

Proof Complexity as a Computational Lens

Final Lecture

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Outline

1 Proof Systems Covered in This Course

- Resolution
- Nullstellensatz and Polynomial Calculus
- Cutting Planes

2 Proof Systems That We Didn't Manage to Cover

- Stabbing Planes
- Sherali–Adams and Sum-of-Squares
- Resolution over Parities

3 More Proof Systems and Perspectives

- Even Stronger Methods of Reasoning
- Other Techniques
- Applications of Proof Complexity in Other Areas

An Apology

- Slides prepared in great haste
- Pretty much all references missing
- See lecture notes for concrete lectures for more details
- Proof complexity chapter in *Handbook of Satisfiability* [BN21] should be good source
- Krajíček's book *Proof Complexity* [Kra19] better for advanced topics
- And semialgebraic proof systems covered in F&TTCS survey *Semialgebraic Proofs and Efficient Algorithm Design* [FKP19]

Resolution Length/Size Lower Bounds

In our lectures on resolution we covered some “classic” size lower bounds:

- Pigeonhole principle (PHP) formulas
- Tseitin formulas
- Random k -CNF formulas
- Clique-colouring formulas

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And some more recent results:

- Trade-offs between different complexity measures for resolution (length/size, width, space)
- Clique lower bound for **regular** resolution
- Non-automatability (efficient proof search for resolution is NP-hard)

Proof Techniques for Resolution

- Prosecutor-defendant game
- Random restrictions
- Size-width lower bounds
- Monotone feasible interpolation
- Decision tree reductions

Some Resolution Topics We Didn't Cover

- Pseudorandom generators (more about this later)
- Separations between different subsystems of resolution
- Polynomial simulation of resolution by conflict-driven clause learning (CDCL)

Resolution Width

Resolution width lower bounds for k -CNF formulas imply:

- length/size lower bounds (if width $\gg \sqrt{\#\text{ variables}}$)
- clause space lower bounds
- total space lower bounds (width squared)

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But width and clause space (almost) maximally separated

Open Problems for Resolution Space

- Does linear clause space lower bounds imply width/length lower bounds?
- Must a refutation in constant clause space also have polynomial length?
- Possible to exhibit supercritical trade-offs for
 - length/size vs. clause space with better parameters?
 - width vs. clause space for space larger than formula size?

More Open Problems for Resolution

- Tight bounds for weak PHP formulas
 - with n pigeonholes and $\gg n^2$ pigeons
 - also for graph PHP formulas
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(Using good encodings)

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- Clique lower bounds for **general** resolution
 - worst-case
 - average case
- Understand resolution complexity of NP-complete problems?
(Using good encodings)
- How hard is it to search for a **shortest** resolution refutation?

Nullstellensatz

- Only talked briefly about Nullstellensatz
- More interested in polynomial calculus
- Main focus has been on degree measure
- Degree lower bounds \Leftrightarrow existence of **designs**

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Open problems:

- Size-degree trade-offs for Nullstellensatz with dual variables
- Also without dual variables, would be nice to have stronger trade-offs — related to reversible pebbling
- Size lower bounds for more concise representation of polynomials than linear combination of monomials — leads to superstrong **ideal proof system!**

Polynomial Calculus

- Models Gröbner basis computations
- Assumes polynomials represented as linear combinations of monomials
- Exponentially stronger than resolution (assuming use of dual variables)
- Again main focus on degree complexity measure
- Degree lower bounds from **pseudo-reductions** faking polynomial ideal reductions
- Superpolynomial size lower bounds for constant-degree input if
 $\text{degree} \gg \sqrt{\# \text{ variables}}$
- Less tools in toolbox than for resolution

Some Results for Polynomial Calculus

Some hard formulas for resolution are easy for polynomial calculus:

- Tseitin formulas on expander graphs if $\mathbb{F} = \text{GF}(2)$
(do Gaussian elimination)
- Onto functional pigeonhole principle over any field
(count modulo characteristic)

