

PROOF COMPLEXITY IS A COMPUTATIONAL LEVENS

LECTURE 18

Last time: Total space $\geq (\text{width})^2$ for resolution

THM [Bonacina '16]

If $W_R(F \vdash \perp) > w \geq 4 \cdot W(F)$, then
 $\text{TOTSPR}(F \vdash \perp) > w^2/8$.

Developed notion of forcing

- ✓ If $m = 0$ if $\exists \ell \in m$ s.t. $\alpha(\ell) = 0$
- ✓ If $m = 1$ if no $\beta \supseteq \alpha$, $\beta \in \mathcal{A}$ sets $m = 0$

Relative to assignments or memory - w

Defendant strategy α

$\forall \alpha \in \mathcal{A} \neq \emptyset$

- (i) $|\text{dom}(\alpha)| = |\alpha| \leq w$
- (ii) If $\beta \supseteq \alpha$ then $\beta \in \mathcal{A}$
- (iii) If $|\alpha| < w$ and $\alpha \notin \text{dom}(\alpha)$, then
 $\exists \beta \supseteq \alpha, \beta \in \mathcal{A}$ s.t. $\alpha \in \text{dom}(\beta)$
- (iv) $\forall c \in F \quad \alpha(c) \neq \perp$

Use forcing to prove

PER monomial space $\geq \sqrt{\text{resolution width}}$

Assumptions $\boxed{F \text{ } k\text{-CNF formula}}$

$M = (M_0, \dots, M_R)$ functional monomial calculus
refutation in monomial space S

Notation

$$\boxed{\pi[L, R]} = (M_L, M_{L+1}, \dots, M_{R-1}, M_R)$$

Assume w.l.o.g. $W(F) = k \geq 3$

Otherwise $W_F(F \vdash I) \leq k$

Let α memory-w Defendant strategy for F
for w sufficiently large $w = 2s(s+1) + k$ for us today

DEFINITION (GUARANTEED NON-ZEROES)

For M and $\alpha \in A$

$$\mathcal{Z}(M, \alpha) = \{ \text{monomials } m \in M \mid \alpha \vdash m = 0 \}$$

$$\mathcal{NZ}(M, \alpha) = \{ \text{monomials } m \in M \mid \text{it does not hold that } \alpha \vdash m = 0 \}$$

$\alpha \in A$ guarantees r non-zeros in M if

$$\forall \beta \in A, \beta \supseteq \alpha \quad |\mathcal{NZ}(M, \beta)| \geq r$$

$\alpha \in A$ guarantees r non-zeros in $\pi[L, R]$

if α guarantees r non-zeros for all M_t , $t \in [L, R]$

OBSERVATION 12 If α guarantees r non-zeros in an interval and $\beta \supseteq \alpha$, $\beta \in A$, then β also guarantees r non-zeros on this interval.

This notion plays nicely with forcing as follows

In main tech lemma

LEMMA 13 Suppose that $|\mathcal{NZ}(M, \alpha)| = r$

and that α guarantees r non-zeros in M .

Then α forces M

Proof Let $NZ(M, \alpha) = \{m_1, \dots, m_r\}$

All other monomials in M forced to 0 by definition

Since α guarantees r non-zeroes, no $\beta \supseteq \alpha$, $\beta \in A$, can force any m_i to 0. Hence $\alpha \cap m_i = \emptyset$

so α forces all monomials in M , and hence also M \square

We can now argue about how to grow and shrink assignments in A that force configurations M .

LEMMA 14

in main tech lemma

Suppose $MS_p(M) \leq s$ and that $\alpha \in A$ guarantees r non-zeroes in M . Then there is $\beta \supseteq \alpha$, $\beta \in A$, such that β forces M and $|\beta| \leq |\alpha| + s - r$.

Proof Use proof of Lemma 9, and observe that assignment is extended with $\{\ell \mapsto 0\}$ at most $s-r$ times \square

LEMMA 15

in main tech lemma

Suppose $MS_p(M) \leq s$ and let $\alpha \in A$.

Suppose $\exists \gamma \supseteq \alpha$, $\gamma \in A$ such that $|NZ(M, \gamma)| = r$

then $\exists \beta \subsetneq \gamma$, $\alpha \subseteq \beta \subseteq \gamma$ such that

$|NZ(M, \beta)| = r$ and $|\beta| \leq |\alpha| + s - r$.

