

PROOF COMPLEXITY IS A COMPUTATIONAL LENS

LECTURE 18

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

THM [Bonacina '66]

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

Developed notion of forcing

$\alpha \Vdash m=0$ if $\exists l \in m$ s.t. $\alpha(l)=0$
 $\alpha \Vdash m=1$ if no $\beta \geq \alpha$, $\beta \in \mathcal{A}$ sets $m=0$

Relative to assignments in memory - w
Defendant strategy $\mathcal{A}$

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

(i) $|\text{dom}(\alpha)| = |\alpha| \leq w$

(ii) if $\beta \leq \alpha$ then $\beta \in \mathcal{A}$

(iii) if $|\alpha| < w$ and $x \notin \text{dom}(\alpha)$, then
 $\exists \beta \geq \alpha$, $\beta \in \mathcal{A}$ s.t. $x \in \text{dom}(\beta)$

(iv) $\forall c \in F$ $\alpha(c) \neq \perp$

Use forcing to prove

PCR monomial space $\approx \sqrt{\text{resolution width}}$

Assumptions F k -CNF formula

$\pi = (M_0, \dots, M_r)$ functional monomial calculators

refutation in monomial space S

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

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

Otherwise $W_R(F \vdash \perp) \leq k$

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

DEFINITION (GUARANTEED NON-ZEROS)

For M and $\alpha \in \mathcal{A}$

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

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

$\alpha \in \mathcal{A}$ GUARANTEES r non-zeros in M if

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

$\alpha \in \mathcal{A}$ 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 on interval and $\beta \geq \alpha, \beta \in \mathcal{A}$, then β also guarantees r non-zeros in this interval.

This notion plays nicely with forcing as follows

LEMMA 13 ^{In mark technique} Suppose that $|NZ(M, \alpha)| = r$ 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-zeros, no $\beta \geq \alpha$, $\beta \in A$, can force any m_i to 0. Hence $\alpha \Vdash m_i = 1$

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 $MSp(M) \leq s$ and that $\alpha \in A$ guarantees r non-zeros in M . Then there is $\beta \geq \alpha$, $\beta \in A$, 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 $MSp(M) \leq s$ and let $\alpha \in A$.

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

then $\exists \beta \in A$, $\alpha \leq \beta \leq \gamma$ such that

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

If α guarantees r non-zeros 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 $NZ(M, \gamma) = \{m_1, \dots, m_r\}$

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

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

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

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

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

$|\beta| \leq |\alpha| + s - r$ clear from construction

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

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

- (i) $\alpha \Vdash M_{L_r}$ and $\alpha \Vdash \neg M_{R_r}$
- (ii) α guarantees r non-zeros in $\pi[L_r, R_r]$
- (iii) $|\alpha| \leq 4 \sum_{i=0}^{r-1} (s-i)$

Let us see how Theorem A' now follows.

Proof of Theorem A' Towards contradiction, fix space- s FMC refutation $\pi = (M_0, \dots, M_r)$ and suppose $W_R(F \vdash \perp) > 2s(s+1) + k = w$.

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

Apply Lemma 16 with $r = s$ to get $\alpha_s \in A$ and $L \leq R$ such that

- $\alpha_s \Vdash M_L$ and $\alpha_s \Vdash \neg M_R$

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

MSW X

- α_s guarantees s non-zeros in $\pi[L, R]$

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

Using Lemma 11, it follows by induction over $t \in [L, R]$ 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 $\alpha_0 = \emptyset$, $L_0 = 0$, $R_0 = \bar{v}$. $\emptyset \Vdash M_0 \equiv T$ and $\emptyset \Vdash \neg M_{\bar{v}}$ for $M_{\bar{v}} \equiv \perp$ 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 $\pi[L_r, R_r]$ 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 $\beta' \geq \alpha_r$, $\beta' \in A$, such that $|N\mathcal{Z}(M_{t'}, \beta')| = r$ 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, $t' < R_r$ MSW 81

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 $\alpha' \geq \beta'$, $\alpha' \in A$ 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

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

Now work on "right end" of proof interval

Again we have two cases:

(c) $\exists t'' \in [L', R_r]$ and $\beta'' \geq \alpha'$, $\beta'' \in A$ 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 ^{such} 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

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

and α'' forces $M_{t''-1}$.

