

Understanding Space in Proof Complexity: Separations and Trade-offs via Substitutions

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Joint work with Eli Ben-Sasson

- **SATISFIABILITY**: fundamental problem in Computer Science since Cook's NP-completeness paper ('71)
- Enormous progress on applied algorithms last decade or so (although still exponential time in worst case)
- Best known algorithms today based on **resolution** (so-called DPLL-algorithms augmented with clause learning)

Proof Complexity

Proof search algorithm: proof system with derivation rules

Proof complexity: study of proofs in such systems

- **Lower bounds:** no algorithm can do better (even optimal one always guessing the right move)
- **Upper bounds:** gives hope for good algorithms if we can search for proofs in system efficiently

Trade-offs Between Time and Memory?

- Key bottlenecks for SAT-solvers: **time** and **memory**
- **What are the connections between these resources?**
Are they correlated? Are there trade-offs?
- Question ca 1998: **Does proof complexity have anything intelligent to say about this?** (Corresponding to relation between size and space of proofs)
- This talk: Study these questions for **resolution**, and also for more general **k -DNF resolution** proof systems

Outline

1 Resolution-Based Proof Systems

- Basics
- Some Previous Work
- Our Results

2 Outline of Proofs

- Pebble Games and Pebbling Contradictions
- Substitution Theorem
- Putting the Pieces Together

3 Open Problems

Some Notation and Terminology

- **Literal** a : variable x or its negation \bar{x}
- **Clause** $C = a_1 \vee \dots \vee a_k$: disjunction of literals
- **Term** $T = a_1 \wedge \dots \wedge a_k$: conjunction of literals
- **CNF formula** $F = C_1 \wedge \dots \wedge C_m$: conjunction of clauses
 k -CNF formula: CNF formula with clauses of size $\leq k$
- **DNF formula** $D = T_1 \vee \dots \vee T_m$: disjunction of terms
 k -DNF formula: DNF formula with terms of size $\leq k$

k -DNF Resolution

- Prove that given CNF formula is unsatisfiable
- Proof operates with k -DNF formulas (standard resolution corresponds to 1-DNF formulas, i.e., disjunctive clauses)
- Proof is “presented on blackboard”
- Derivation steps:
 - ▶ Write down clauses of CNF formula being refuted (axiom clauses)
 - ▶ Infer new k -DNF formulas
 - ▶ Erase formulas that are not currently needed (to save space on blackboard)
- Proof ends when contradictory empty clause \emptyset derived

Example 2-DNF Resolution Refutation

Can write down axioms,
infer new formulas, and
erase used formulas

1. x
2. $\bar{x} \vee y$
3. $\bar{y} \vee z$
4. \bar{z}

Rules:

- Infer new formulas only from formulas currently on board
- Only k -DNF formulas can appear on board (for $k = 2$)
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Write down axiom 1: x

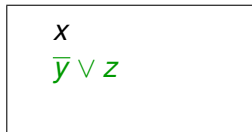
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$$x$$

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

Write down axiom 1: x

Write down axiom 3: $\bar{y} \vee z$

Combine x and $\bar{y} \vee z$
to get $(x \wedge \bar{y}) \vee z$

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Combine x and $\bar{y} \vee z$
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Write down axiom 2: $\bar{x} \vee y$

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Write down axiom 2: $\bar{x} \vee y$

Infer z from

$$\bar{x} \vee y \text{ and } (x \wedge \bar{y}) \vee z$$

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z
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Infer z from

$\bar{x} \vee y$ and $(x \wedge \bar{y}) \vee z$

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Erase the line $\bar{x} \vee y$

Write down axiom 4: \bar{z}

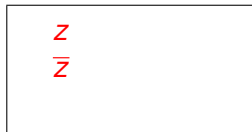
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Infer 0 from
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\bar{z}
0

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Complexity Measures of Interest: Length and Space

- **Length** \approx Lower bound on **time** for SAT-solver
- **Space** \approx Lower bound on **memory** for SAT-solver

Length

formulas written on blackboard counted with repetitions

Space

Somewhat less straightforward — several ways of measuring

$$\begin{array}{l} x \\ \bar{y} \vee z \\ (x \wedge \bar{y}) \vee z \end{array}$$

Formula space: 3

Total space: 6

Variable space: 3

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Is This the Right Model?

Three (at least) possible answers:

- 1 Don't ask me — defined before I started my PhD project 😊
- 2 Conversations with some SAT-solving experts seems to indicate that it is reasonable
- 3 The proof of the pudding is in the eating — would be very interesting to run experiments to see if results match reality

In particular, is the **tractability** of formulas determined by their **space complexity**? — more about this later

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Length and Space Bounds for Resolution

Let n = size of formula

Length: at most 2^n

Lower bound $\exp(\Omega(n))$ [Urquhart '87, Chvátal & Szemerédi '88]

Formula space (a.k.a. clause space): at most n

Lower bound $\Omega(n)$ [Torán '99, Alekhnovich et al. '00]

Total space: at most n^2

No better lower bound than $\Omega(n)$!?

Comparing Length and Space

Some “rescaling” is needed to get meaningful comparisons of length and space

- Length exponential in formula size in worst case
- Formula space at most linear
- So natural to **compare space to logarithm of length**

Length-Space Correlation for Resolution?