If α guarantees r non-zeroes in M , then β forces M , and β and γ both force M to either true or false.

Proof Let monomials in M be $m_1, \dots, m_{s'}$, $s' \leq s$

Write $NZ(M, \gamma) = \{m_1, \dots, m_r\}$

$I(M, \gamma) = \{m_{r+1}, \dots, m_{s'}\}$ with

$\ell_i \in m_i$ s.t. $\gamma(\ell_i) = 0$

Set $\beta = \alpha \cup \{ \ell_i \mapsto 0 \mid i \in [r+1, s'] \}$

$\beta \leq \gamma \in t$, so $\beta \in t$

$$\text{NZ}(M, \beta) = \text{NZ}(M, \gamma) \text{ so } |\text{NZ}(M, \beta)| = r$$

$$|\beta| \leq |x| + s - r \text{ clear from construction}$$

If x guarantees r non-zeros, then so do β and γ , and by lemma 13 they force M . Since $\gamma \geq \beta$, they force M to same value (by observation 4). \square

LEMMA 16 (MAIN TECHNICAL LEMMA)

Let $\pi = (M_0, \dots, M_s)$ be an FMC refutation in monomial space s of the k -CNF formula F for $k \geq 2$. Let t be a memory- w Defendant strategy for F for $w \geq 2s(s+1) + k$.

Then for each $r \leq s$ there is an $x_r \in t$ and a proof interval $[L_r, R_r]$ such that

$$(i) \quad x_r \vdash M_{L_r} \text{ and } x_r \vdash \neg M_{R_r}$$

(ii) x_r guarantees r non-zeros in $\pi[L_r, R_r]$

$$(iii) \quad |x_r| \leq 4 \sum_{i=0}^{r-1} (s-i)$$

Let us see how Theorem A' now follows.

Proof of Theorem A' Towards contradiction,

fix space- s FMC refutation $\pi = (M_0, \dots, M_s)$

and suppose $W_R(F \vdash \perp) > 2s(s+1) + k = w$.

Then \exists memory- w Defendant strategy for F (even $w+1$, but we don't have energy to carry this 1 around)

Apply Lemma 16 with $r=s$ to

get $x_s \in t$ and $L \leq R$ such that

$$- x_s \vdash M_L \text{ and } x_s \vdash \neg M_R$$

$$- |\alpha_s| \leq 4 \sum_{i=0}^{s-1} (s-i) = 4 \cdot \frac{s(s+1)}{2}$$

$$= 2s(s+1) = w - k$$

MSW II

- α_s guarantees s non-zeroes in $\pi_0[\ell, R]$

By Lemma 13, α_s forces all M_t , $t \in [\ell, R]$

Using Lemma 11, it follows by induction over $t \in [\ell, R]$ that $\alpha_s \vdash M_t$

But then $\alpha_s \vdash M_R$ and $\alpha_s \vdash \neg M_R$

which contradicts Observation 8 



Proof of Lemma 16

See picture on MSW XIII

By induction over r .

For the base case $r=0$, we take $\alpha_0 = \emptyset$, $L_0 = 0$, $R_0 = \ell$. $\emptyset \vdash M_0 \equiv T$ and $\emptyset \vdash \neg M_T$ for $M_T \equiv \perp$ since both FMC configurations have arity 0. Conditions (ii) and (iii) are vacuously true.

For the inductive step, suppose that conditions (i)-(iii)

hold for α_r and $\pi_0[L_r, R_r]$ for $r < s$

We will use that condition (iii) implies

$$|\alpha_r| + 4(s-r) \leq w - k$$

First consider "left end" of proof interval. Case analysis:

(a) $\exists t' \in [L_r, R_r]$ and $\beta' \in \alpha_r$, such that $|NZ(M_{t'}, \beta')| = r$ and $\beta' \vdash M_{t'}$

(b) No such t' exists

In case (b), α_r must guarantee $\geq r+1$ non-zeros, so set $\alpha'^! := \alpha_r$ and $L'^! := L_r$

In case (a), fix maximal such t' and corresponding β'

By condition (i) and observations 4 & 8, $t' \in R_r$ MSWXT

By condition (ii) and Lemma 15 can choose β' such that

$$|\beta'| \leq |\alpha_s| + s - r$$

By condition (ii) and Lemma 14 can extend β' to $\alpha' \geq \beta'$, α' set such that

$$|\alpha'| \leq |\beta'| + s - r \leq |\alpha_s| + 2(s - r)$$

and α' forces M_{t+1} (and also $M_{t'}$ since already $\alpha' \geq \beta' \vdash M_{t'}$ by construction)