Since $\alpha'' \geq \beta'' \Vdash \neg M_{t''}$, Lemma 11 implies that

$$\alpha'' \Vdash \neg M_{t''-1}$$

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

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

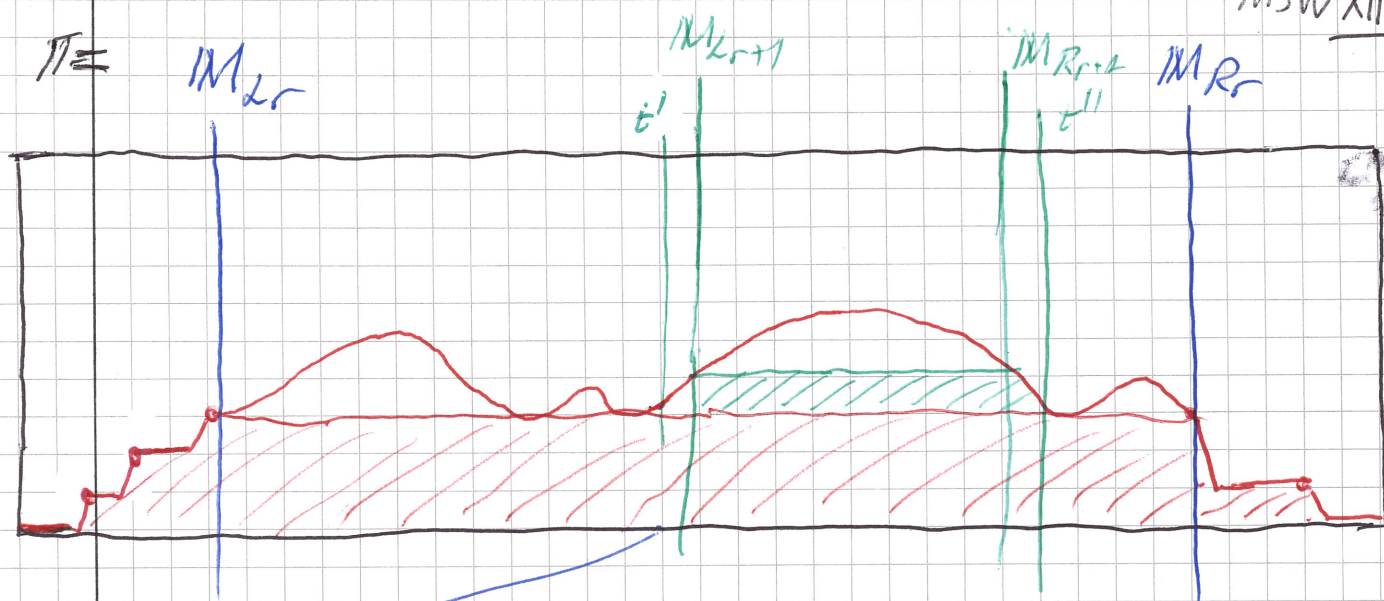
Condition (i) holds by construction since

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

$$\alpha_{r+1} \Vdash \neg M_{R_{r+1}}$$

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
 $y \in \mathcal{A}$, $y \geq \alpha''$ and $t \in [L_{r+1}, R_{r+1}]$ that
 $|\text{NZ}(M_{t,y})| \neq r$

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



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

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

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

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

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

Nullstellensatz refutation of polynomials

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

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

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

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

to polynomials

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

Today we think of 1 $\equiv$ true, 0 $\equiv$ false for variables

Focus on Nullstellensatz without dual variables

View polynomials p as linear combinations of monomials

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

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

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

Most focus on degree lower bounds

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

[Burch-Oppenheim, Clegg, Impagliazzo, & Paturi '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, ARMNPRV '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 $\text{succ}_G(z) = \emptyset$

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 $u \in V$, use notation $x_u = \prod_{v \in u} x_v$