\exists **constant space** refutation $\Rightarrow \exists$ **polynomial length** refutation [Atserias & Dalmau '03]

For restricted system of **tree-like resolution** (\Leftrightarrow **original DLL algorithm**):
any **polynomial length refutation** can be carried out in **logarithmic space** [Esteban & Torán '99]

So **essentially no trade-offs** for **tree-like resolution/DLL**

Does **short length imply small space** for **general resolution**?

Open — even no consensus on likely “right answer”

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(Some trade-off results in restricted settings in [Ben-Sasson '02] plus some strong but artificial ones in [Nordström '07] that we won't go into here)

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Previous Work on k -DNF Resolution ($k \geq 2$)

Upper bounds carry over from resolution

Length: lower bound $\exp(\Omega(n^{1-o(1)}))$ [Segerlind et al. '04, Alekhovich '05]

Formula space: lower bound $\Omega(n)$ [Esteban et al. '02]

(Suppressing dependencies on k)

$(k+1)$ -DNF resolution exponentially stronger than k -DNF resolution w.r.t. length [Segerlind et al. '04]

No hierarchy known w.r.t. space

Except for tree-like k -DNF resolution [Esteban et al. '02]
(But tree-like k -DNF weaker than standard resolution)

No trade-off results known

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Our results 1: An Optimal Length-Space Separation

Length and space in resolution are “completely uncorrelated”

Theorem (FOCS '08)

There are k -CNF formula families of size $\mathcal{O}(n)$ with

- *refutation length $\mathcal{O}(n)$ requiring*
- *formula space $\Omega(n/\log n)$.*

Optimal separation of length and space — given length n , always possible to achieve space $\mathcal{O}(n/\log n)$

Our Results 2: Length-Space Trade-offs

We prove **collection of length-space trade-offs**

Results hold for

- resolution (essentially tight analysis)
- k -DNF resolution, $k \geq 2$ (with slightly worse parameters)

Different trade-offs **covering (almost) whole range of space** from constant to linear

Simple, explicit formulas

One Example: Robust Trade-offs for Small Space

Theorem (ECCC report TR09-034)

For *any* $\omega(1)$ function and *any fixed* K there exist explicit CNF formulas of size $\mathcal{O}(n)$

- refutable in resolution in total space $\omega(1)$
- refutable in resolution in length $\mathcal{O}(n)$ and total space $\approx \sqrt[3]{n}$
- any resolution refutation in formula space $\lesssim \sqrt[3]{n}$ requires superpolynomial length
- any k -DNF resolution refutation, $k \leq K$, in formula space $\lesssim n^{1/3(k+1)}$ requires superpolynomial length

One Example: Robust Trade-offs for Small Space

Theorem (ECCC report TR09-034)

For *any* $\omega(1)$ function and *any fixed* K there exist explicit CNF formulas of size $\mathcal{O}(n)$

- refutable in resolution in *total space* $\omega(1)$
- refutable in resolution in *length* $\mathcal{O}(n)$ and *total space* $\approx \sqrt[3]{n}$
- any resolution refutation in *formula space* $\lesssim \sqrt[3]{n}$ requires *superpolynomial length*
- any k -DNF resolution refutation, $k \leq K$, in *formula space* $\lesssim n^{1/3(k+1)}$ requires *superpolynomial length*

One Example: Robust Trade-offs for Small Space

Theorem (ECCC report TR09-034)

For *any* $\omega(1)$ function and *any fixed* K there exist explicit CNF formulas of size $\mathcal{O}(n)$

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Some Quick Technical Remarks

Upper bounds hold for

- total space (# literals) — larger measure
- standard syntactic rules

Lower bounds hold for

- formula space (# lines) — smaller measure
- semantic rules — exponentially stronger than syntactic

Space definition reminder

$$\begin{array}{l} x \\ \bar{y} \vee z \\ (x \wedge \bar{y}) \vee z \end{array}$$

Formula space: 3

Total space: 6

Variable space: 3

Our Results 3: Space Hierarchy for k -DNF Resolution

We also separate k -DNF resolution from $(k+1)$ -DNF resolution w.r.t. formula space

Theorem (ECCC report TR09-047)

For *any constant k* there are explicit CNF formulas of size $\mathcal{O}(n)$

- *refutable in $(k+1)$ -DNF resolution in formula space $\mathcal{O}(1)$ but such that*
- *any k -DNF resolution refutation requires formula space $\Omega(\sqrt[k+1]{n/\log n})$*

Rest of This Talk

- Study old combinatorial game from the 70s and 80s
- Prove new theorem about amplification of space hardness via variable substitution
- Combine the two

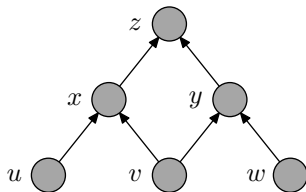
How to Get a Handle on Time-Space Relations?

