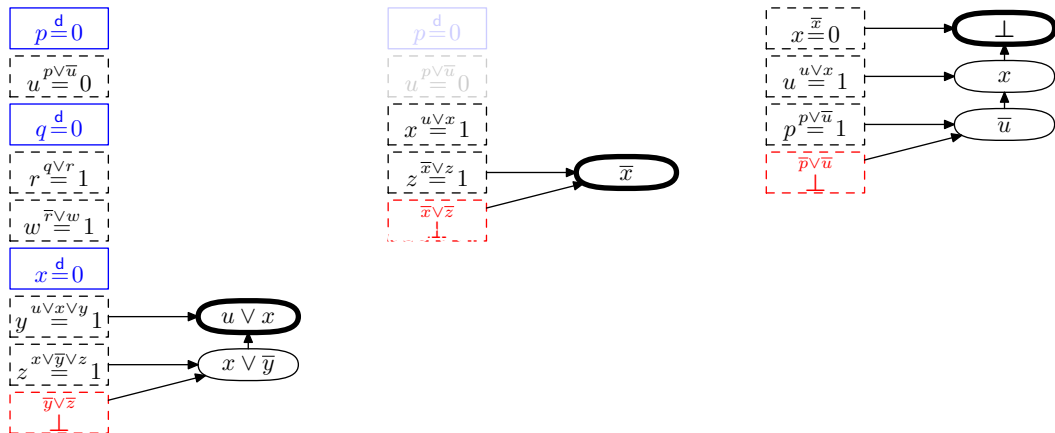
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## Resolution proof system [Bla37, Rob65]

- Start with clauses of CNF formula (**axioms**)
- Derive new clauses by **resolution rule**

$$\frac{C_1 \vee x \quad C_2 \vee \bar{x}}{C_1 \vee C_2}$$

# Resolution Proofs by Contradiction

Resolution rule:

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## Observation

*If  $F$  is a satisfiable CNF formula and  $D$  is derived from clauses  $D_1, D_2 \in F$  by the resolution rule, then  $F \wedge D$  is satisfiable.*

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So can prove  $F$  **unsatisfiable** by deriving the unsatisfiable empty clause (denoted  $\perp$ ) from  $F$  by resolution

Such proof by contradiction also called **resolution refutation**

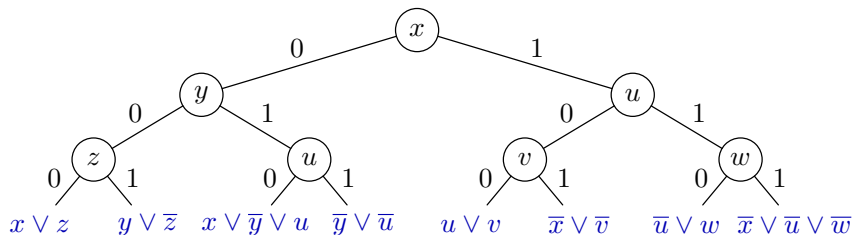
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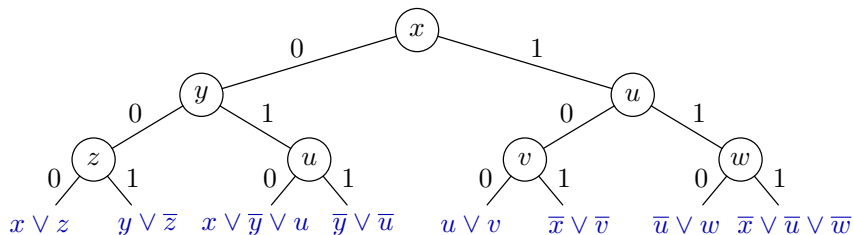
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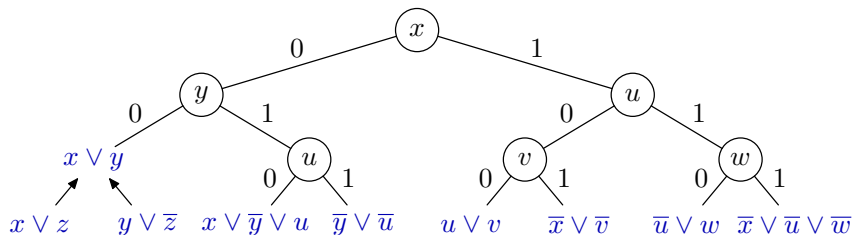


and **apply resolution rule**  $\frac{C_1 \vee x \quad C_2 \vee \bar{x}}{C_1 \vee C_2}$  **bottom-up**