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

PEBBLING CONTRADICTION Peb_G

NS III

Source axioms
 $pred_G(s) = \emptyset$

x_s

$1 - x_s$

Pebbling axioms

$\bigvee_{u \in pred_G(v)} \bar{x}_u \vee x_v$

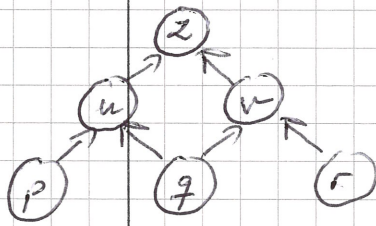
$x_{pred_G(v)} (1 - x_v)$

Sink axiom

$\bar{x}_z$

x_z

Example



x_p
 $\wedge x_q$
 $\wedge x_r$
 $\wedge (\bar{x}_p \vee \bar{x}_q \vee x_u)$
 $\wedge (\bar{x}_q \vee \bar{x}_r \vee x_v)$
 $\wedge (\bar{x}_u \vee \bar{x}_v \vee x_z)$
 $\wedge \bar{x}_z$

$A_v = x_{pred_G(v)} (1 - x_v)$
 $A_{sink} = x_z$

$1 - x_p$

$1 - x_q$

$1 - x_r$

$x_p x_q (1 - x_u)$

$x_q x_r (1 - x_v)$

$x_u x_v (1 - x_z)$

x_z

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

$$P_0 = P_T = \emptyset$$

$$z \in \bigcup_{t \in [T]} P_t$$

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

① Pebble placement on v

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

② Pebble removal from v

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

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

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

Alternative, equivalent, definition

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

$$P_0 = \emptyset, z \in P_T, \text{time}(P) = T$$

Because of reversibility, once we have $z \in P_T$ we can run pebbling in reverse

(Technically, these are all visiting pebblings—we could also define persistent pebblings with $P_T = \{z\}$, 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 $\text{time}(P) \leq T$ and $\text{space}(P) \leq S$ if and only if there is a Nullstellensatz refutation 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 $P = (P_0, \dots, P_\tau)$ such that $P_0 = \emptyset$, $z \in P_\tau$ into a Nullstellensatz refutation

For each $t \in [\tau]$ derive

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

Telescope to get

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

Since $z \in P_\tau$ can derive x_{P_τ} by multiplying A_{sink} and subtract

Suppose step t pebble placement on or removal from v . Note

$$P_{t-1} \cap P_t = (P_{t-1} \cup P_t) \setminus \{v\}$$

$$\text{pred}(v) \subseteq P_{t-1} \cap P_t$$

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

For pebble placement, get $(+)$ by

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

For pebble removal

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

Clearly, degree = pebbling space

$$\underline{\# \text{ monomials} = 2 \cdot \tau + 1 = \text{pebbling time} + 1}$$

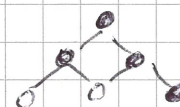
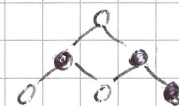
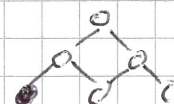
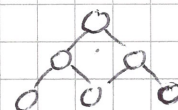
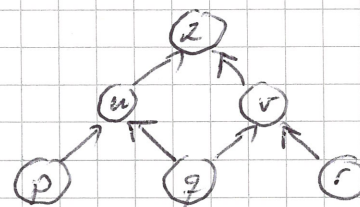
Note:

- No Boolean axioms
- Multilinear NS refutation

Example

CANCELLATIONS

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



Now convert NS refutation to reversible pebbling
 For simplicity, let us do this over $\mathbb{F}_2 = GF(2)$