Time-space trade-off questions well-studied for **pebble games** modelling calculations described by DAGs ([Cook & Sethi '76] and many others)

- **Time** needed for calculation: # pebbling moves
- **Space** needed for calculation: max # pebbles required

The Black-White Pebble Game

Goal: get **single black pebble on sink vertex** of G

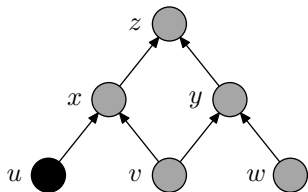


# moves	0
Current # pebbles	0
Max # pebbles so far	0

- 1 Can place black pebble on (empty) vertex if all immediate predecessors have pebbles on them
- 2 Can always remove black pebble from vertex
- 3 Can always place white pebble on (empty) vertex
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The Black-White Pebble Game

Goal: get **single black pebble** on **sink vertex** of G

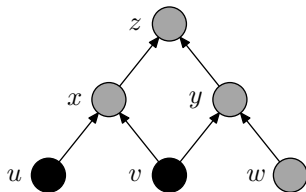


# moves	1
Current # pebbles	1
Max # pebbles so far	1

- 1 Can **place black pebble** on (empty) vertex if all immediate predecessors have pebbles on them
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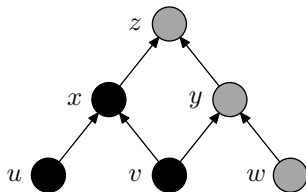


# moves	2
Current # pebbles	2
Max # pebbles so far	2

- 1 Can **place black pebble** on (empty) vertex if all immediate predecessors have pebbles on them
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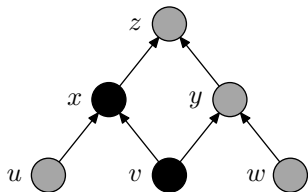


# moves	3
Current # pebbles	3
Max # pebbles so far	3

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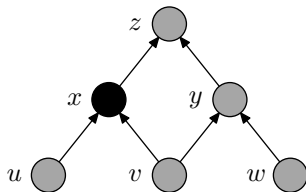


# moves	4
Current # pebbles	2
Max # pebbles so far	3

- 1 Can **place black pebble** on (empty) vertex if all immediate predecessors have pebbles on them
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Goal: get **single black pebble on sink vertex** of G

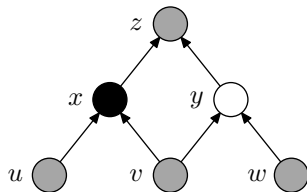


# moves	5
Current # pebbles	1
Max # pebbles so far	3

- 1 Can **place black pebble** on (empty) vertex if all immediate predecessors have pebbles on them
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The Black-White Pebble Game

Goal: get **single black pebble on sink vertex** of G

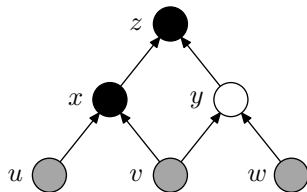


# moves	6
Current # pebbles	2
Max # pebbles so far	3

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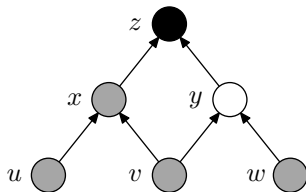


# moves	7
Current # pebbles	3
Max # pebbles so far	3

- 1 Can **place black pebble** on (empty) vertex if all immediate predecessors have pebbles on them
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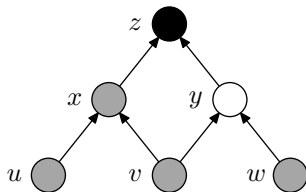


# moves	8
Current # pebbles	2
Max # pebbles so far	3

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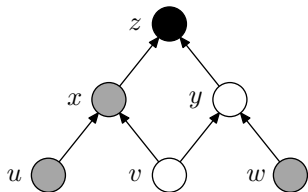


# moves	8
Current # pebbles	2
Max # pebbles so far	3

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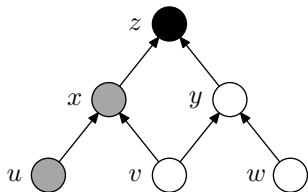


# moves	9
Current # pebbles	3
Max # pebbles so far	3

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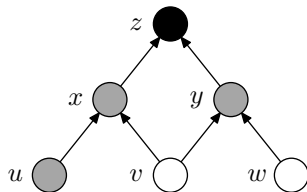


# moves	10
Current # pebbles	4
Max # pebbles so far	4

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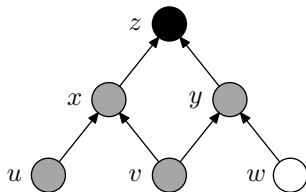


# moves	11
Current # pebbles	3
Max # pebbles so far	4

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Goal: get **single black pebble on sink vertex** of G

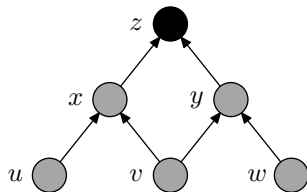


# moves	12
Current # pebbles	2
Max # pebbles so far	4

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The Black-White Pebble Game

Goal: get **single black pebble** on **sink vertex** of G



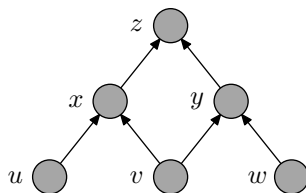
# moves	13
Current # pebbles	1
Max # pebbles so far	4

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Pebbling Contradiction

CNF formula encoding pebble game on DAG G

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



- sources are true
- truth propagates upwards
- but sink is false

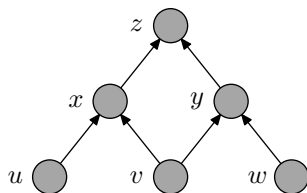
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Our hope is that **pebbling properties** of DAG somehow carry over to resolution **refutations of pebbling contradictions**

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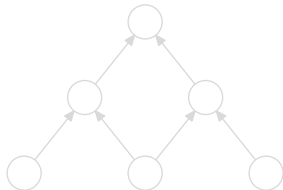
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Interpreting Refutations as Black-White Pebblings