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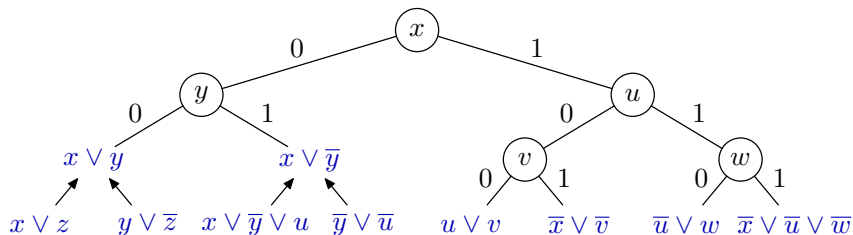
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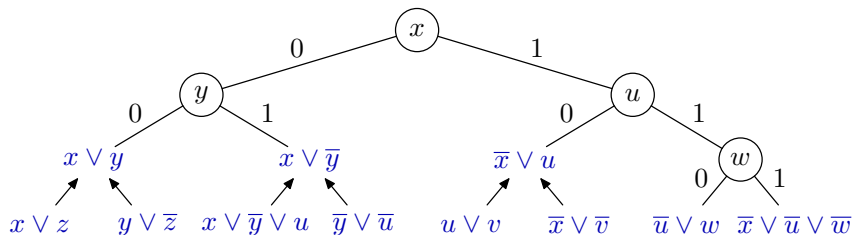


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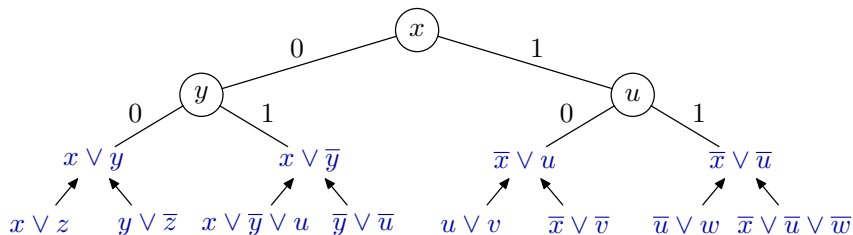


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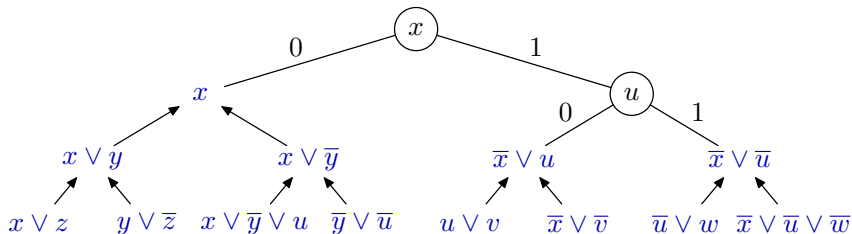


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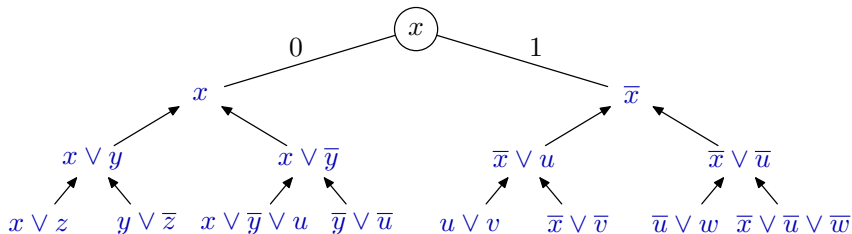


