Proof Complexity as a Computational Lens

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Colouring

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3-colouring? Yes, but no 2-colouring

CLIQUE



3-clique?

CLIQUE



3-clique? Yes

CLIQUE



3-clique? Yes, but no 4-clique

CLIQUE

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Is there a clique in the graph G=(V,E) with k vertices that are all pairwise connected by edges in E?

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Given propositional logic formula, is there a satisfying assignment?

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$$(x \lor z) \land (y \lor \neg z) \land (x \lor \neg y \lor u) \land (\neg y \lor \neg u)$$
$$\land (u \lor v) \land (\neg x \lor \neg v) \land (\neg u \lor w) \land (\neg x \lor \neg u \lor \neg w)$$

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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
- \(\) 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 problem is NP-complete, so probably very hard [Coo71, Lev73]
- ullet Assuming P \neq NP, even impossible to meaningfully approximate
 - COLOURING [Kho01, Zuc07]
 - CLIQUE [Hås99]
 - SAT [Hås01]

Solving NP in Theory and Practice

- SAT mentioned already in Gödel's famous letter in 1956 to von Neumann
- Topic of intense research in computer science ever since 1960s
- SAT problem is NP-complete, so probably very hard [Coo71, Lev73]
- Assuming $P \neq NP$, even impossible to meaningfully approximate
 - COLOURING [Kho01, Zuc07]
 - CLIQUE [Hås99]
 - 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^+01] that solve huge SAT problem instances

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

This lecture: Use proof complexity (not only conceivable answer)

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- Is there a short proof of the right answer using rules in this proof system?
- ② Can short proofs in the proof system be found efficiently?

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Focus of this lecture: Question 1 for different proof systems/algorithms Study infeasible problems — proofs of feasibility are trivial

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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 $^+$ 21]

Applications of Proof Complexity

Three applied reasons for proof complexity:

- Understand real-world applied algorithmic paradigms [this lecture]
- Get ideas for algorithmic improvements [EN18, EN20, LBD+20, DGD+21, DGN21, KBBN22, MBGN23, MSB+25] (See, e.g., tutorials youtu.be/VC0CHXoWnS4 and youtu.be/FIJ3k7HWpiQ about ROUNDINGSAT)
- Enhance algorithms to write machine-verifiable certificates of correctness [EGMN20, GMN20, GMM+20, GN21, GMN22, GMNO22, BBN+23, BGMN23, MM23, BBN+24, DMM+24, GMM+24, HOGN24, IOT+24, MMN24, DHN+25, KLM+25, MM25]

(See tutorial youtu.be/s_5Bli4l22w about VERIPB)

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Or just view this as a convenient excuse to study nice computational complexity problems for their own sake... ©

Outline

- DPLL, CDCL, and Resolution
 - Davis-Putnam-Logemann-Loveland (DPLL) Method
 - Conflict-Driven Clause Learning (CDCL)
 - Resolution Proof System
- Algebraic and Semi-algebraic Approaches
 - Nullstellensatz
 - Gröbner Bases and Polynomial Calculus
 - Pseudo-Boolean Solving and Cutting Planes
- 3 Some More Advanced Proof Systems
 - Sherali-Adams and Sums of Squares
 - Stabbing Planes
 - Extended Resolution

Some Preliminaries

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

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- Refer to clauses of CNF formula as axioms (as opposed to derived clauses)
- N denotes size of formula (# literals counted with repetitions)
- $\mathcal{O}(f(N))$ grows at most as quickly as f(N) asymptotically $\Omega(g(N))$ grows at least as quickly as g(N) asymptotically $\Theta(h(N))$ grows equally quickly as h(N) asymptotically

The SAT Problem

The Satisfiability (or just Sat) Problem

Given a formula F in conjunctive normal form (CNF), is it satisfiable?

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For instance, what about our example CNF formula?

$$(x \lor z) \land (y \lor \overline{z}) \land (x \lor \overline{y} \lor u) \land (\overline{y} \lor \overline{u})$$

$$\land (u \lor v) \land (\overline{x} \lor \overline{v}) \land (\overline{u} \lor w) \land (\overline{x} \lor \overline{u} \lor \overline{w})$$

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

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

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

$$yu = 0$$

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

$$xv = 0$$

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

$$xuw = 0$$

$$(x \lor z) \land (y \lor \overline{z}) \land (x \lor \overline{y} \lor u) \land (\overline{y} \lor \overline{u})$$