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(count modulo characteristic)

But other formulas remain hard for polynomial calculus:

- Tseitin-like formulas for counting mod p if $p \neq$ field characteristic
- “vanilla” PHP, onto PHP, and functional PHP formulas
- Random k -CNF formulas
- Colouring formulas (worst-case and average-case)

Some Questions Motivated by Algebraic Solving

- Gröbner basis algorithm works with respect to fixed order — obtain proof complexity separations between different orders?
- Efficient algorithms for polynomials with dual variables?
- Conflict-driven algebraic solving?

Polynomial Calculus: Additional Topics

Some topics we didn't talk about:

- Pseudorandom generators
- Lower bound techniques for concrete field characteristics
 - change to “Fourier basis”
 - immunity (axioms without low-degree implications)

Open Problems for Polynomial Calculus Size and Degree

- Combine immunity with generalized constraint-variable incidence graphs (CVIGs)?
- Improve techniques for degree lower bounds
 - dense linear ordering (DLO) formulas
 - homomorphism problems
 - dichotomy results for constraint satisfaction problems (CSPs)
- Lower bounds for pseudorandom generators
- Size lower bounds without using degree
 - weak PHP formulas
 - clique formulas

Open Problems for Polynomial Calculus Space

- Separate monomial space from resolution clause space(?)
- Optimal monomial space lower bounds for
 - Tseitin formulas
 - Functional PHP formulas
- Monomial space \geq resolution width?
- Monomial space lower bounds for pebbling formulas
- Separations of degree and space independent of characteristic
- Supercritical size-space trade-offs independent of characteristic
- Total space lower bounds for polynomial-size formulas

(Easier to prove some space lower bounds without dual variables)

Polynomial Calculus over Roots of Unity

- Some recent, quite mysterious, results — can we gain better understanding?
- Prove implication degree lower bound \Rightarrow size lower bound for single formula?
- Clean general result saying that if
 - constraint-variable incidence graph is expander and
 - constraints have property \mathcal{P}then size lower bound follows?
- Transformation between $\{0, 1\}$ and roots of unity can be viewed as extension variables — possible to deal with more general definitions?
- What about space lower bounds for polynomial calculus over roots of unity?

Cutting Planes

Recap of some basics

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Proof techniques:

- Monotone feasible interpolation
- Lifting theorems in “classic” communication complexity
- Lifting theorems in “DAG-like” communication complexity (more recent)
- Bottleneck counting (very recent)

Open Problems for Cutting Planes Size

- Better parameters for DAG-like lifting
- Proof techniques for non-lifted formulas
- Proof techniques for distinguishing syntactic derivation rules (e.g., different cuts)
- Lower bounds for random k -CNF formulas
- Is cutting planes with polynomially bounded coefficients weaker than general cutting planes?

Open Problems for Cutting Planes Space

- General cutting planes refutes any infeasible 0–1 ILP in line space 5
- Possible to prove line space lower bounds for cutting planes with polynomially bounded coefficients?
- True trade-offs for cutting planes with polynomially bounded coefficients that don't apply to general cutting planes?
- Related problems:
 - Round-efficient lifting theorems in other settings
 - "Algorithmic" parity decision tree lower bounds for pebbling formulas
- Size-space trade-offs for general cutting planes with (much) better parameters would also be nice

Algorithmic Challenges for Pseudo-Boolean Solving

Pseudo-Boolean (PB) solvers use cutting planes + SAT-inspired methods for 0–1 ILPs

Challenging to make competitive with conflict-driven clause learning (CDCL)

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- How to keep coefficient sizes down to make integer arithmetic feasible?
- How to compare and assess quality of constraints?