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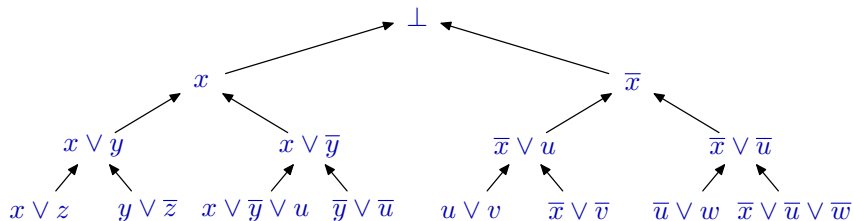


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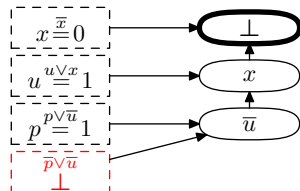
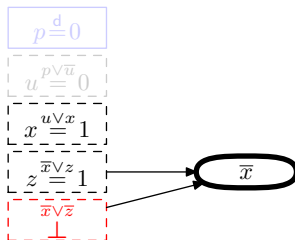
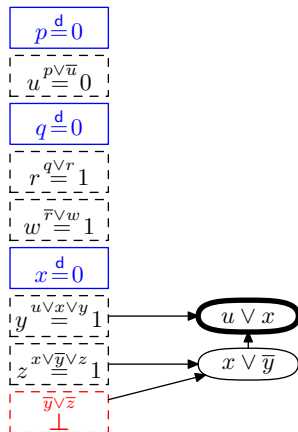
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# CDCL and Resolution Proofs

Obtain resolution proof. . .

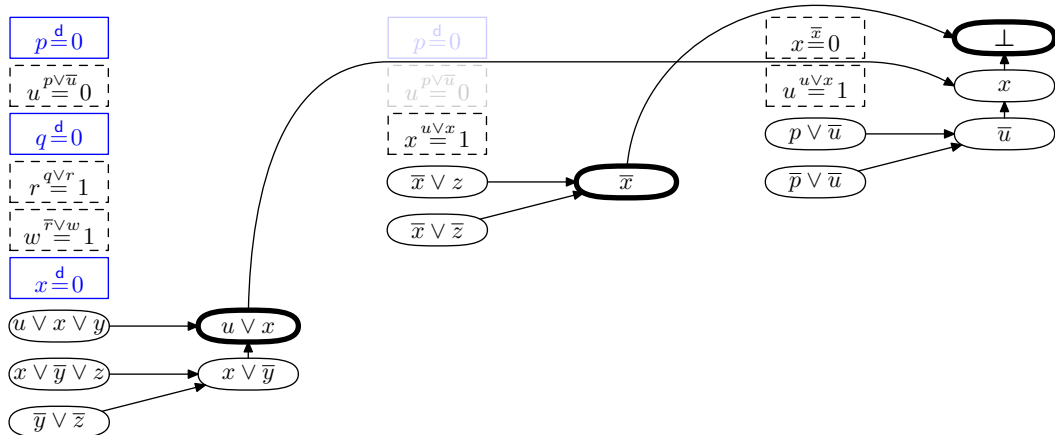
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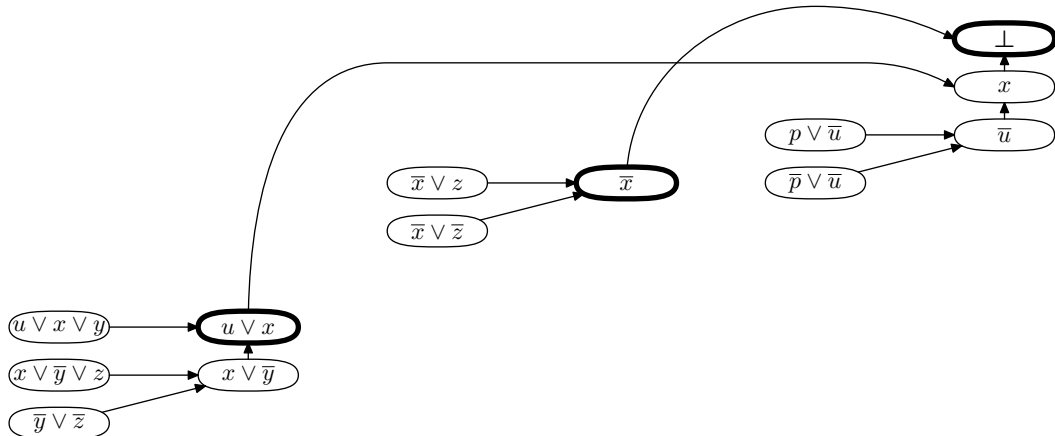
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(\*) Except for some **preprocessing techniques**, which is an important omission, but this gets complicated and we don't have time to go into details. . .