Since $|\alpha'| \leq w - k$, Lemma 11 says that

$$\alpha' \vdash M_{t'+1} \quad \text{Set } \alpha' := \alpha' + 1$$

Now work on "right end" of proof interval

Again we have two cases:

(c) $\exists t'' \in [L', R_r]$ and $\beta'' \geq \alpha'$, β'' set such that $|NZ(M_{t''}, \beta'')| = r$

(d) No such t'' exists

In case (d) set $\alpha_{r+1} := \alpha'$ and $R' := R_r$

In case (c) fix minimal t'' and corresponding β'' .
By construction of α' and Lemma 15 can choose β'' such that

$$|\beta''| \leq |\alpha'| + s - r$$

By condition (ii) and Lemma 13, β'' forces $M_{t''}$.

Therefore $\beta'' \vdash \neg M_{t''}$ since otherwise we

would have picked this $t'' > t'$ in case (a)

Since $\beta'' \geq \alpha' \vdash M_{L'}$, $t'' > L'$

Appeal to Lemma 14 to get $\alpha'' \geq \beta''$ MSW XII

$\alpha'' \in \mathcal{A}$ such that

$$|\alpha''| \leq |\beta''| + (s-r) \leq |\alpha'| + 2(s-r) \leq w-k$$

and α'' forces $M_{t''-1}$.

Since $\alpha'' \geq \beta''$ it $\rightarrow M_{t''-1}$, Lemma 11 implies that

$$\alpha'' \text{ it } \rightarrow M_{t''-1}$$

Set $R' := t''-1$ and $\alpha_{r+1} := \alpha''$

Now set $L_{r+1} := L'$ $R_{r+1} := R''$

We claim that α_{r+1} and $\pi[L_{r+1}, R_{r+1}]$ satisfy the inductive hypothesis

Condition (iii) follows by inspection since

$$|\alpha_{r+1}| \leq |\alpha_r| + 4(s-r) \leq 4 \sum_{i=0}^{(r+1)-1} (s-i)$$

Condition (i) holds by construction since

$$\alpha_{r+1} \geq \alpha' \text{ it } M_{L_{r+1}}$$
 and

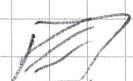
$$\alpha_{r+1} \text{ it } M_{R_{r+1}}$$

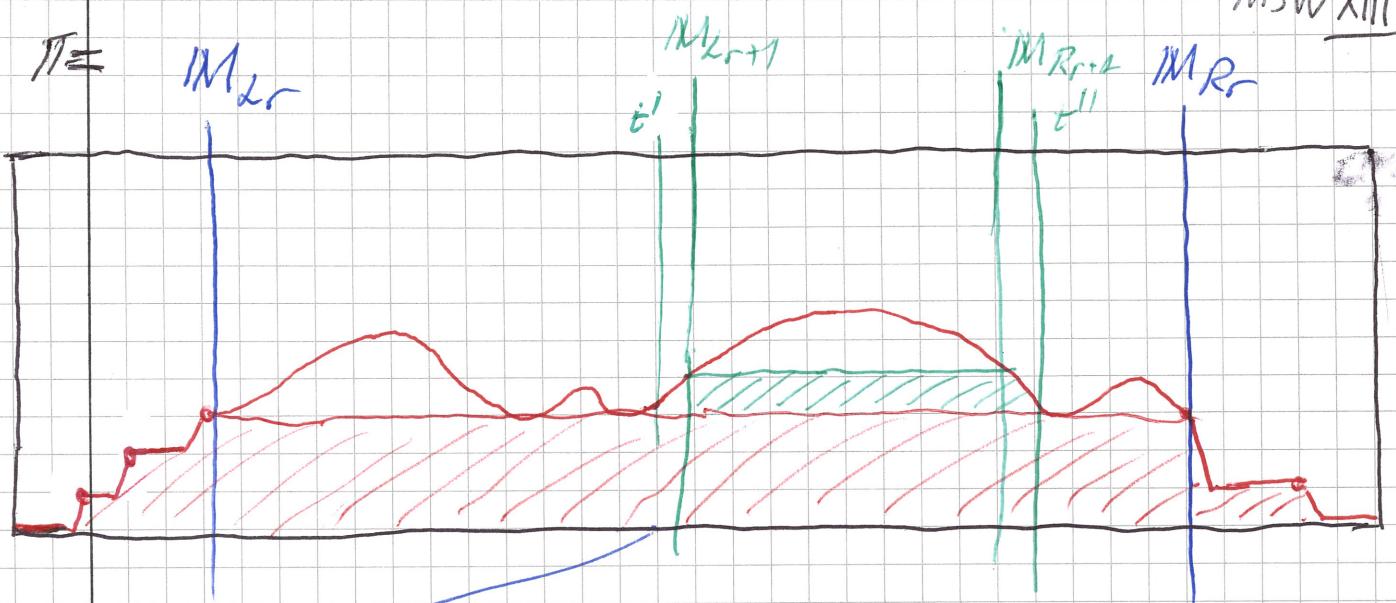
For condition (ii) we know that α_r guarantees r non-zeros in $\pi[L_r, R_r]$. By the choice of L_{r+1} and R_{r+1} we know for