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

$$z - yz = 0$$

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

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$$1 - u - v + uv = 0$$

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$$u - uw = 0$$

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$$1 - x - z + xz = 0 \qquad x + z \ge 1$$

$$z - yz = 0 \qquad y + (1 - z) \ge 1$$

$$y - xy - yu + xyu = 0 \qquad x + (1 - y) + u \ge 1$$

$$yu = 0 \qquad (1 - y) + (1 - u) \ge 1$$

$$1 - u - v + uv = 0 \qquad u + v \ge 1$$

$$xv = 0 \qquad (1 - x) + (1 - v) \ge 1$$

$$u - uw = 0 \qquad (1 - u) + w \ge 1$$

$$xuw = 0 \qquad (1 - x) + (1 - u) + (1 - w) \ge 1$$

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$$xv = 0$$

$$xv = 0$$

$$-x - v \ge -1$$

$$u - uw = 0$$

$$xuw = 0$$

$$-x - u - w \ge -2$$

Clique and Colouring as CNF Formulas

Clique formula

"The graph G = (V, E) has an m-clique"

$$q_{k,1} \lor q_{k,2} \lor \cdots \lor q_{k,n} \qquad |V| = n; \ 1 \le k \le m$$

$$\overline{q}_{k,v} \lor \overline{q}_{k',v} \qquad v \in V; \ 1 \le k < k' \le m$$

$$\overline{q}_{k,u} \lor \overline{q}_{k',v} \qquad (u,v) \notin E, k \ne k'$$

[some vertex is kth member of clique] [clique members are uniquely defined] [clique members are connected by edges]

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Colouring formula

"The graph G = (V, E) is m-colourable"

$$\begin{array}{ll} r_{v,1} \vee r_{v,2} \vee \cdots \vee r_{v,m} & v \in V \\ \hline r_{v,\ell} \vee \overline{r}_{v,\ell'} & v \in V; \ 1 \leq \ell < \ell' \leq m \\ \hline r_{u,\ell} \vee \overline{r}_{v,\ell} & (u,v) \in E, 1 \leq \ell \leq m \end{array}$$

[every vertex has a colour]
[colours are uniquely defined]
[neighbours have distinct colours]

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(Smarter encodings are possible, but these are good enough for our discussion)

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DPLL (somewhat simplified description)

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- **1** Otherwise pick some variable x in F
- Set x = 0, simplify F and make recursive call
- **5** Set x = 1, simplify F and make recursive call
- If result in both cases "unsatisfiable", then report "unsatisfiable" and return

$$F = (x \lor z) \land (y \lor \overline{z}) \land (x \lor \overline{y} \lor u) \land (\overline{y} \lor \overline{u})$$
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Visualize execution of DPLL algorithm as search tree

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

- satisfied clauses
- falsified literals

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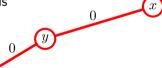
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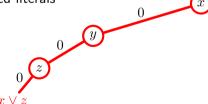


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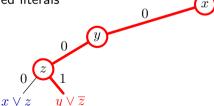


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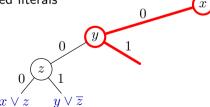


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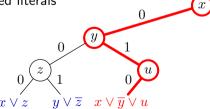
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$$F = (z) \wedge (y \vee \overline{z}) \wedge (x \vee \overline{y} \vee u) \wedge (\overline{u})$$
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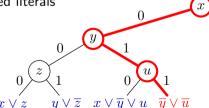
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Visualize execution of DPLL algorithm as search tree

- satisfied clauses
 - falsified literals

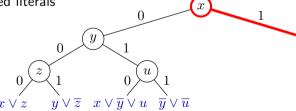


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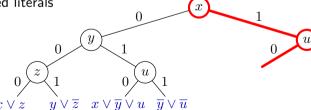


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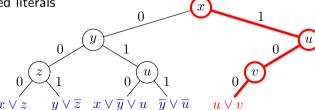
- "Simplify formula" by (mentally) removing
 - satisfied clauses
 - falsified literals



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$$\land (\underline{u} \lor \underline{v}) \land (\overline{v}) \land (\overline{u} \lor w) \land (\overline{u} \lor \overline{w})$$

Visualize execution of DPLL algorithm as search tree

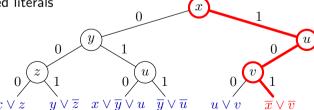
- satisfied clauses
- falsified literals



$$F = (x \lor z) \land (y \lor \overline{z}) \land (x \lor \overline{y}) \land (\overline{y} \lor \overline{u})$$
$$\land (v) \land (\overline{x} \lor \overline{v}) \land (\overline{u} \lor w) \land (\overline{u} \lor \overline{w})$$

Visualize execution of DPLL algorithm as search tree

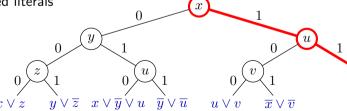
- satisfied clauses
- falsified literals



$$F = (x \lor z) \land (y \lor \overline{z}) \land (x \lor \overline{y} \lor u) \land (\overline{y} \lor \overline{u})$$
$$\land (u \lor v) \land (\overline{v}) \land (w) \land (\overline{w})$$

Visualize execution of DPLL algorithm as search tree

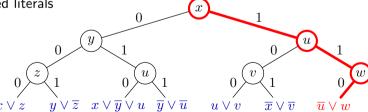
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Visualize execution of DPLL algorithm as search tree