Black-white pebbling models **non-deterministic computation**

- **black pebbles** \Leftrightarrow **computed results**
- **white pebbles** \Leftrightarrow **guesses** needing to be verified



“Know z assuming v, w ”

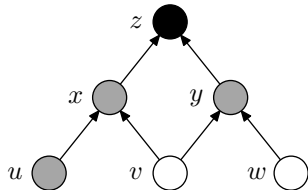
Corresponds to $(v \wedge w) \rightarrow z$, i.e.,
blackboard clause $\boxed{\bar{v} \vee \bar{w} \vee z}$

So translate clauses to pebbles by:
unnegated variable \Rightarrow **black** pebble
negated variable \Rightarrow **white** pebble

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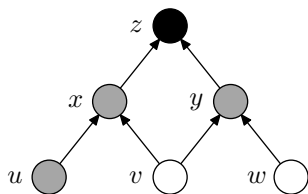
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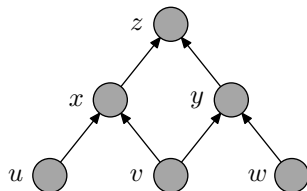
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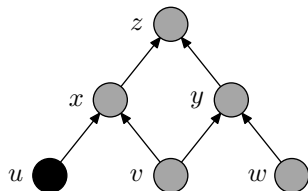
Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
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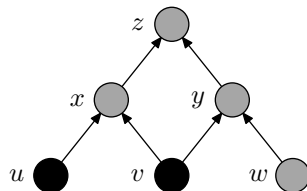


u

Write down axiom 1: u

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u

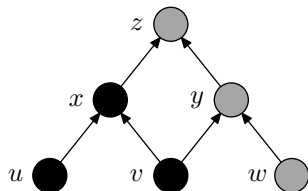
v

Write down axiom 1: u

Write down axiom 2: v

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 u
 v
 $\bar{u} \vee \bar{v} \vee x$

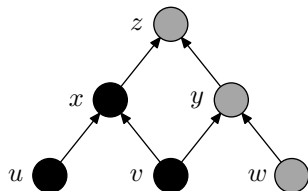
Write down axiom 1: u

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Write down axiom 4: $\bar{u} \vee \bar{v} \vee x$

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 u v $\bar{u} \vee \bar{v} \vee x$

Write down axiom 1: u

Write down axiom 2: v

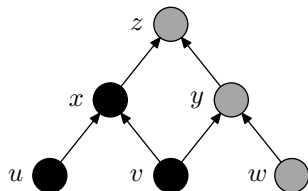
Write down axiom 4: $\bar{u} \vee \bar{v} \vee x$

Infer $\bar{v} \vee x$ from

u and $\bar{u} \vee \bar{v} \vee x$

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u
 v
 $\bar{u} \vee \bar{v} \vee x$
 $\bar{v} \vee x$

Write down axiom 1: u

Write down axiom 2: v

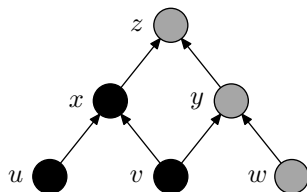
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u
 v
 $\bar{u} \vee \bar{v} \vee x$
 $\bar{v} \vee x$

Write down axiom 2: v

Write down axiom 4: $\bar{u} \vee \bar{v} \vee x$

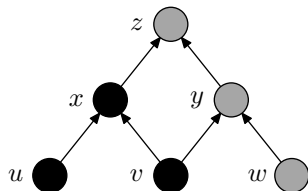
Infer $\bar{v} \vee x$ from

u and $\bar{u} \vee \bar{v} \vee x$

Erase the line $\bar{u} \vee \bar{v} \vee x$

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u
 v
 $\bar{v} \vee x$

Write down axiom 2: v

Write down axiom 4: $\bar{u} \vee \bar{v} \vee x$

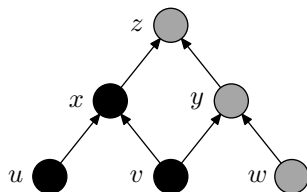
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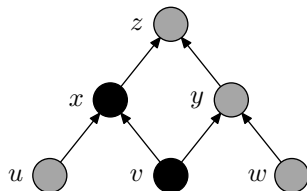


u
 v
 $\bar{v} \vee x$

Write down axiom 4: $\bar{u} \vee \bar{v} \vee x$
 Infer $\bar{v} \vee x$ from
 u and $\bar{u} \vee \bar{v} \vee x$
 Erase the line $\bar{u} \vee \bar{v} \vee x$
Erase the line u

Example of Refutation-Pebbling Correspondence

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$$v$$

$$\bar{v} \vee x$$

Write down axiom 4: $\bar{u} \vee \bar{v} \vee x$

Infer $\bar{v} \vee x$ from

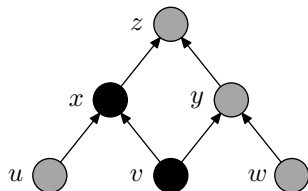
u and $\bar{u} \vee \bar{v} \vee x$

Erase the line $\bar{u} \vee \bar{v} \vee x$

Erase the line u

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}

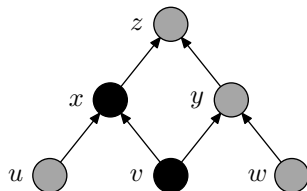


v
 $\bar{v} \vee x$

u and $\bar{u} \vee \bar{v} \vee x$
 Erase the line $\bar{u} \vee \bar{v} \vee x$
 Erase the line u
 Infer x from
 v and $\bar{v} \vee x$