$\gamma \in \mathcal{A}$, $\gamma \geq \alpha''$ and $t \in [L_{r+1}, R_{r+1}]$ that

$$|\text{NZ}(M_t, \gamma)| \neq r$$

Hence $\alpha'' = \alpha_{r+1}$ guarantees $\geq r$ non-zeros in $\pi[L_{r+1}, R_{r+1}]$





$$\beta' \vdash M_{t'}$$

$$\beta' \subseteq \alpha' \vdash M_{t'+1}$$

$$\alpha' \subseteq \beta'' \vdash M_{t''}$$

$$\beta'' \subseteq \alpha'' \vdash M_{t''-1}$$

$$\begin{aligned}
 |\alpha''| &\leq |\beta''| + (s-r) \\
 &\leq |\alpha'| + 2(s-r) \\
 &\leq |\beta'| + 3(s-r) \\
 &\leq |\alpha| + 4(s-r)
 \end{aligned}$$

Nullstellensatz representations of polynomials

$P = \{p_i \mid i \in m\}$ over $\{x_j \mid j \in [n]\}$

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

for $q_i, r_j \in \mathbb{F}[x_1, \dots, x_n]$

syntactic equality

View as proof system for CNF formulas by translating clauses

$$C = \bigvee_{x \in P} \underline{x} \vee \bigvee_{y \in N} \underline{\bar{y}}$$

to polynomials

$$P_C = \prod_{x \in P} (1-x) \prod_{y \in N} y$$

Today we think of 1 = true, 0 = false for variables

Focus on Nullstellensatz without dual variables

View polynomials p as linear combinations of monomials

$$P = \sum_{i=1}^s a_i m_i, \quad a_i \in \mathbb{F}$$

$$\text{SIZE } S(p) = s = \# \text{ monomials}$$

$$\text{DEGREE } \deg(p) = \text{largest total degree of monomial in } p \text{ (wlog multilinear)}$$

Most focus on degree lower bounds

In contrast to resolution and polynomial calculus, large NS degree does not imply size lower bound

[Bunche-Oppenheim, Clegg, Impagliazzo, & Pitassi '02]

Degree lower bounds for

NSII

- pigeonhole principle [BCEIP '98]
- induction principle [BP '98]
- house-sitting principle [Buss '98, CEI '96]
- matching [BIKPRS '97]
- pebbling [BCIP '02]

Then research seems to have moved on to stronger algebraic proof systems like polynomial calculus

Renewed interest in Nullstellensatz in

[RPRC '16, PR '17, PR '18, dRMNPRV '20] since

NS lower bounds can be lifted to
stronger computational models.

This research also led to strong size-degree trade-offs for Nullstellensatz by

[de Rezende, Meir, Nordström & Robere '21]

for PEBBLING contradictions - quick recap

$G = (V, E)$ directed acyclic graph (DAG)

$$\text{pred}_G(v) = \{u \mid (u, v) \in E\} \quad \text{succ}_G(u) = \{v \mid (u, v) \in E\}$$

Single SINK z with $\text{succ}_G(z) = \emptyset$

CORE SOURCE vertices s have $\text{pred}_G(s) = \emptyset$

Bounded fan-in $|\text{pred}_G(v)| = O(1)$ $\forall v \in V$

Usually insist on fan-in 0 or 2 - not important

Variable x_v for $v \in V$

For $U \subseteq V$, use notation $\boxed{x_U = \prod_{v \in U} x_v}$

↑
drop
subscript
 G
when
clear
from
context
(i.e.,
always)