- satisfied clauses
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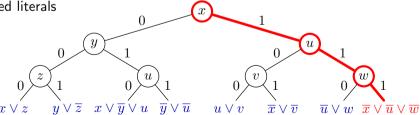


$$F = (x \lor z) \land (y \lor \overline{z}) \land (x \lor \overline{y} \lor u) \land (\overline{y} \lor \overline{u})$$
$$\land (u \lor v) \land (\overline{v}) \land (w) \land (\overline{x} \lor \overline{u} \lor \overline{w})$$

Visualize execution of DPLL algorithm as search tree

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

- satisfied clauses
- falsified literals

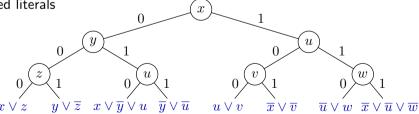


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Visualize execution of DPLL algorithm as search tree

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

- satisfied clauses
- falsified literals



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

(as pioneered in [BS97, MS99, MMZ+01]):

High-level description of modern conflict-driven clause learning (CDCL) SAT solving

- 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)

Two kinds of assignments — illustrate on example formula:

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

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Decision

Free choice to assign value to variable

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

Two kinds of assignments — illustrate on example formula:

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

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Unit propagation

Forced choice to avoid falsifying clause

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

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

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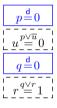
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Always propagate if possible, otherwise decide Add to assignment trail

Continue until satisfying assignment or conflict

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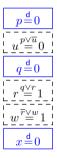
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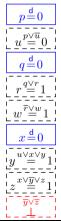
Given
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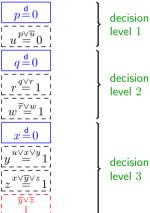
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Notation
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 $(p \vee \overline{u} \text{ is reason clause})$

Always propagate if possible, otherwise decide Add to assignment trail

Two kinds of assignments — illustrate on example formula:

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



decision Decision

Free choice to assign value to variable

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

Unit propagation

Forced choice to avoid falsifying clause

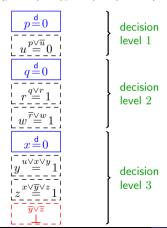
Given p=0, clause $p\vee \overline{u}$ forces u=0

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

Always propagate if possible, otherwise decide Add to assignment trail

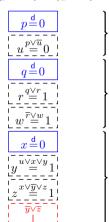
Time to analyse this conflict and learn from it!

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



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decision level 1

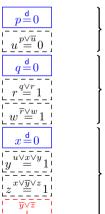
> decision level 2

> $\begin{array}{c} {\rm decision} \\ {\rm level} \ 3 \end{array}$

Could backtrack by erasing conflict level & flipping last decision

Time to analyse this conflict and learn from it!

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



Jakob Nordström (UCPH & LU)

decision level 1

decision level 2

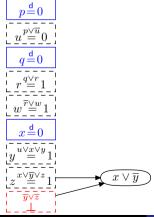
Could backtrack by erasing conflict level & flipping last decision

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

decision level 3

Time to analyse this conflict and learn from it!

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



Could backtrack by erasing conflict level & flipping last decision

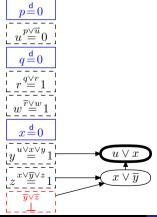
But want to learn from conflict and cut away as much of search space as possible

Case analysis over z for last two clauses:

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

Time to analyse this conflict and learn from it!

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



Could backtrack by erasing conflict level & flipping last decision

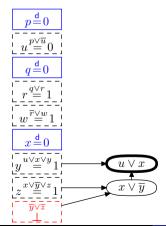
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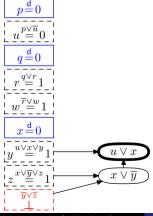
Repeat until UIP clause with only 1 variable at conflict level after last decision — learn and backjump

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



Backjump: undo max #decisions while learned clause propagates

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

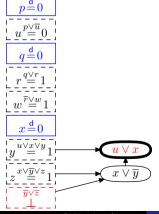




Assertion level 1 (2nd largest level in learned clause) — trim trail to that level

Backjump: undo max #decisions while learned clause propagates

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



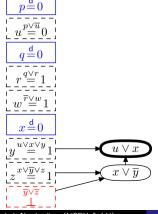


Assertion level 1 (2nd largest level in learned clause) — trim trail to that level

Now UIP literal guaranteed to flip (assert) — but this is a propagation, not a decision

Backjump: undo max #decisions while learned clause propagates

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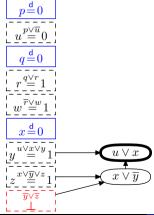


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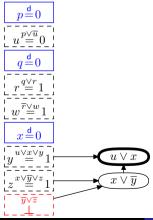
Then continue as before...