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}

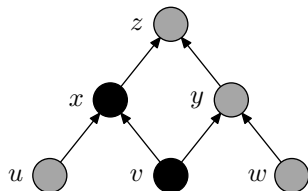


v
 $\bar{v} \vee x$
 x

u and $\bar{u} \vee \bar{v} \vee x$
 Erase the line $\bar{u} \vee \bar{v} \vee x$
 Erase the line u
 Infer x from
 v and $\bar{v} \vee x$

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



v
 $\bar{v} \vee x$
 x

Erase the line $\bar{u} \vee \bar{v} \vee x$

Erase the line u

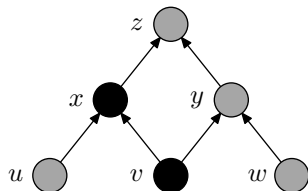
Infer x from

v and $\bar{v} \vee x$

Erase the line $\bar{v} \vee x$

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}


 v
 x

Erase the line $\bar{u} \vee \bar{v} \vee x$

Erase the line u

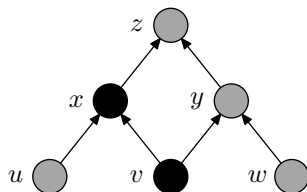
Infer x from

v and $\bar{v} \vee x$

Erase the line $\bar{v} \vee x$

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}


 v
 x

Erase the line u

Infer x from

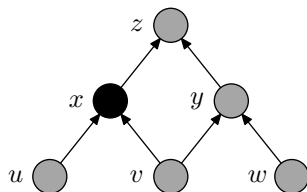
v and $\bar{v} \vee x$

Erase the line $\bar{v} \vee x$

Erase the line v

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



x

Erase the line u

Infer x from

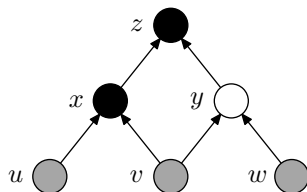
v and $\bar{v} \vee x$

Erase the line $\bar{v} \vee x$

Erase the line v

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



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

Infer x from

v and $\bar{v} \vee x$

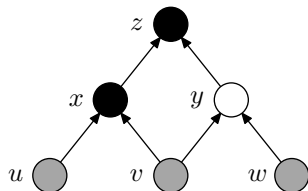
Erase the line $\bar{v} \vee x$

Erase the line v

Write down axiom 6: $\bar{x} \vee \bar{y} \vee z$

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



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

Erase the line $\bar{v} \vee x$

Erase the line v

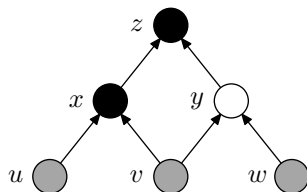
Write down axiom 6: $\bar{x} \vee \bar{y} \vee z$

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

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

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



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

Erase the line $\bar{v} \vee x$

Erase the line v

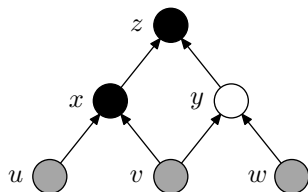
Write down axiom 6: $\bar{x} \vee \bar{y} \vee z$

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

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

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



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

Erase the line v

Write down axiom 6: $\bar{x} \vee \bar{y} \vee z$

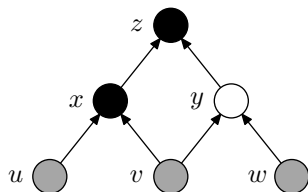
Infer $\bar{y} \vee z$ from

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

Erase the line $\bar{x} \vee \bar{y} \vee z$

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



$$x$$

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

Erase the line v

Write down axiom 6: $\bar{x} \vee \bar{y} \vee z$

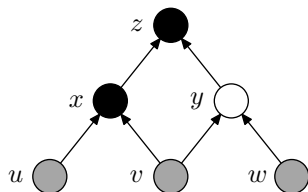
Infer $\bar{y} \vee z$ from

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

Erase the line $\bar{x} \vee \bar{y} \vee z$

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}

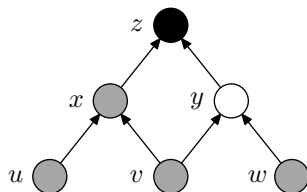


x
 $\bar{y} \vee z$

Write down axiom 6: $\bar{x} \vee \bar{y} \vee z$
 Infer $\bar{y} \vee z$ from
 x and $\bar{x} \vee \bar{y} \vee z$
 Erase the line $\bar{x} \vee \bar{y} \vee z$
 Erase the line x

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



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

Write down axiom 6: $\bar{x} \vee \bar{y} \vee z$

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

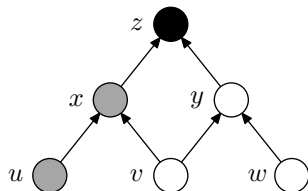
x and $\bar{x} \vee \bar{y} \vee z$

Erase the line $\bar{x} \vee \bar{y} \vee z$

Erase the line x

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



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

$$\bar{v} \vee \bar{w} \vee y$$

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

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

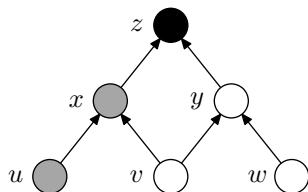
Erase the line $\bar{x} \vee \bar{y} \vee z$