PEBBLING CONTRADICTION Peb_G

NS III

Source axiom s
 $\text{pred}_G(s) = \emptyset$

$$x_s$$

$$1 - x_s$$

Pebbling axiom
 $v \in \text{pred}_G(v)$

$$\sqrt{x_u \vee x_v}$$

$$\bar{x}_u \vee x_v$$

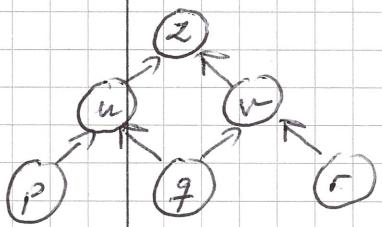
$$x_{\text{pred}_G(v)} (1 - x_v)$$

Sink axiom

$$\bar{x}_z$$

$$x_z$$

Example



$$\begin{aligned}
 & x_p \\
 \wedge & x_q \\
 \wedge & x_r \\
 \wedge & (\bar{x}_p \vee \bar{x}_q \vee x_n) \\
 \wedge & (\bar{x}_q \vee \bar{x}_r \vee x_v) \\
 \wedge & (\bar{x}_n \vee \bar{x}_v \vee x_z) \\
 \wedge & \bar{x}_z
 \end{aligned}$$

$$\boxed{
 \begin{aligned}
 A_v &= x_{\text{pred}_G(v)} (1 - x_v) \\
 A_{\text{sink}} &= x_z
 \end{aligned}
 }$$

$$\begin{aligned}
 & 1 - x_p \\
 & 1 - x_q \\
 & 1 - x_r \\
 & \bar{x}_p \bar{x}_q (1 - x_n) \\
 & x_q x_r (1 - x_v) \\
 & x_n x_v (1 - x_z) \\
 & x_z
 \end{aligned}$$

Sometimes we simplify notation and identify v and x_v

We will need to study the REVERSIBLE PEBBLE GAME

[Bennett 189]. Black pebble game where pebbling strategies run in reverse are also valid

Studied in the context of

- energy dissipation during computation
- quantum computing

Also in computational complexity theory

Pebble configuration $P = \text{subset of vertices } P \subseteq V$

Reversible pebbling strategy

$$P = (P_0, P_1, \dots, P_n)$$

sequence of configurations such that

$$P_0 = P_{\bar{v}} = \emptyset$$

$$z \in \cup_{t \in [n]} P_t$$

For all $t \in [n]$ P_t follows from P_{t-1} , by

- (1) Pebble placement on v

$$P_t = P_{t-1} \cup \{v\} \quad v \notin P_{t-1}, \text{pred}_G(v) \subseteq P_{t-1}$$

- (2) Pebble removal from v

$$P_t = P_{t-1} \setminus \{v\} \quad v \in P_{t-1}, \text{pred}_G(v) \subseteq P_{t-1}$$

$$\text{time}(P) = n$$

$$\text{space}(P) = \max_{t \in [n]} \{ |P_t| \}$$

Alternative, equivalent, definition

$$P = (P_0, \dots, P_n)$$

$$P_0 = \emptyset, z \in P_n, \text{time}(P) = 2n$$

Because of reversibility, once we have

$z \in P_n$ we can run pebbling in reverse

(Technically, these are all visiting pebblings — we could also define persistent pebblings with $P_n = \{z\}$, which changes space by at most 1, as usual.)

THEOREM A [dRMNR '21]

Let G be single-sink DAG and let \mathbb{F} be any field.

Then there is a reversible pebbling strategy P for G in time at most time(P) $\leq T$ and space(P) $\leq S$

if and only if there is a

Nullellensatz refinement π over \mathbb{F} of Peb_G such that $S(\pi) \leq T+1$ and $\text{Deg}(\pi) \leq S$

Let us first show how to convert a reversible pebbling $P = (P_0, \dots, P_T)$ such that $P_0 = \emptyset$, $z \in P_T$ into a Multilinear NS reputation.