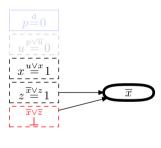
$$(p \vee \overline{u}) \wedge (q \vee r) \wedge (\overline{r} \vee w) \wedge (u \vee x \vee y) \wedge (x \vee \overline{y} \vee z) \wedge (\overline{x} \vee z) \wedge (\overline{y} \vee \overline{z}) \wedge (\overline{x} \vee \overline{z}) \wedge (\overline{p} \vee \overline{u})$$



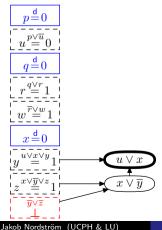


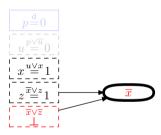
$$(p \vee \overline{u}) \wedge (q \vee r) \wedge (\overline{r} \vee w) \wedge (u \vee x \vee y) \wedge (x \vee \overline{y} \vee z) \wedge (\overline{x} \vee z) \wedge (\overline{y} \vee \overline{z}) \wedge (\overline{x} \vee \overline{z}) \wedge (\overline{p} \vee \overline{u})$$





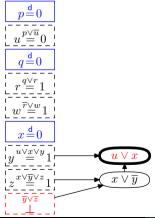
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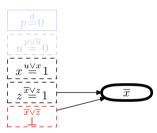






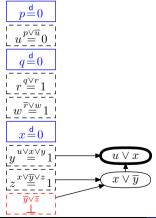
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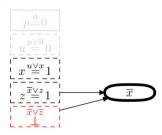






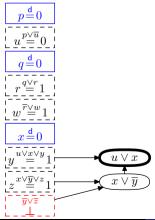
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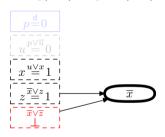






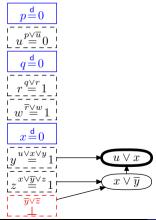
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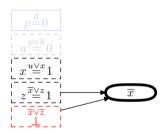


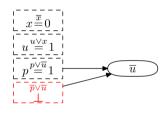




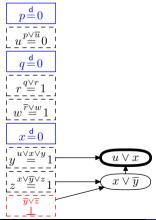
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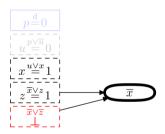


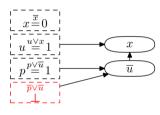




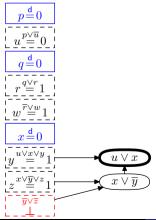
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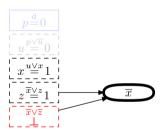


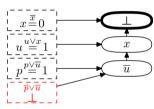




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SAT Solver Analysis and the Resolution Proof System

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Resolution proof system [Bla37, Rob65]

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

$$\frac{C_1 \vee x \qquad C_2 \vee \overline{x}}{C_1 \vee C_2}$$

Resolution Proofs by Contradiction

Resolution rule:

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

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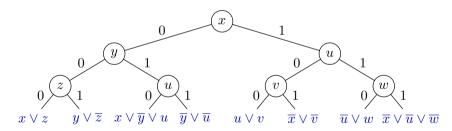
So can prove F unsatisfiable by deriving the unsatisfiable empty clause (denoted \bot) from F by resolution

Such proof by contradiction also called resolution refutation

A DPLL execution is essentially a resolution proof

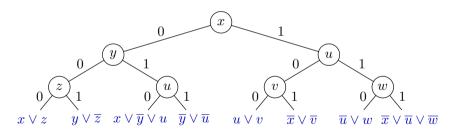
A DPLL execution is essentially a resolution proof

Look at our example again



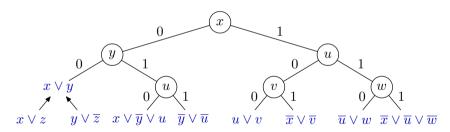
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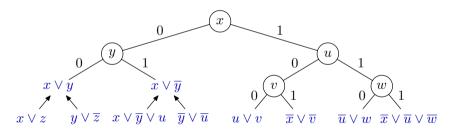
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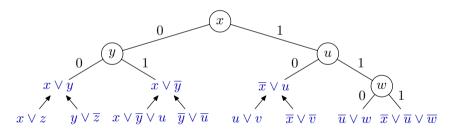
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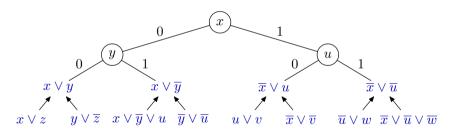
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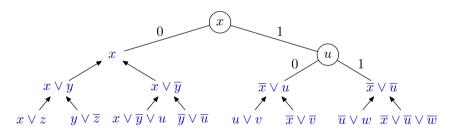
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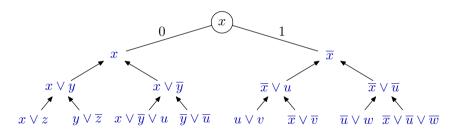
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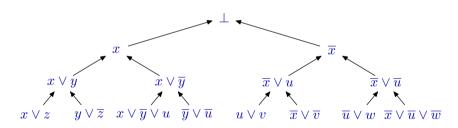
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and apply resolution rule $\frac{C_1 \vee x \quad C_2 \vee \overline{x}}{C_1 \vee C_2}$ bottom-up

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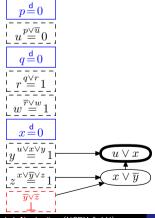
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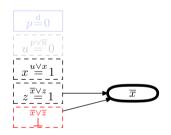
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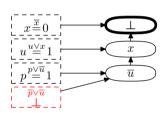
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- Conflict-driven clause learning adds "shortcut edges" in tree, but still yields resolution proof

Obtain resolution proof. . .