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② Designing search and conflict analysis

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- But this also makes it trickier to design smart search algorithms
- Also harder to compare and assess quality of 0–1 linear inequalities

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③ Pseudo-Boolean solvers terrible for CNF input

- Can try to rewrite CNF to more helpful 0–1 linear inequalities
- Tricky to get this to work well in practice

Stabbing Planes

- Stabbing planes introduced in [BFI⁺18] to model (more modern) 0–1 ILP solving
- Decision tree that
 - branches over 0–1 linear inequalities
 - gets LP solving for free (so terminate when residual LP infeasible over \mathbb{R})
- Originally believed to be much stronger than cutting planes
- But stabbing planes with polynomially bounded coefficients simulated by general cutting planes with a quasi-polynomial blow-up [DT20, FGI⁺21]
- And recently, lower bounds for stabbing planes shown via interpolation [GP24]

Sherali–Adams (SA) and Sum-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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Sum-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, Sum-of-Squares, and Relations to Other Proof Systems

Sherali–Adams models linear programming (LP) hierarchies

Sum-of-squares models semidefinite programming (SDP) hierarchies

Strong connections to several best known approximation algorithms
(But Tseitin formulas are hard)

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Strict hierarchy (over \mathbb{R}):

- Nullstellensatz
- Sherali–Adams
- Sum of squares

Sum of squares is strictly stronger than polynomial calculus (over \mathbb{R})
Sherali–Adams and polynomial calculus are incomparable [Ber18]

More Results and Open Problems for Sherali–Adams and Sum-of-Squares

- Separation between general Sherali–Adams and Sherali–Adams with polynomially bounded coefficients (unary Sherali–Adams or uSA) [GHJ⁺24]
- What about different coefficient sizes in sum-of-squares?
- Average-case clique lower bounds for unary Sherali–Adams [dRPR23]
- Average-case colouring lower bounds for SoS [PX25], but (much) worse parameters than for polynomial calculus
- Size-degree lower bounds analogous to resolution [BW01] and polynomial calculus [IPS99] hold also for Sherali–Adams and SoS [AH19]
- What about size-degree trade-offs?
- Or non-automatability results?

Resolution over Parities

- Resolution, but clauses are disjunctions over parities
- First obstacle towards proving lower bounds for bounded-depth Frege with MOD connectives (more later)
- Currently very active area of research
- Size lower bounds, but only for bounded depth
- Current barrier at quadratic depth
- Better lifting theorems needed (ideally DAG-like)

Frege Proof Systems

- Standard natural deduction proof system taught in intro logics course
- Different flavours are polynomially equivalent
- Currently seems way beyond techniques for (unconditional) lower bounds
- Even lack of good candidates for hard formulas (except random k -CNF and other formulas that are too hard to prove lower bounds for)
- What about conditional lower bounds for assumptions weaker than $\text{NP} \neq \text{coNP}$?

Bounded-Depth Frege Proof Systems

k -DNF resolution: clauses are k -DNF formulas (disjunctions of conjunctions)

- Random k -CNF formulas are hard
- Weak PHP formulas are not well understood
- Random restrictions turn into switching lemmas

Bounded-Depth Frege Proof Systems

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- Random restrictions turn into **switching lemmas**

Bounded-depth Frege: formulas of arbitrary but constant depth

- Lower bounds for
 - PHP formulas
 - Tseitin formulas
- But weak PHP formulas are easy
- Major challenges to prove lower bounds for
 - random k -CNF formulas
 - random k -XOR formulas (not Tseitin formulas)

Bounded-Depth Frege and Circuit Complexity

Known results in circuit complexity:

- Depth hierarchy for bounded-depth circuits
- Strong lower bounds for bounded-depth circuits with MOD gates

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Analogous problems remain open in proof complexity:

- Depth hierarchy for bounded-depth Frege (for CNF formulas)
- Lower bounds for bounded-depth Frege with MOD connectives
(this is why resolution over parities is so interesting)
- Switching lemmas for bounded-depth Frege are very complex
- Need other tools

Extended and Substitution Frege Proof Systems

- Extended Frege: Introduce new variable to be equivalent to subformula
- Substitution Frege: Recycle any subderivation in single step
- Believed to be exponentially stronger than Frege
- Known to be polynomially equivalent
- Open problem: Does this hold also if we define extension and substitution for weaker proof systems?