For each $t \in [T]$ derive

$$\boxed{x_{P_{t-1}} - x_{P_t}} \quad (t)$$

Telescope to get

$$\sum_{t \in [T]} x_{P_{t-1}} - x_{P_t} = 1 - x_{P_T}$$

Since $z \in P_t$ can derive x_{P_t} by multiplying A_z and subtract

Suppose step t pebble placement or removal from v. Note

$$\begin{aligned} P_{t-1} \cap P_t &= (P_{t-1} \cup P_t) \setminus \{v\} \\ \text{pred}(v) &\subseteq P_{t-1} \cap P_t \end{aligned}$$

Set $\boxed{R_t = (P_{t-1} \cap P_t) \setminus \text{pred}(v)}$

For pebble placement, get (t) by

$$\underline{x_{R_t} \cdot A_v}$$

For pebble removal

$$\underline{-x_{R_t} \cdot A_v}$$

Clearly, degree = pebbling space

monomials = $2 \cdot T + 1$ = pebbling time + 1

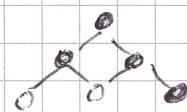
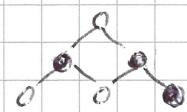
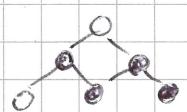
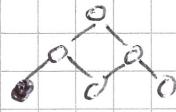
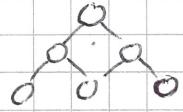
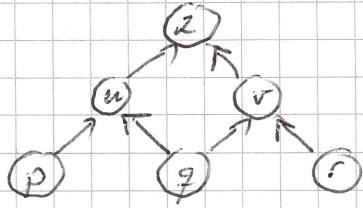
Note:

- No Boolean axioms
- Multilinear NS reputation

Example

(cancelations)

$$\begin{aligned}
 & 1 - p \\
 & + p \cdot (1 - q) \\
 & + pq \cdot (1 - u) \\
 & - qu \cdot (1 - p) \\
 & + qu \cdot (1 - r) \\
 & + u \cdot qr \cdot (q - v) \\
 & - ruv \cdot (1 - g) \\
 & + r \cdot uv \cdot (1 - z) \\
 & + ruv \cdot z \\
 = & 1
 \end{aligned}$$



Now convert NS reduction to reversible putting

For simplicity, let us do this over $H_2 = GF(2)$

$$A_v \doteq x_{\text{pred}(v)} (1 + x_v)$$

Also, consider multilinear setting without Boolean decisions $x_v^2 = x_v$ — only makes reduction stronger, since multilinearizing proof can only decrease proof size

$$\bar{\pi} = \sum_{v \in V} q_v \cdot A_v + \sum \text{monomial } q_{\text{smile}} \cdot A_{\text{smile}} = 1$$

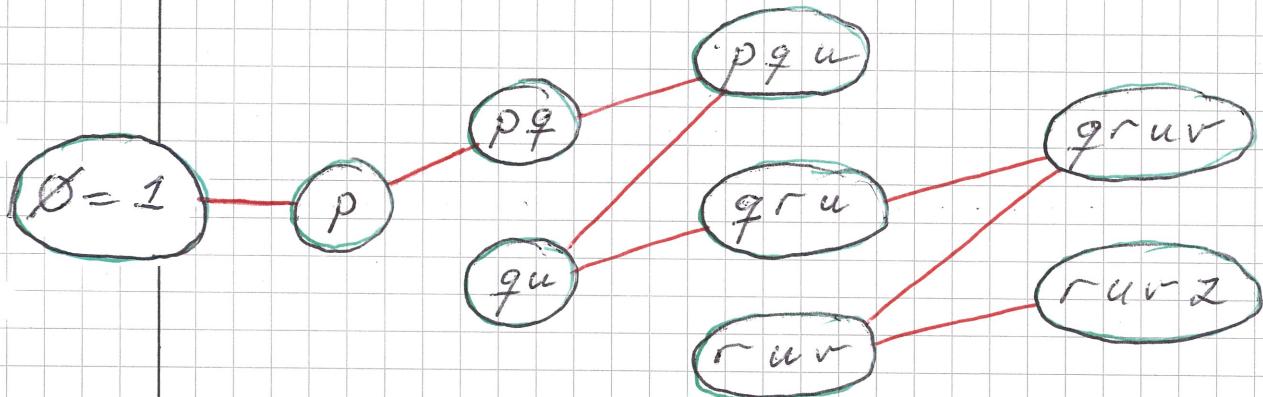
For every (x_u) in reduction, add node U in graph $H(\pi)$