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- Paradox: resolution quite weak proof system; many strong proof complexity lower bounds for (seemingly) “obvious” formulas



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Even onto functional PHP hard — **“resolution cannot count”**

Resolution proof requires  $\exp(\Omega(n)) = \exp(\Omega(\sqrt[3]{N}))$  clauses  
(measured in terms of formula size  $N$ )

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“Sum of degrees of vertices in graph is even”

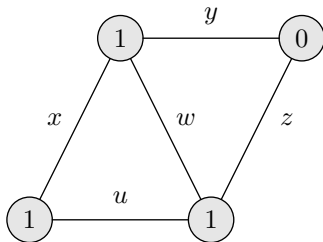
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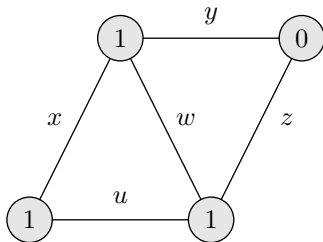
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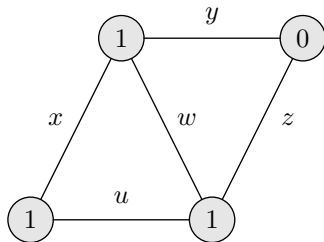
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Requires **proof size**  $\exp(\Omega(N))$  on well-connected so-called **expander graphs** —

“**resolution cannot count mod 2**”

## Examples of Hard Formulas for Resolution (3/3)

**Random  $k$ -CNF formulas** [CS88]

$\Delta n$  randomly sampled  $k$ -clauses over  $n$  variables

( $\Delta \gtrsim 4.5$  sufficient to get unsatisfiable 3-CNF almost surely)

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## And more...

- COLOURING [BCMM05]
- Zero-one designs [Spe10, VS10, MN14]
- Et cetera... (See, e.g., [BN21] for overview)

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But no such strong lower bounds known for CLIQUE!

- Refuting existence of  $k$ -clique should require proof size  $n^{\Omega(k)}$
- Only known for restricted so-called regular resolution [ABdR<sup>+</sup>21]

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# Hilbert's Nullstellensatz

Consider any system of polynomial equations

$$p_1(x_1, \dots, x_n) = 0$$

$$p_2(x_1, \dots, x_n) = 0$$

$$\vdots$$

$$p_m(x_1, \dots, x_n) = 0$$

$$x_1^2 - x_1 = 0$$

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## Hilbert's Nullstellensatz

System infeasible  $\Leftrightarrow$  exist  $q_i, r_j \in \mathbb{F}[x_1, \dots, x_n]$  such that

$$\sum_{i=1}^m q_i(x_1, \dots, x_n) \cdot p_i(x_1, \dots, x_n) + \sum_{j=1}^n r_j(x_1, \dots, x_n) \cdot (x_j^2 - x_j) = 1$$

# Nullstellensatz Proof System [BIK<sup>+</sup>94]

Nullstellensatz refutation of

$$\begin{array}{ll} p_i(x_1, \dots, x_n) = 0 & i \in [m] \\ x_j^2 - x_j = 0 & j \in [n] \end{array}$$