Ideal Proof System

- **Very** rough explanation: Nullstellensatz, but represent polynomials as you like
- For instance, with arithmetic circuits
- Yields very strong proof system!
- Conditional results establishing relations with extended Frege and other proof systems
- Unconditional results for restricted arithmetic circuits

Bounded Arithmetic

- Bridge between logic and computational complexity theory
- Weak formal theories of arithmetic
- Peano Arithmetic, but
 - restricted power of induction hypotheses
 - restricted quantifiers
- Designed to capture feasible reasoning
- Correspondence between bounded arithmetic theories and proof systems
- Bounded arithmetic proof can be translated to family of propositional logic proofs

Interesting Proof Techniques Worth Closer Study

- Duality
- Reductions
 - via low-depth decision trees
 - via low degree polynomials
- Switching lemmas
- Pseudo-width
- Top-down analysis

Proof Complexity Applications in Computational Complexity Theory

Total NP search problems (TFNP)

- Tight correspondence between TFNP problems and proof systems
- Breakthrough results from proof complexity separations
- And also new proof systems

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- But proof complexity gets stuck earlier
- Intriguing interplay between proof complexity, circuit complexity, and communication complexity

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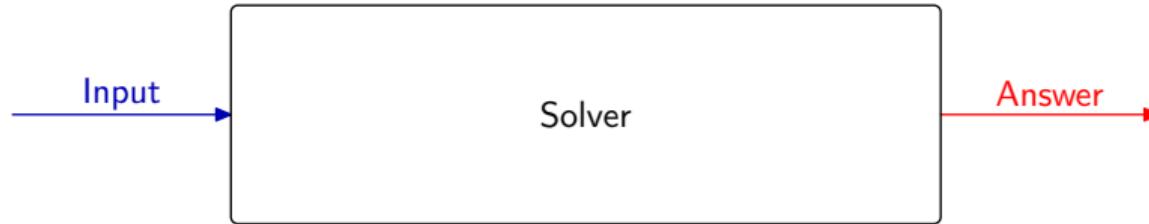
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Extension complexity

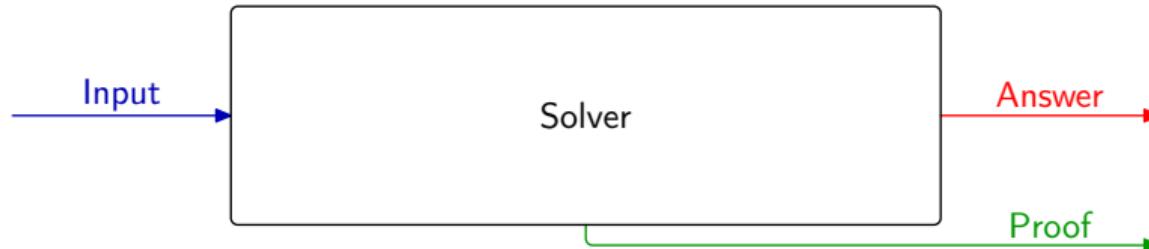
- Impossibility results for LP and SDP formulations
- Lower bounds for Sherali–Adams and sum-of-squares