For every monomial x_W in every q_v , add

edge $(W \cup \text{pred}(v), W \cup \text{pred}(v) \cup \{v\})$

Note that q_{smile} doesn't contribute edges

Example (cont.) $H(\pi)$



Observations

- (a) $\deg_H(\emptyset)$ odd, since 1 doesn't cancel
- (b) If $z \notin U \neq \emptyset$ then $\deg_H(U)$ is even
since x_u cancels
- (c) If $z \in U$, then $\deg_H(U)$ can be odd or even
- (d) Every edge is a valid putting move between ^{two} configurations

Conclusions

- There is a path in $H(\pi)$ from $\emptyset = 1$ to some π s.t. $\pi \in \mathcal{P}$
- this corresponds to (half of) a valid pebbling \mathcal{P}
- $\text{space}(\mathcal{P}) \leq \text{Deg}(\pi)$ by construction
- $\text{time}(\mathcal{P}) \leq 2 \cdot |\mathcal{E}(H(\pi))| \leq 2 \cdot \frac{s(\pi) - 1}{2} = s(\pi) - 1$

Analogous argument generalizes to arbitrary field F by defining weights of edges (in terms of coefficients $c \in F$ in front of monomials) and doing more careful parity-like argument

So to get NS size-degree trade-offs just need time-space trade-offs for reversible pebbling

(Not at all as well studied as for black and black-white pebbling!
Probably significant room for improvements of pebbling results in [dRNNR '21])

But still can get several strong results, though not as tight as, e.g., trade-offs between length and clause space in resolution in [BN '12]

Example NS trade-off:

THEOREM 3 [dRMMNR '21]

There exists constant $K > 0$ and family of explicitly constructible 3-CNF formulas $\{F_n\}_{n=1}^{\infty}$ of size $\Theta(n)$ such that for any $\epsilon > 0$:

- (i) $\text{Deg}_{\text{NS}}(F_n \vdash \perp) \leq d_1 = O(\sqrt[6]{n} \log n)$.
- (ii) Exists NS refutation $\pi: F_n \vdash \perp$ such that
 $S(\pi) = O(n^{1+\epsilon})$
 $\text{Deg}(\pi) = O(d_1 \cdot \sqrt[6]{n}) = O(\sqrt[3]{n} \log n)$.
- (iii) For any NS refutation $\pi: F_n \vdash \perp$ such that $\text{Deg}(\pi) \leq K d_2 / \log n = O(\sqrt[3]{n})$ it holds that $S(\pi) \geq (\sqrt[6]{n})!$.

OPEN PROBLEMS

(P1) Stronger and tighter time-space trade-offs for reversible pebbling

(P2) In particular, would it be possible to get sharp trade-offs where a small additive decrease in pebbling space = NS degree causes an exponential blow-up in pebbling time = NS size?

(P3) Can we get size-degree trade-offs for Nash-Gale games with dual variables? In this setting the reduction from NS size to pebbling time localizes down

Summary of open problems

Open
I

- ① Is it possible in resolution to find k -CNF formulas F_n such that

$$Sp_R(F_n \vdash \perp) = \Omega(|F_n|) \text{ and}$$

$$L_R(F_n \vdash \perp) = O(|F_n| \log |F_n|) ?$$

- ② Can we find CNF formulas F_n such that

$$Sp_R(F_n \vdash \perp) = \omega(Msp_{PCR}(F_n \vdash \perp)) ?$$

- ③ Can we separate monomial space for PCR over different fields ?

- ④ Can the bound for k -CNF formulas

$$Msp(F \vdash \perp) = \mathcal{R}(\sqrt{W(F \vdash \perp)})$$

be improved to $\mathcal{R}(W(F \vdash \perp))$?

Or is it tight for PCR ?

Or could it be tight for functional monomial calculus ?

- ⑤ If P is a set of polynomials of constant degree, is it true that

$$Msp(P \vdash \perp) = \mathcal{R}((\deg(P \vdash \perp))^{\delta})$$

for some $\delta > 0$?

- ⑥ Can we prove tight monomial space lower bounds for

- FPHP and One-FPHP
- Tseitin formulas
- Orderly formulas (POP, LOP, DLO)
- Pebbling formulas

(7)

Can we find k -CNF formulas or polynomials P of constant degree such that

Open
II

$$\text{TotSp}_{\text{PCR}}(P+1) = \Omega(|\text{Vars}(P)|^2)$$

or is at least super-linear?

Such a lower bound is known for Complete Tree formulas^{CTn}, which consist of all width- n clauses over n variables, but CT_n has large, linear, width and exponential size [ABRW02]