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Complexity measures of refutations:

- **Size**: number of monomials (when all polynomials expanded out)
- **Degree**: highest total degree of any polynomial

# Nullstellensatz Example (Not Expanded out)

$$(x \vee z) \wedge (y \vee \neg z) \wedge (x \vee \neg y \vee u) \wedge (\neg y \vee \neg u) \\ \wedge (u \vee v) \wedge (\neg x \vee \neg v) \wedge (\neg u \vee w) \wedge (\neg x \vee \neg u \vee \neg w)$$

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$$(1 - x)(1 - z)$$

$$(1 - y)z$$

$$(1 - x)y(1 - u)$$

$$yu$$

$$(1 - u)(1 - v)$$

$$xv$$

$$u(1 - w)$$

$$xuw$$

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Size 27

Degree 3

(No use of Boolean axioms)

# Nullstellensatz Proof Search

- Solve linear system of equations with coefficients of polynomials  $q_i, r_j$  as unknowns
- Used successfully to solve, e.g., graph colouring problems [DLMM08, DLMO09, DLMM11]
- Running time grows exponentially with degree, though high-degree refutations can be very small [BCIP02, dRMNR21]

# Dual Variables

- Annoying problem:  $x_1 \vee x_2 \vee x_3$  translates to polynomial

$$(1 - x_1)(1 - x_2)(1 - x_3) = 1 - x_1 - x_2 - x_3 + x_1x_2 + x_1x_3 + x_2x_3 - x_1x_2x_3$$



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- Doesn't affect degree (obviously), but can decrease size exponentially [dRLNS21]  
(also for other algebraic proof systems)

# Dynamic Construction of Nullstellensatz Certificates

## Nullstellensatz again

Infeasibility of

$$p_i(x_1, \dots, x_n) = 0 \quad i \in [m]$$

$$x_j^2 - x_j = 0 \quad j \in [n]$$

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- **Ideal**  $\mathcal{I}$ :

- 1  $p, q \in \mathcal{I} \Rightarrow p + q \in \mathcal{I}$

- 2  $p \in \mathcal{I} \Rightarrow r \cdot p \in \mathcal{I}$  for any  $r$

- Compute polynomials in this ideal  $\mathcal{I}$  step by step

- Use “multivariate division” to check whether 1 lies in ideal or not

# Gröbner Bases: Admissible Orderings and Leading Terms

Admissible ordering  $\preceq$  on monomials  $m, m', t$ :

- ①  $m \preceq m' \Rightarrow t \cdot m \preceq t \cdot m'$
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Examples:

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Can write  $p = \text{lt}(p) + p'$  for  $\text{lt}(p)$  leading term (largest w.r.t.  $\preceq$ )

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If  $\text{lt}(p) = t \cdot \text{lt}(q)$ , can **reduce**  $p \bmod q$  by computing  $p - t \cdot q$

**“Multivariate division”**: Reduce  $p$  modulo all  $q$  in set of polynomials  $\mathcal{G}$  until no further reductions possible

$\mathcal{G}$  is a **Gröbner basis** if final result uniquely determined

# Gröbner Bases: Buchberger's Algorithm

## Buchberger's algorithm for computing Gröbner bases (**very** rough)

- 1 Let  $\mathcal{G} :=$  all axioms
- 2 Pick unprocessed pair  $p, q \in \mathcal{G}$  or terminate if none exists
- 3 Compute  $p' = t_p \cdot p$  and  $q' = t_q \cdot q$  to make leading terms cancel
- 4 Set  $S := p' - q'$ ; reduce  $S \bmod \mathcal{G}$  with multivariate division; add result to  $\mathcal{G}$  if non-zero
- 5 Go to 2

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## Facts:

- Buchberger's algorithm computes Gröbner basis
- At termination,  $1 \in \mathcal{G} \Leftrightarrow$  polynomial equations infeasible