Proof Complexity for Certified Combinatorial Solving



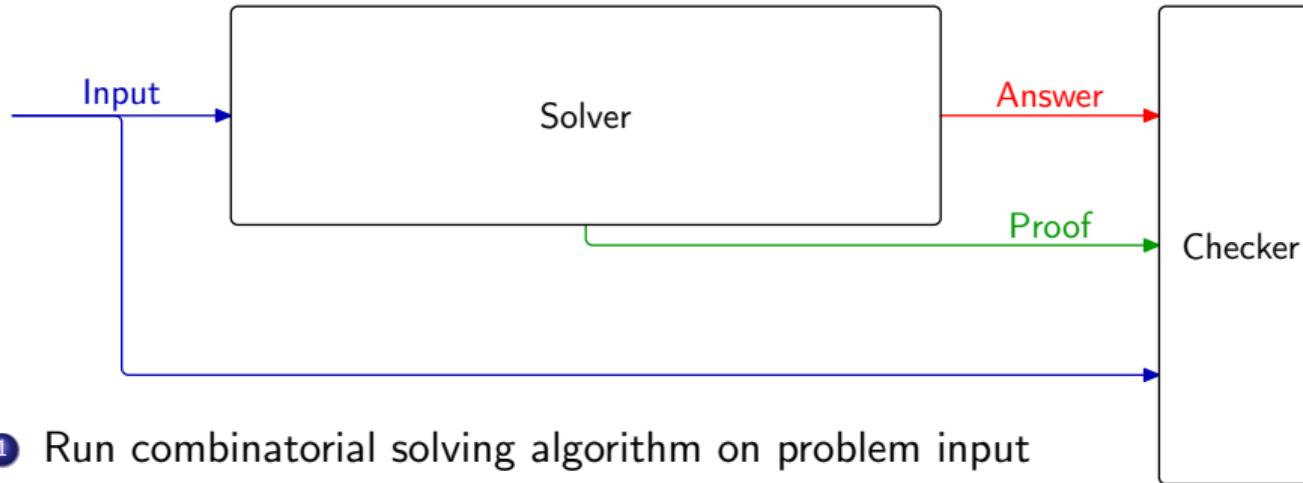
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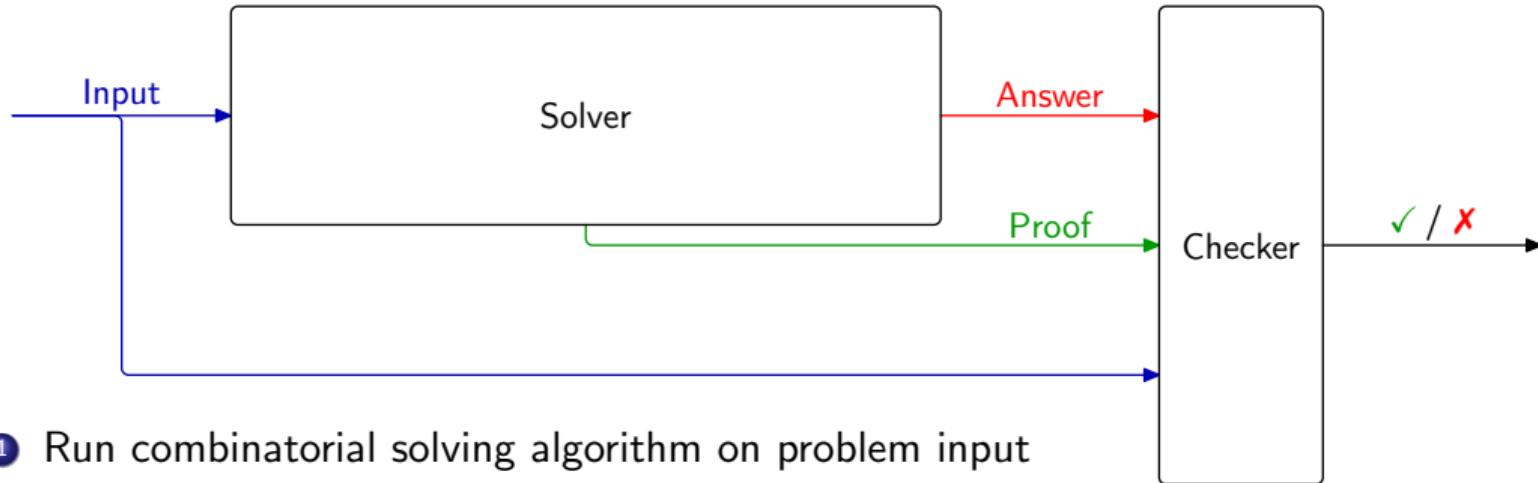
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