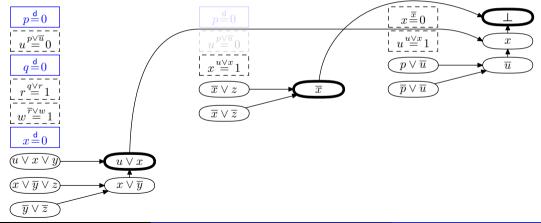
Obtain resolution proof from our example CDCL execution...



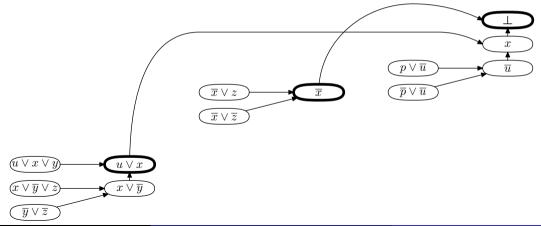




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- (*) Except for some preprocessing techniques, which is an important omission, but this gets complicated and we don't have time to go into details...

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 - Why do heuristics work?
 - Why are applied instances easy?
- Paradox: resolution quite weak proof system; many strong proof complexity lower bounds for (seemingly) "obvious" formulas

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

Examples of Hard Formulas for Resolution (1/3)

Pigeonhole principle (PHP) formulas [Hak85]

"n+1 pigeons don't fit into n holes"

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Variables
$$p_{i,j} =$$
 "pigeon $i \rightarrow$ hole j "; $1 \le i \le n+1$; $1 \le j \le n$

$$p_{i,1} \vee p_{i,2} \vee \cdots \vee p_{i,n}$$

$$\overline{p}_{i,i} \vee \overline{p}_{i',i}$$

[every pigeon
$$i$$
 gets a hole]
[no hole j gets two pigeons $i \neq i'$]

Can also add "functionality" and "onto" axioms

$$\overline{p}_{i,j} \vee \overline{p}_{i,j'}$$

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$$\begin{array}{ll} \overline{p}_{i,j} \vee \overline{p}_{i,j'} & \text{[no pigeon i gets two holes $j \neq j'$]} \\ p_{1,j} \vee p_{2,j} \vee \cdots \vee p_{n+1,j} & \text{[every hole j gets a pigeon]} \end{array}$$

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, i.e., total number of literals in formula)

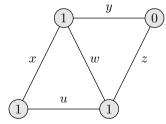
Tseitin formulas [Urq87]

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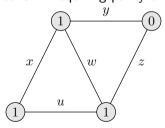
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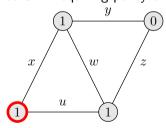


iges — label	
$(u \vee x)$	$\wedge \ (y \vee \overline{z})$
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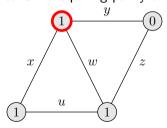


.6		
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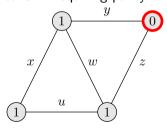


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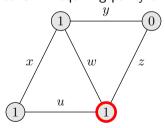


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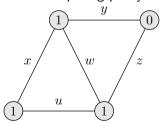
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Variables = edges (in undirected graph of bounded degree)

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Requires proof size $\exp(\Omega(N))$ on well-connected so-called expander graphs — "resolution cannot count mod 2"

Random *k*-CNF formulas [CS88]

 Δn randomly sampled k-clauses over n variables

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- Et cetera... (See, e.g., [BN21] for overview)

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But not CLIQUE!

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

Other Complexity Measures for Resolution

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If any resolution refutation of k-CNF formula F over n variables requires width linear in n, then refuting F in resolution requires size exponential in n

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If any resolution refutation of k-CNF formula F over n variables requires width linear in n, then refuting F in resolution requires size exponential in n

There are also other complexity measures of interest such as

- space: memory needed for self-contained presentation of refutation
- depth: longest path in refutation represented as directed acyclic graph (DAG)

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Add Boolean axioms

$$x_j^2 - x_j = 0$$

for all variables

Hilbert's Nullstellensatz

Consider any system of polynomial equations

in polynomial ring over field ${\mathbb F}$

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$$p_1(x_1, ..., x_n) = 0$$
 $x_1^2 - x_1 = 0$
 $p_2(x_1, ..., x_n) = 0$ $x_2^2 - x_2 = 0$
 \vdots \vdots
 $p_m(x_1, ..., x_n) = 0$ $x_n^2 - x_n = 0$

in polynomial ring over field ${\mathbb F}$

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⁺94]