# Polynomial Calculus [CEI96, ABRW02]

- Compute polynomials in ideal  $\mathcal{I}$  generated by  $p_i$ ,  $x_j^2 - x_j$ , and  $x_j + x'_j - 1$  step by step:
  - $p_i \in \mathcal{I}$ ,  $x_j^2 - x_j \in \mathcal{I}$ , and  $x_j + x'_j - 1 \in \mathcal{I}$  (axioms)
  - If  $p, q \in \mathcal{I}$ , then  $\alpha p + \beta q \in \mathcal{I}$  for any  $\alpha, \beta \in \mathbb{F}$  (linear combination)
  - If  $p \in \mathcal{I}$ , then  $m \cdot p \in \mathcal{I}$  for any monomial  $m = \prod_j x_j$  (multiplication)

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- A refutation is a derivation ending with the polynomial 1
- Complexity measures:
  - **Size**: total number of monomials in all polynomials in derivation expanded out
  - **Degree**: highest total degree of any polynomial
- Polynomial calculus (much) stronger than Nullstellensatz w.r.t. both size and degree

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$$\frac{x \vee \bar{y} \vee z \quad \bar{y} \vee \bar{z}}{x \vee \bar{y}}$$

simulated by polynomial calculus derivation

$$\frac{x'yz' \quad \frac{\frac{yz}{x'yz} \quad \frac{z + z' - 1}{x'yz + x'yz' - x'y}}{-x'yz' + x'y}}{x'y}$$



# Polynomial Calculus is Strictly Stronger than Resolution

Polynomial calculus **can be exponentially stronger** than resolution

For instance:

- Tseitin formulas on expander graphs if  $\mathbb{F} = \text{GF}(2)$
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Other hard formulas:

- Tseitin-like formulas for counting mod  $p$  if  $p \neq$  field characteristic [BGIP01]
- Random  $k$ -CNF formulas
  - all characteristics except 2 [BI99]
  - all characteristics [AR03]

# COLOURING and CLIQUE for Polynomial Calculus

## COLOURING

- Exponential worst-case lower bounds in [LN17]
- Exponential **average-case** lower bounds in [CdRN<sup>+</sup>23]

## CLIQUE

Essentially nothing known!

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- Use **dual variables!** [KBBN22]



# Gröbner bases: Some Problems and Questions

- ① Buchberger not a great SAT solving algorithm  
Slow and memory-intensive, and computes too much info  
Possible to use conflict-driven paradigm?!
- ② Dual variables increase reasoning power exponentially [dRLNS21]  
But are immediately eliminated by multivariate division  
Possible to design dual-variable-aware Buchberger?!
- ③ Analysis of polynomial calculus uses degree-lexicographic ordering  
In computational algebra, many other orderings used  
Prove proof complexity separation results for different orderings?

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$$\sum_{i \in \mathcal{P}} x_i + \sum_{j \in \mathcal{N}} (1 - x_j) \geq 1$$

- Add variable axioms

$$\begin{aligned} x_j &\geq 0 \\ -x_j &\geq -1 \end{aligned}$$

for all variables

# Cutting Planes Proof System [CCT87]

Cutting planes introduced in [CCT87] to model integer linear programming algorithm in [Gom63, Chv73]

Can be applied to any system of 0-1 integer linear inequalities

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## Cutting planes derivation rules

$$\text{Multiplication} \quad \frac{\sum a_i x_i \geq A}{\sum c a_i x_i \geq cA} \quad c \in \mathbb{N}^+$$

$$\text{Addition} \quad \frac{\sum a_i x_i \geq A \quad \sum b_i x_i \geq B}{\sum (a_i + b_i) x_i \geq A + B}$$

$$\text{Division} \quad \frac{\sum a_i x_i \geq A}{\sum \lceil a_i / c \rceil x_i \geq \lceil A / c \rceil} \quad c \in \mathbb{N}^+$$