$$A_v \stackrel{\cdot}{=} x_{\text{pred}(v)} (1 + x_v)$$

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

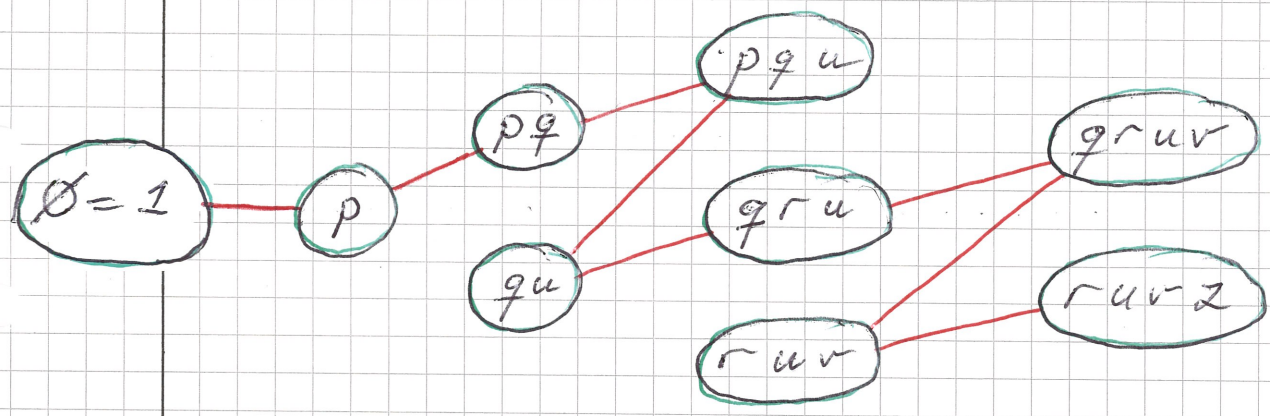
$$\pi_i = \sum_{v \in V} g_v \cdot A_v + \sum g_{\text{sink}} \cdot A_{\text{sink}} = 1$$

For every monomial x_u in refutation, add node u in graph $H(\pi)$

For every monomial x_w in every g_v , add edge $(w \vee \text{pred}(v), w \vee \text{pred}(v) \cup \{v\})$

Note that g_{sink} doesn't contribute edges

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



Observations

- (a) deg_H(1) 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 pebbling move between two configurations

Conclusions

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

$$= S(\pi) - 1$$

Analogous argument generalizes to arbitrary field $\mathbb{F}$ by defining weights of edges (in terms of coefficients $c \in \mathbb{F}$ 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 [dRMR '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 [DRUMR '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 $\varepsilon > 0$:

- (i) $\text{Deg}_{NS}(F_n \vdash \perp) \leq d_1 = O(\sqrt[6]{n} \log n)$.
- (ii) Exists NS refutation $\pi: F_n \vdash \perp$ such that
 $S(\pi) = O(n^{1+\varepsilon})$
 $\text{Deg}(\pi) = O(d_1 \cdot \sqrt[6]{n}) = O(\sqrt[3]{n} \log n)$.
- (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 Nullstellensatz with dual variables?
 In this setting the reduction from NS size to pebbling time breaks down

Summary of open problems

Open
I

- ① Is it possible in resolution to find k -CNF formulas F_n such that
$$\text{Spr}(F_n \vdash \perp) = \Omega(|F_n|) \quad \text{and}$$
$$\text{LR}(F_n \vdash \perp) = O(|F_n| \log |F_n|) \quad ?$$
- ② Can we find CNF formulas F_n such that
$$\text{Spr}(F_n \vdash \perp) = \omega(\text{MSpr}(F_n \vdash \perp)) \quad ?$$
- ③ Can we separate monomial space for PCR over different fields?
- ④ Can the bound for k -CNF formulas
$$\text{MSp}(F \vdash \perp) = \Omega(\sqrt{W(F \vdash \perp)})$$
be improved to $\Omega(W(F \vdash \perp))$?
Or is it tight for PCR?
Or could it be tight for functional monomial calculus?
- ⑤ If $\mathcal{P}$ is a set of polynomials of constant degree, is it true that
$$\text{MSp}(\mathcal{P} \vdash \perp) = \Omega(|\text{Deg}(\mathcal{P} \vdash \perp)|^\delta)$$
for some $\delta > 0$?
- ⑥ Can we prove tight monomial space lower bounds for
 - FPHP and Oneo-FPHP
 - Tseitin formulas
 - Ordering formulas (POP, LOP, DLO)
 - Pebbling formulas

Open
II

⑦ Can we find k -CNF formulas or polynomials P of constant degree such that

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

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 CTn has large, linear, width and exponential size [ABRW02]