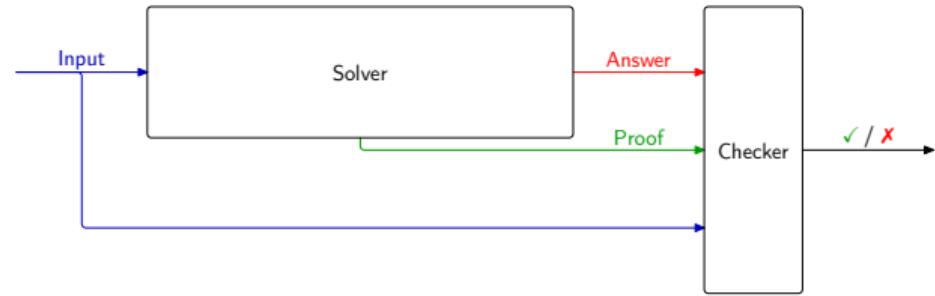
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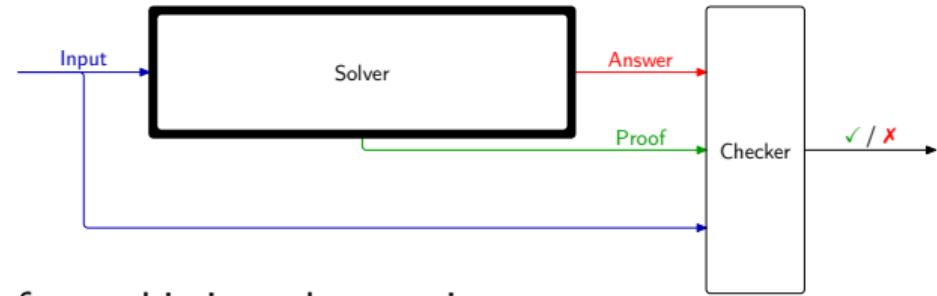
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- ④ Verify that proof checker says answer is correct