Erase the line x

Write down axiom 5: $\bar{v} \vee \bar{w} \vee y$

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



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

$$\bar{v} \vee \bar{w} \vee y$$

Erase the line $\bar{x} \vee \bar{y} \vee z$

Erase the line x

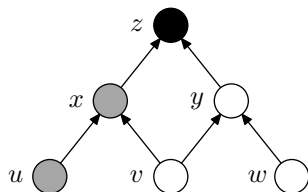
Write down axiom 5: $\bar{v} \vee \bar{w} \vee y$

Infer $\bar{v} \vee \bar{w} \vee z$ from

$\bar{y} \vee z$ and $\bar{v} \vee \bar{w} \vee y$

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



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

$$\bar{v} \vee \bar{w} \vee y$$

$$\bar{v} \vee \bar{w} \vee z$$

Erase the line $\bar{x} \vee \bar{y} \vee z$

Erase the line x

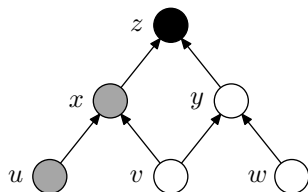
Write down axiom 5: $\bar{v} \vee \bar{w} \vee y$

Infer $\bar{v} \vee \bar{w} \vee z$ from

$\bar{y} \vee z$ and $\bar{v} \vee \bar{w} \vee y$

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



$$\begin{array}{l} \bar{y} \vee z \\ \bar{v} \vee \bar{w} \vee y \\ \bar{v} \vee \bar{w} \vee z \end{array}$$

Erase the line x

Write down axiom 5: $\bar{v} \vee \bar{w} \vee y$

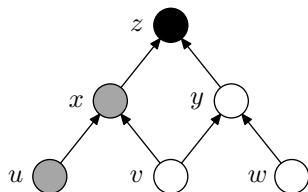
Infer $\bar{v} \vee \bar{w} \vee z$ from

$$\bar{y} \vee z \text{ and } \bar{v} \vee \bar{w} \vee y$$

Erase the line $\bar{v} \vee \bar{w} \vee y$

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



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

$$\bar{v} \vee \bar{w} \vee z$$

Erase the line x

Write down axiom 5: $\bar{v} \vee \bar{w} \vee y$

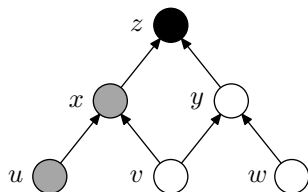
Infer $\bar{v} \vee \bar{w} \vee z$ from

$\bar{y} \vee z$ and $\bar{v} \vee \bar{w} \vee y$

Erase the line $\bar{v} \vee \bar{w} \vee y$

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



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

$$\bar{v} \vee \bar{w} \vee z$$

Write down axiom 5: $\bar{v} \vee \bar{w} \vee y$

Infer $\bar{v} \vee \bar{w} \vee z$ from

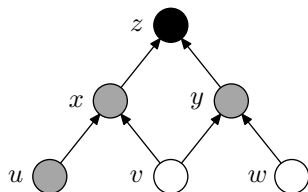
$\bar{y} \vee z$ and $\bar{v} \vee \bar{w} \vee y$

Erase the line $\bar{v} \vee \bar{w} \vee y$

Erase the line $\bar{y} \vee z$

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



$$\bar{v} \vee \bar{w} \vee z$$

Write down axiom 5: $\bar{v} \vee \bar{w} \vee y$

Infer $\bar{v} \vee \bar{w} \vee z$ from

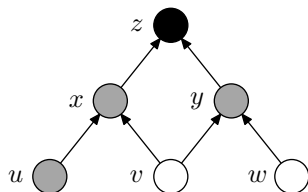
$$\bar{y} \vee z \text{ and } \bar{v} \vee \bar{w} \vee y$$

Erase the line $\bar{v} \vee \bar{w} \vee y$

Erase the line $\bar{y} \vee z$

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



$$\bar{v} \vee \bar{w} \vee z$$

$$v$$

Infer $\bar{v} \vee \bar{w} \vee z$ from

$\bar{y} \vee z$ and $\bar{v} \vee \bar{w} \vee y$

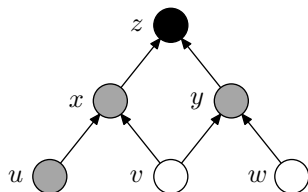
Erase the line $\bar{v} \vee \bar{w} \vee y$

Erase the line $\bar{y} \vee z$

Write down axiom 2: v

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



$$\bar{v} \vee \bar{w} \vee z$$

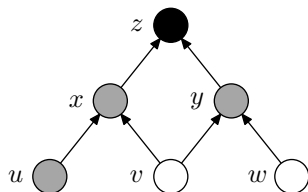
$$v$$

$$w$$

$\bar{y} \vee z$ and $\bar{v} \vee \bar{w} \vee y$
 Erase the line $\bar{v} \vee \bar{w} \vee y$
 Erase the line $\bar{y} \vee z$
 Write down axiom 2: v
 Write down axiom 3: w