Nullstellensatz refutation of

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

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is (syntactic) equality

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

is (syntactic) equality

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

Complexity measures of refutations:

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

$$(x \lor z) \land (y \lor \overline{z}) \land (x \lor \overline{y} \lor u) \land (\overline{y} \lor \overline{u})$$
$$\land (u \lor v) \land (\overline{x} \lor \overline{v}) \land (\overline{u} \lor w) \land (\overline{x} \lor \overline{u} \lor \overline{w})$$

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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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$$(1-y) \cdot (1-x)(1-z) + (1-x) \cdot (1-y)z + 1 \cdot (1-x)y(1-u) + (1-x) \cdot yu + x \cdot (1-u)(1-v) + (1-u) \cdot xv + x \cdot u(1-w) + 1 \cdot xuv$$

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

$$1 - x - y - z + xy + xz + yz - xyz + z - xz - yz + xyz + y - yu - xy + xyu + yu - xyu + x - xu - xv + xuv + xv - xuv + xu - xuw + xuw = 1$$

Size 27

Degree 3

(No use of Boolean axioms)

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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]

• Annoying problem: $x_1 \lor x_2 \lor x_3$ 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

$$p_{i}(x_{1},...,x_{n}) = 0 i \in [m]$$

$$x_{j}^{2} - x_{j} = 0 j \in [n]$$

$$x_{j} + x_{j}' - 1 = 0 j \in [n]$$

$$\updownarrow$$

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1 lies in polynomial ideal ${\cal I}$ generated by these polynomials

- Ideal T:

 - 2 $p \in \mathcal{I} \Rightarrow r \cdot p \in \mathcal{I}$ for any r
- ullet 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 \leq on monomials m, m', t:

- $2 m \leq t \cdot m$

Examples:

- Lexicographic
- Degree-lexicographic

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

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"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)

- Let $\mathcal{G} := \mathsf{all} \mathsf{axioms}$
- 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 $S \mod \mathcal{G}$ with multivariate division; add result to \mathcal{G} if non-zero
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Facts:

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

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:
 - $p_i \in \mathcal{I}$, $x_i^2 x_j \in \mathcal{I}$, 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)
 - \bullet 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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 - \bullet If $p\in\mathcal{I},$ then $m\cdot p\in\mathcal{I}$ for any monomial $m=\prod_j x_j$ (multiplication)
- A polynomial calculus 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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Polynomial calculus can always simulate resolution proofs efficiently step by step

Example: Resolution step

$$\frac{x \vee \overline{y} \vee z \qquad \overline{y} \vee \overline{z}}{x \vee \overline{y}}$$

simulated by polynomial calculus derivation

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

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

Polynomial Calculus is Strictly Stronger than Resolution

Polynomial calculus can be exponentially stronger than resolution

For instance:

- Tseitin formulas on expander graphs if $\mathbb{F} = GF(2)$
- Onto functional pigeonhole principle over any field [Rii93]

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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⁺23]

CLIQUE

Essentially nothing known!

Complexity Measures for Polynomial Calculus

Exponential size lower bounds for polynomial calculus can be proven by studying degree

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If any polynomial calculus refutation of k-CNF formula F over n variables requires degree linear in n, then refuting F in polynomial calculus requires size exponential in n

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Exponential size lower bounds for polynomial calculus can be proven by studying degree

Theorem ([IPS99])

If any polynomial calculus refutation of k-CNF formula F over n variables requires degree linear in n, then refuting F in polynomial calculus requires size exponential in n

- Other complexity measures analogous to those for resolution are also studied
- Many results analogous to resolution hold, but are much harder to prove
- Some analogous results are believed to hold, but remain open

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- Work in [KFB20, KB20, KBK20a, KBK20b, KB21] on circuit verification quite successful, but struggles with monomial blow-up
- Use dual variables! [KBBN22]

Gröbner bases: Some Problems and Questions

- Buchberger not a great SAT solving algorithm Slow and memory-intensive, and computes too much info (#solutions) 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?!
- Analysis of polynomial calculus uses degree-lexicographic ordering In computational algebra, many other orderings used Prove proof complexity separation results for different orderings?