# Cutting Planes Derivations and Refutations

- A cutting planes derivation is a sequence of 0-1 integer linear inequalities derived using
  - Axioms (clauses and variable bounds)
  - Multiplication  $\sum a_i x_i \geq A \Rightarrow \sum c a_i x_i \geq cA$
  - Addition  $\sum a_i x_i \geq A, \sum b_i x_i \geq B \Rightarrow \sum (a_i + b_i) x_i \geq A + B$
  - Division  $\sum a_i x_i \geq A \Rightarrow \sum \lceil a_i / c \rceil x_i \geq \lceil A / c \rceil$
- A refutation ends with the inequality  $0 \geq 1$
- Complexity measures:
  - **Length**: # inequalities
  - **Size**: Count also bit size of representing all coefficients

# Cutting Planes vs. Resolution

- Cutting planes can simulate resolution reasoning efficiently and can be exponentially stronger (e.g., for PHP, just count and argue that  $\# \text{pigeons} > \# \text{holes}$ )



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- Cutting planes can simulate resolution reasoning efficiently and can be exponentially stronger (e.g., for PHP, just count and argue that  $\# \text{pigeons} > \# \text{holes}$ )
- And 0-1 linear inequalities are similar to but much more concise than CNF

Compare

$$x_1 + x_2 + x_3 + x_4 + x_5 + x_6 \geq 3$$

and

$$\begin{aligned} & (x_1 \vee x_2 \vee x_3 \vee x_4) \wedge (x_1 \vee x_2 \vee x_3 \vee x_5) \wedge (x_1 \vee x_2 \vee x_3 \vee x_6) \\ & \wedge (x_1 \vee x_2 \vee x_4 \vee x_5) \wedge (x_1 \vee x_2 \vee x_4 \vee x_6) \wedge (x_1 \vee x_2 \vee x_5 \vee x_6) \\ & \wedge (x_1 \vee x_3 \vee x_4 \vee x_5) \wedge (x_1 \vee x_3 \vee x_4 \vee x_6) \wedge (x_1 \vee x_3 \vee x_5 \vee x_6) \\ & \wedge (x_1 \vee x_4 \vee x_5 \vee x_6) \wedge (x_2 \vee x_3 \vee x_4 \vee x_5) \wedge (x_2 \vee x_3 \vee x_4 \vee x_6) \\ & \wedge (x_2 \vee x_3 \vee x_5 \vee x_6) \wedge (x_2 \vee x_4 \vee x_5 \vee x_6) \wedge (x_3 \vee x_4 \vee x_5 \vee x_6) \end{aligned}$$

# Hard Formulas for Cutting Planes

## Clique-colouring formulas [Pud97]

“A graph with an  $m$ -clique is not  $(m - 1)$ -colourable”

# Hard Formulas for Cutting Planes

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### Variables

- $p_{i,j}$  indicators of the edges in graph;  $1 \leq i < j \leq n$
- $q_{k,i}$  identify members of  $m$ -clique;  $1 \leq k \leq m$ ,  $1 \leq i \leq n$
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$$q_{k,1} \vee q_{k,2} \vee \cdots \vee q_{k,n}$$

some vertex is the  $k$ th member of clique

$$\bar{q}_{k,i} \vee \bar{q}_{k',i}$$

clique members are uniquely defined ( $k \neq k'$ )

$$p_{i,j} \vee \bar{q}_{k,i} \vee \bar{q}_{k',j}$$

clique members are connected by edges

$$r_{i,1} \vee r_{i,2} \vee \cdots \vee r_{i,m-1}$$

every vertex  $i$  has a colour

$$\bar{p}_{i,j} \vee \bar{r}_{i,\ell} \vee \bar{r}_{j,\ell}$$

neighbours have distinct colours

# More Hard Formulas for Cutting Planes?

Lower bound for clique-colouring formulas uses **interpolation** and **circuit complexity**

- From small cutting planes proof, build small circuit of special type that can decide whether graph has clique
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Nothing known for COLOURING or CLIQUE

Surprisingly, Tseitin formulas are at most quasi-polynomially hard for cutting planes [DT20]!