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



$$\bar{v} \vee \bar{w} \vee z$$

$$v$$

$$w$$

$$\bar{z}$$

Erase the line $\bar{v} \vee \bar{w} \vee y$

Erase the line $\bar{y} \vee z$

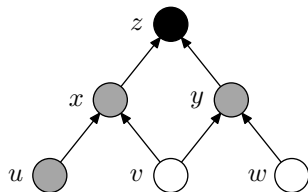
Write down axiom 2: v

Write down axiom 3: w

Write down axiom 7: \bar{z}

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



$$\bar{v} \vee \bar{w} \vee z$$

$$v$$

$$w$$

$$\bar{z}$$

Write down axiom 2: v

Write down axiom 3: w

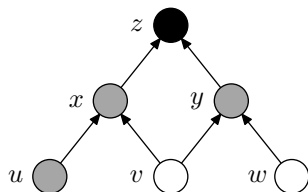
Write down axiom 7: \bar{z}

Infer $\bar{w} \vee z$ from

v and $\bar{v} \vee \bar{w} \vee z$

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



$$\bar{v} \vee \bar{w} \vee z$$

$$v$$

$$w$$

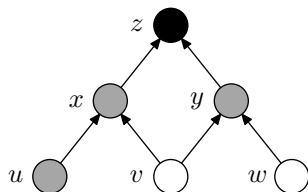
$$\bar{z}$$

$$\bar{w} \vee z$$

Write down axiom 2: v
 Write down axiom 3: w
 Write down axiom 7: \bar{z}
 Infer $\bar{w} \vee z$ from
 v and $\bar{v} \vee \bar{w} \vee z$

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



$$\bar{v} \vee \bar{w} \vee z$$

$$v$$

$$w$$

$$\bar{z}$$

$$\bar{w} \vee z$$

Write down axiom 3: w

Write down axiom 7: \bar{z}

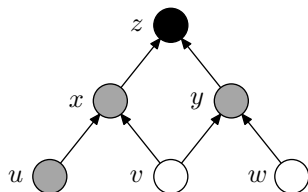
Infer $\bar{w} \vee z$ from

v and $\bar{v} \vee \bar{w} \vee z$

Eraser the line v

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



$$\bar{v} \vee \bar{w} \vee z$$

$$w$$

$$\bar{z}$$

$$\bar{w} \vee z$$

Write down axiom 3: w

Write down axiom 7: \bar{z}

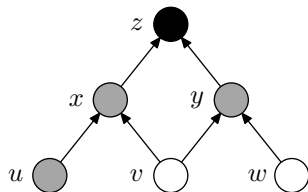
Infer $\bar{w} \vee z$ from

v and $\bar{v} \vee \bar{w} \vee z$

Eraser the line v

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



$$\bar{v} \vee \bar{w} \vee z$$

$$w$$

$$\bar{z}$$

$$\bar{w} \vee z$$

Write down axiom 7: \bar{z}

Infer $\bar{w} \vee z$ from

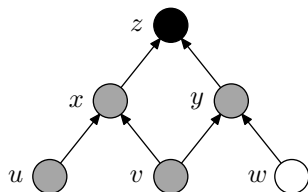
v and $\bar{v} \vee \bar{w} \vee z$

Erase the line v

Erase the line $\bar{v} \vee \bar{w} \vee z$

Example of Refutation-Pebbling Correspondence

1. u
2. v
3. w
4. $\bar{u} \vee \bar{v} \vee x$
5. $\bar{v} \vee \bar{w} \vee y$
6. $\bar{x} \vee \bar{y} \vee z$
7. \bar{z}



w
 \bar{z}
 $\bar{w} \vee z$

Write down axiom 7: \bar{z}

Infer $\bar{w} \vee z$ from

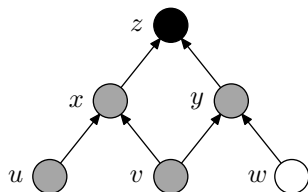
v and $\bar{v} \vee \bar{w} \vee z$

Erase the line v

Erase the line $\bar{v} \vee \bar{w} \vee z$

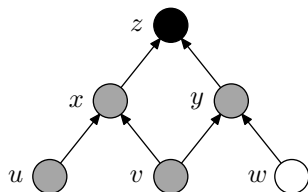
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 w \bar{z} $\bar{w} \vee z$ v and $\bar{v} \vee \bar{w} \vee z$ Erase the line v Erase the line $\bar{v} \vee \bar{w} \vee z$ **Infer z** from w and $\bar{w} \vee z$

Example of Refutation-Pebbling Correspondence

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2. v
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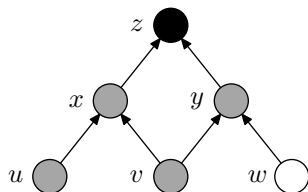


w
 \bar{z}
 $\bar{w} \vee z$
 z

v and $\bar{v} \vee \bar{w} \vee z$
 Erase the line v
 Erase the line $\bar{v} \vee \bar{w} \vee z$
Infer z from
 w and $\bar{w} \vee z$

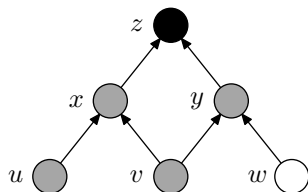
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 w \bar{z} $\bar{w} \vee z$ z Erase the line v Erase the line $\bar{v} \vee \bar{w} \vee z$ Infer z from w and $\bar{w} \vee z$ Erase the line w

Example of Refutation-Pebbling Correspondence

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7. \bar{z}



$$\bar{z}$$

$$\bar{w} \vee z$$

$$z$$

Erase the line v

Erase the line $\bar{v} \vee \bar{w} \vee z$

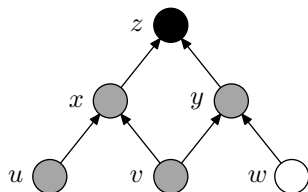
Infer z from

w and $\bar{w} \vee z$

Erase the line w

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\bar{z}
 $\bar{w} \vee z$
 z