SAT as System of 0–1 Integer Linear Inequalities

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to 0-1 integer linear inequalities

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

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Add variable axioms

$$x_j \ge 0$$
$$-x_j \ge -1$$

for all variables

Cutting Planes Proof System [CCT87]

Cutting planes proof system 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

$$\begin{array}{ll} \text{Multiplication} & \frac{\sum a_i x_i \geq A}{\sum c a_i x_i \geq c A} & c \in \mathbb{N}^+ \\ & \text{Addition} & \frac{\sum a_i x_i \geq A}{\sum (a_i + b_i) x_i \geq A + B} \\ & \frac{\sum a_i x_i \geq A}{\sum \lceil a_i / c \rceil x_i \geq \lceil A / c \rceil} & c \in \mathbb{N}^+ \end{array}$$

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 $\sum a_i x_i \ge A \Rightarrow \sum c a_i x_i \ge cA$
 - Addition $\sum a_i \overline{x_i} \geq A$, $\sum b_i x_i \geq B \Rightarrow \sum (a_i + b_i) x_i \geq A + B$
 - Division $\sum a_i x_i \ge A \Rightarrow \sum \lceil a_i/c \rceil x_i \ge \lceil A/c \rceil$
- ullet A cutting planes refutation ends with the inequality $0 \ge 1$
- Complexity measures:
 - Length: # inequalities
 - Size: Count also bit size of representing all coefficients

Cutting Planes vs. Resolution

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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 #pigeons > #holes)
- And 0-1 linear inequalities are similar to but much more concise than CNF

$x_1 + x_2 + x_3 + x_4 + x_5 + x_6 \geq 3$ and $(x_1 \vee x_2 \vee x_3 \vee x_4) \wedge (x_1 \vee x_2 \vee x_3 \vee x_5) \wedge (x_1 \vee x_2 \vee x_3 \vee x_6) \\ \wedge (x_1 \vee x_2 \vee x_4 \vee x_5) \wedge (x_1 \vee x_2 \vee x_4 \vee x_6) \wedge (x_1 \vee x_2 \vee x_5 \vee x_6) \\ \wedge (x_1 \vee x_3 \vee x_4 \vee x_5) \wedge (x_1 \vee x_3 \vee x_4 \vee x_6) \wedge (x_1 \vee x_3 \vee x_5 \vee x_6) \\ \wedge (x_1 \vee x_4 \vee x_5 \vee x_6) \wedge (x_2 \vee x_3 \vee x_4 \vee x_5) \wedge (x_2 \vee x_3 \vee x_4 \vee x_6) \\ \wedge (x_2 \vee x_3 \vee x_5 \vee x_6) \wedge (x_2 \vee x_4 \vee x_5 \vee x_6) \wedge (x_3 \vee x_4 \vee x_5 \vee x_6)$

Hard Formulas for Cutting Planes

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$$\begin{array}{lll} q_{k,1} \vee q_{k,2} \vee \cdots \vee q_{k,n} & 1 \leq k \leq m & [\text{some vertex is kth member of clique}] \\ \overline{q}_{k,v} \vee \overline{q}_{k',v} & 1 \leq v \leq n; \ k \neq k' & [\text{clique members are uniquely defined}] \\ p_{u,v} \vee \overline{q}_{k,u} \vee \overline{q}_{k',v} & 1 \leq u < v \leq n; \ k \neq k' & [\text{clique members are connected by edges}] \\ r_{v,1} \vee r_{v,2} \vee \cdots \vee r_{v,m-1} & 1 \leq v \leq n; & [\text{every vertex has a colour}] \\ \overline{p}_{u,v} \vee \overline{r}_{u,\ell} \vee \overline{r}_{v,\ell} & 1 \leq u < v \leq n; \ 1 \leq \ell \leq m-1 & [\text{neighbours have distinct colours}] \end{array}$$

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
- Prove separately that no such small circuits can exist
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Cutting planes not well understood at all — need new proof techniques! Some recent developments in [dRMN⁺20, HP17, FPPR22, GGKS20, Sok24]

- Random $\mathcal{O}(\log n)$ -CNF formulas exponentially hard [HP17, FPPR22]
- Lower bound for random k-CNF formulas open
- Surprisingly, Tseitin formulas have refutations of quasi-polynomial size [DT20]!
- Nothing known for COLOURING or CLIQUE

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Perhaps counter-intuitively, challenging to make competitive with CDCL:

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 - How to detect unit propagation efficiently?
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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 (normalized form)

Boolean derivation rules for 0-1 integer linear inequalities

Division
$$\frac{\sum a_i \ell_i \geq A}{\sum \lceil a_i/c \rceil \ell_i \geq \lceil A/c \rceil} \quad c \in \mathbb{N}^+$$
Saturation
$$\frac{\sum a_i \ell_i \geq A}{\sum \min \{a_i, A\} \cdot \ell_i > A}$$

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Boolean derivation rules for 0-1 integer linear inequalities

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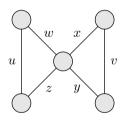
- Complexity literature of cutting planes uses division [CCT87]
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- ... And most often also in practice [EN18], though not always [LBD+20]

Even colouring formulas [Mar06]

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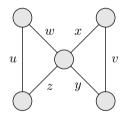
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$$\begin{array}{ccccc} u+w \geq 1 & -u-w \geq -1 \\ u+z \geq 1 & -u-z \geq -1 \\ w+x+y+z \geq 2 & -w-x-y-z \geq -2 \\ v+x \geq 1 & -v-x \geq -1 \\ v+y \geq 1 & -v-y \geq -1 \end{array}$$

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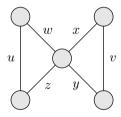
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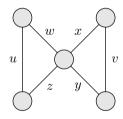


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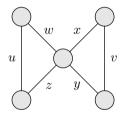


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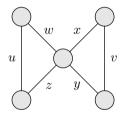
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Separating Division from Saturation?