# SAT Solvers Based on Cutting Planes?

So-called **pseudo-Boolean (PB) solvers** using (subset of) cutting planes reasoning developed in, e.g., [CK05, SS06, LP10, EN18]

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Is it truly harder to build good pseudo-Boolean solvers?

Or has just so much more work has been put into CDCL solvers?

# Division Versus Saturation

Use negated literals as needed to get all  $a_i$ ,  $A$  positive

Boolean derivation rules for 0–1 integer linear inequalities

$$\text{Division} \frac{\sum a_i \ell_i \geq A}{\sum \lceil a_i/c \rceil \ell_i \geq \lceil A/c \rceil} \quad c \in \mathbb{N}^+$$

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- ... And most often also in practice [EN18], though not always [LBD<sup>+</sup>20]

# Sherali–Adams (SA) and Sums of Squares (SoS)

Refutation of  $p_i \in \mathbb{R}[x_1, \dots, x_n]$ ,  $i \in [m]$ , and  $x_j^2 - x_j$ ,  $j \in [n]$

## Nullstellensatz

$$\sum_{i=1}^m q_i \cdot p_i + \sum_{j=1}^n r_j \cdot (x_j^2 - x_j) = 1$$

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**Sums of squares (SoS)** ( $s_k \in \mathbb{R}[x_1, \dots, x_n]$ )

$$\sum_{i=1}^m q_i \cdot p_i + \sum_{j=1}^n r_j \cdot (x_j^2 - x_j) + \sum_{k=1}^s s_k^2 = -1$$

# Sherali–Adams, Sums of Squares, and Relations to Other Proof Systems

**Sherali–Adams** models linear programming (LP) hierarchies

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**Strict hierarchy** (over  $\mathbb{R}$ ):

- Nullstellensatz
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**Sums of squares** is strictly **stronger** than **polynomial calculus** (over  $\mathbb{R}$ )

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Sums of squares very strong proof system (e.g., can reason about PHP)

But can't do parity reasoning efficiently [GV01, Gri01]

Survey [FKP19] recommended for more reading

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Complexity measures:

- **Length:** # branching nodes / sets  $\mathcal{S}$
- **Size:** Count also bit size for representing all coefficients

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Still possible that stabbing planes is exponentially more powerful than cutting planes, but hard to know what to believe

# Extended Resolution [Tse68]

## Resolution rule

$$\frac{C_1 \vee x \quad C_2 \vee \bar{x}}{C_1 \vee C_2}$$

## Extension rule introducing clauses

$$a \vee \bar{x} \vee \bar{y} \quad \bar{a} \vee x \quad \bar{a} \vee y$$

for fresh variable  $a$  (encoding that  $a \leftrightarrow (x \wedge y)$  must hold)



# Extended Resolution and SAT Solving

- Closely related (and equivalent) to *DRAT* system used to justify correctness of some SAT preprocessing techniques [JHB12]
- *DRAT* also used for SAT solver proof logging
- Attempts to combine extended resolution with CDCL in, e.g., [AKS10, Hua10]
- Without restrictions, corresponds to extremely strong **extended Frege system** [CR79] — pretty much no lower bounds known
- To analyse solvers using extended resolution, would need to:
  - Describe heuristics/rules actually used
  - See if possible to reason about such restricted proof system

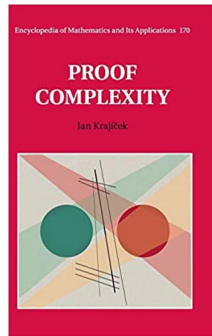
# Some More References for Further Reading

## Handbook of Satisfiability (Especially chapter 7 😊)



[BHvMW21]

## Proof Complexity by Jan Krajíček



[Kra19]

# Summing up This Presentation

Overview of some proof systems used in combinatorial solving:

- Resolution  $\longleftrightarrow$  conflict-driven clause learning (CDCL)
- Nullstellensatz and polynomial calculus  $\longleftrightarrow$  Gröbner bases
- Cutting planes  $\longleftrightarrow$  pseudo-Boolean solving

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Very brief discussion of some other proof systems:

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Thank you for your attention!

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