Proof System Desiderata

Proof format for certifying solver
should be



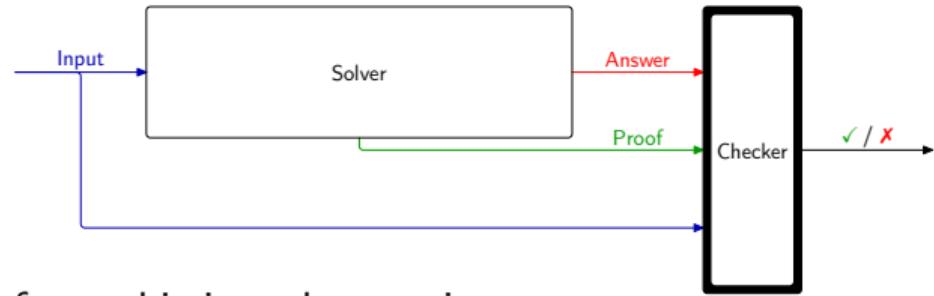
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- **very powerful:** minimal overhead for sophisticated reasoning

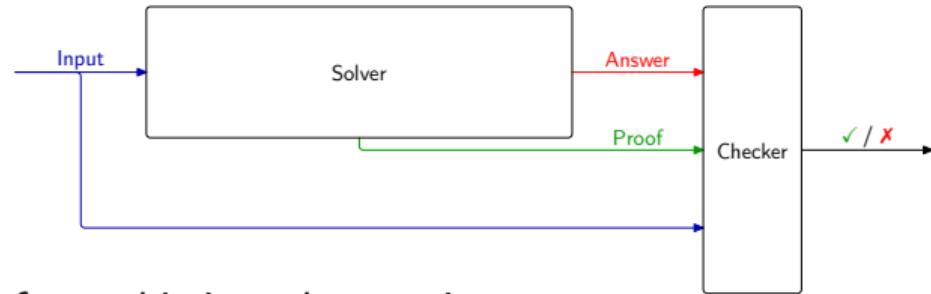
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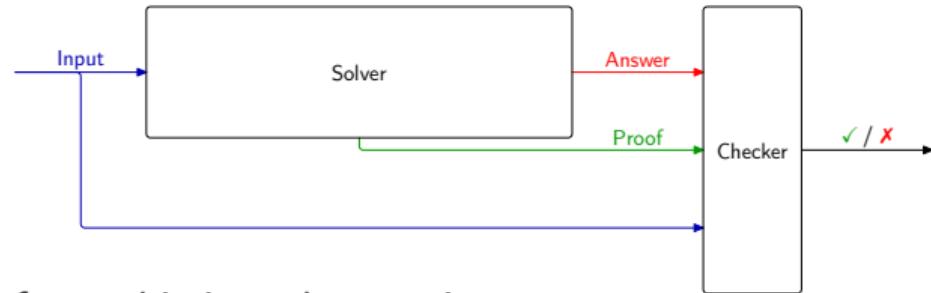


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Interesting problem to try to design suitable proof systems
(also for optimization problems and beyond Boolean format)

Redundance-Based Strengthening

C is **redundant** with respect to \mathcal{F} if \mathcal{F} and $\mathcal{F} \cup \{C\}$ are **equisatisfiable**

Want to allow adding such “redundant” constraints

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Redundance-based strengthening ([BT19, GN21], inspired by [JHB12])

C is redundant with respect to \mathcal{F} if and only if there is a **substitution** ω (mapping variables to truth values or literals), called a **witness**, for which

$$\mathcal{F} \cup \{\neg C\} \models (\mathcal{F} \cup \{C\}) \upharpoonright \omega$$

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- Proof sketch for interesting direction: If α satisfies \mathcal{F} but falsifies C , then $\alpha \circ \omega$ satisfies $\mathcal{F} \cup \{C\}$
- In a proof, the implication needs to be **efficiently verifiable** — every $D \in (\mathcal{F} \cup \{C\}) \upharpoonright_{\omega}$ should follow from $\mathcal{F} \cup \{\neg C\}$ either
 - ① “obviously” or
 - ② by explicitly presented derivation

Example: Deriving $a \leftrightarrow (x \wedge y)$ Using the Redundance Rule

Want to derive

$$2\bar{a} + x + y \geq 2 \quad a + \bar{x} + \bar{y} \geq 1$$

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② $\mathcal{F} \cup \{2\bar{a} + x + y \geq 2, \neg(a + \bar{x} + \bar{y} \geq 1)\} \models (\mathcal{F} \cup \{2\bar{a} + x + y \geq 2, a + \bar{x} + \bar{y} \geq 1\}) \upharpoonright_\omega$

Example: Deriving $a \leftrightarrow (x \wedge y)$ Using the Redundance Rule

Want to derive

$$2\bar{a} + x + y \geq 2 \quad a + \bar{x} + \bar{y} \geq 1$$

using condition $\mathcal{F} \cup \{\neg C\} \models (\mathcal{F} \cup \{C\}) \upharpoonright_\omega$

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Choose $\omega = \{a \mapsto 1\}$ — \mathcal{F} untouched; new constraint satisfied

$\neg(a + \bar{x} + \bar{y} \geq 1)$ forces $x \mapsto 1$ and $y \mapsto 1$, hence $2\bar{a} + x + y \geq 2$ remains satisfied after forcing a to be true

Open Problems: Strength of Restricted Redundance Rules?