Even colouring formulas [Mar06]

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- Very easy for (tree-like) cutting planes
- CNF encoding exponentially hard for resolution (and PB solvers) for expander graphs
- Pseudo-Boolean encoding hard in practice for pseudo-Boolean solvers [EGNV18]
- Possible to prove lower bounds for cutting planes with saturation instead of division?

The Subgraph Isomorphism Problem

Input

- Pattern graph \mathcal{P} with vertices $V(\mathcal{P}) = \{a, b, c, \ldots\}$
- Target graph \mathcal{T} with vertices $V(\mathcal{T}) = \{u, v, w, \ldots\}$
- No loops (for simplicity)

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Task

- Find all subgraph isomorphisms $\varphi:V(\mathcal{P})\to V(\mathcal{T})$
- ullet I.e., one-to-one mappings φ such that if

 - $(a,b) \in E(\mathcal{P})$

then must have $(u, v) \in E(\mathcal{T})$

Cutting Planes Lower Bounds for Subgraph Isomorphism?

Subgraph isomorphism formula

$$\sum_{v \in V(\mathcal{T})} x_{a,v} \ge 1$$

$$\sum_{v \in V(\mathcal{T})} -x_{a,v} \ge -1$$

$$\sum_{b \in V(\mathcal{P})} -x_{b,u} \ge -1$$

$$-x_{a,u} + \sum_{v \in N(u)} x_{b,v} \ge 0$$

$$[\text{every pattern vertex } a \in V(\mathcal{P}) \text{ maps somewhere}]$$

$$[\dots \text{ but only to one target vertex } u \in V(\mathcal{T})]$$

[edge
$$(a,b) \in E(\mathcal{P})$$
 maps to edge $(u,v) \in E(\mathcal{T})$]

Cutting Planes Lower Bounds for Subgraph Isomorphism?

Subgraph isomorphism formula

$$\begin{split} \sum_{v \in V(\mathcal{T})} x_{a,v} &\geq 1 & \text{[every pattern vertex } a \in V(\mathcal{P}) \text{ maps somewhere]} \\ \sum_{v \in V(\mathcal{T})} -x_{a,v} &\geq -1 & \text{[... but only to one target vertex } u \in V(\mathcal{T})] \\ \sum_{b \in V(\mathcal{P})} -x_{b,u} &\geq -1 & \text{[mapping is one-to-one]} \\ -x_{a,u} + \sum_{v \in N(u)} x_{b,v} &\geq 0 & \text{[edge } (a,b) \in E(\mathcal{P}) \text{ maps to edge } (u,v) \in E(\mathcal{T})] \end{split}$$

• All reasoning steps in Glasgow Subgraph Solver [ADH⁺19, GSS] can be formalized efficiently in cutting planes [GMN20, GMM⁺24]

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- All reasoning steps in Glasgow Subgraph Solver [ADH⁺19, GSS] can be formalized efficiently in cutting planes [GMN20, GMM⁺24]
- ullet So lower bounds for any graph pairs $(\mathcal{P},\mathcal{T})$ would establish theoretical limitations on state-of-the-art algorithms

Sherali–Adams (SA) and Sum of Squares (SoS)

Refutation of
$$p_i \in \mathbb{R}[x_1,\ldots,x_n]$$
, $i \in [m]$, 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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Sum of squares (SoS) $(s_k \in \mathbb{R}[x_1,\ldots,x_n])$

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Strict hierarchy (over \mathbb{R}):

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Survey [FKP19] recommended for more reading

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Complexity measures:

- Length: # branching nodes / sets 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

$$\frac{C_1 \vee x \qquad C_2 \vee \overline{x}}{C_1 \vee C_2}$$

Extension rule introducing clauses

$$a \vee \overline{x} \vee \overline{y}$$
 $\overline{a} \vee x$ $\overline{a} \vee y$

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

Extended Resolution and SAT Solving

- Closely related (and equivalent) to DRAT proof system used to justify correctness of some SAT preprocessing techniques [JHB12]
- DRAT also used for SAT solver proof logging [HHW13a, HHW13b, WHH14]
- Attempts to combine extended resolution with CDCL in, e.g., [AKS10, Hua10]
- Without restrictions, as powerful as 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]

Overview of some proof systems used in combinatorial solving:

- Resolution \longleftrightarrow conflict-driven clause learning (CDCL)
- Nullstellensatz and polynomial calculus ←→ Gröbner bases
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Thank you for your attention!

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