Adding redundancy rule \Rightarrow proof system polynomially equivalent to extended Frege

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Adding redundancy rule \Rightarrow proof system polynomially equivalent to extended Frege

- ① What is the power of the redundancy rule if we forbid new variables?

For resolution + redundancy known that:

- Pigeonhole principle formulas easy
- Tseitin formulas easy

- ② What is the power of resolution with redundancy if we only allow new variables $z \leftrightarrow C$ for previously derived clauses C ?
 - Corresponds (kind of) to reasoning in core-guided MaxSAT solvers

Redundance and Dominance Rules in VERIPB (Slightly Simplified)

Redundance-based strengthening, optimization version with objective f [BGMN23]

Add constraint C to derived set \mathcal{D} if exists witness substitution ω such that

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- Applying ω should **strictly decrease** f
- If so, don't need to show that $(\mathcal{D} \cup \{C\})|_{\omega}$ implied!

Soundness of Dominance Rule

Dominance-based strengthening

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Why is this sound? Let $\mathcal{D} = \emptyset$ for simplicity

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- ⑦ ...

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- ⑦ ...
- ⑧ Can't go on forever, so finally reach α' satisfying $\mathcal{F} \cup \{C\}$

Soundness of Dominance Rule (Continued)

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- Same inductive proof as before, but also nested forward induction over derivation
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- Define dominance rule with respect to order \mathcal{O} independent of objective function
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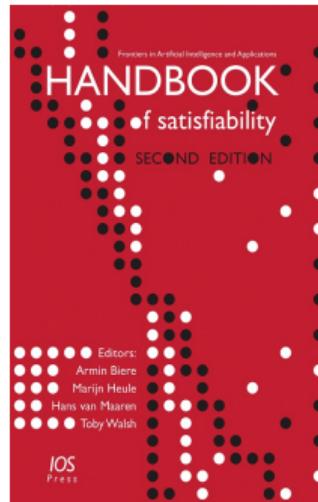
Yields proof system that is probably stronger than extended Frege [KT24]

Symmetry-Aware Proof Systems

- With dominance rule, can support fully general symmetry breaking
 - Invent “objective function” that minimizes lexicographic order of satisfying assignment
 - Allows adding lex order constraints forbidding other solutions
 - Other approaches also possible (but beyond the scope of this discussion)
- Modern symmetry handling tools can solve many symmetric hard proof complexity formulas even during preprocessing
- But non-symmetric formulas are presumably still hard?
- Desirable to have lower bounds that remain valid also in the presence of state-of-the-art symmetry handling tools
 - Define “symmetry-aware” versions of resolution, polynomial calculus, cutting planes, ...
 - Develop techniques to prove lower bounds

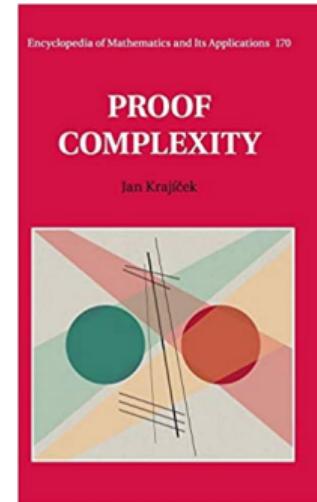
Repeating the Main References(?) for Further Reading

Handbook of Satisfiability (Especially chapter 7 ☺)



[BHvMW21]

Proof Complexity by Jan Krajíček



[Kra19]

Summing up This Course

We focused on some proof systems corresponding to combinatorial solving algorithms:

- Resolution \longleftrightarrow conflict-driven clause learning (CDCL)
- Nullstellensatz and polynomial calculus \longleftrightarrow Gröbner bases
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- Sherali–Adams and sums of squares \longleftrightarrow LP and SDP hierarchies
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- Extended resolution \longleftrightarrow SAT pre- and inprocessing
- ... and other stronger proof systems

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- Give ideas for new approaches
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Thank you for attending this course!

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