Erase the line $\bar{v} \vee \bar{w} \vee z$

Infer z from

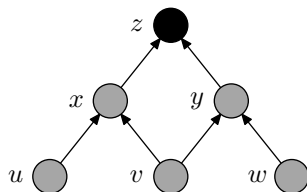
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 \bar{z}
 z

Erase the line $\bar{v} \vee \bar{w} \vee z$

Infer z from

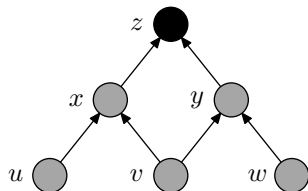
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Erase the line w

Erase the line $\bar{w} \vee z$

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 \bar{z}
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 w and $\bar{w} \vee z$

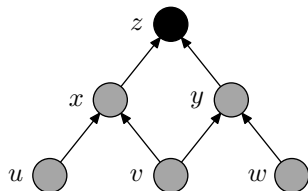
 Erase the line w

 Erase the line $\bar{w} \vee z$
Infer 0 from

 \bar{z} and z

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7. \bar{z}

 \bar{z} z 0 w and $\bar{w} \vee z$ Erase the line w Erase the line $\bar{w} \vee z$ **Infer 0** from \bar{z} and z

Formal Refutation-Pebbling Correspondence

Theorem (Ben-Sasson '02)

Any refutation translates into black-white pebbling with

- *# moves \leq refutation length*
- *# pebbles \leq variable space*

Observation (Ben-Sasson et al. '00)

Any black-pebbles-only pebbling translates into refutation with

- *refutation length \leq # moves*
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Unfortunately pebbling contradictions are **extremely easy** w.r.t. **formula space!**

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Key Idea: Variable Substitution

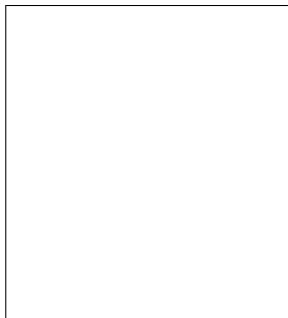
Make formula harder by substituting $x_1 \oplus x_2$ for every variable x (also works for other Boolean functions with “right” properties):

$$\begin{aligned}
 & \bar{x} \vee y \\
 & \Downarrow \\
 & \neg(x_1 \oplus x_2) \vee (y_1 \oplus y_2) \\
 & \Downarrow \\
 & (x_1 \vee \bar{x}_2 \vee y_1 \vee y_2) \\
 & \wedge (x_1 \vee \bar{x}_2 \vee \bar{y}_1 \vee \bar{y}_2) \\
 & \wedge (\bar{x}_1 \vee x_2 \vee y_1 \vee y_2) \\
 & \wedge (\bar{x}_1 \vee x_2 \vee \bar{y}_1 \vee \bar{y}_2)
 \end{aligned}$$

Key Technical Result: Substitution Theorem

Let $F[\oplus]$ denote formula with XOR $x_1 \oplus x_2$ substituted for x

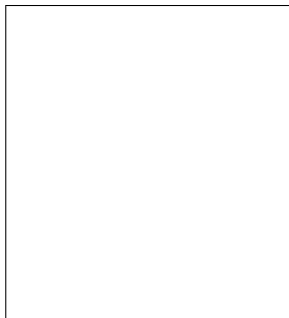
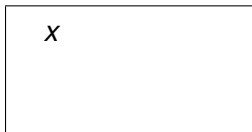
Obvious approach for refuting $F[\oplus]$: mimic refutation of F



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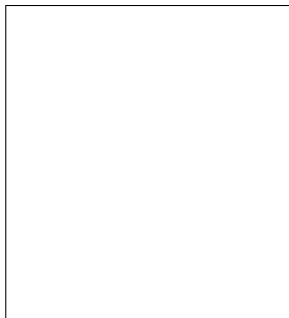


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Obvious approach for refuting $F[\oplus]$: mimic refutation of F


$$\begin{array}{l} x \\ \bar{x} \vee y \end{array}$$



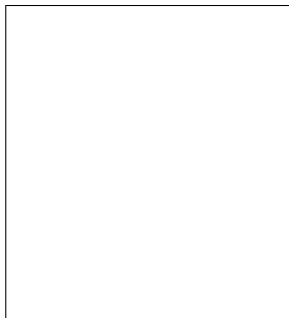
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x
 $\bar{x} \vee y$
 y



Key Technical Result: Substitution Theorem

Let $F[\oplus]$ denote formula with XOR $x_1 \oplus x_2$ substituted for x

Obvious approach for refuting $F[\oplus]$: mimic refutation of F

$$\begin{array}{l} x \\ \bar{x} \vee y \\ y \end{array}$$

$$\begin{array}{l} x_1 \vee x_2 \\ \bar{x}_1 \vee \bar{x}_2 \end{array}$$

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$$\begin{array}{l} x \\ \bar{x} \vee y \\ y \end{array}$$

For such refutation of $F[\oplus]$:

- length \geq length for F
- formula space \geq variable space for F

$$\begin{array}{l} x_1 \vee x_2 \\ \bar{x}_1 \vee \bar{x}_2 \\ x_1 \vee \bar{x}_2 \vee y_1 \vee y_2 \\ x_1 \vee \bar{x}_2 \vee \bar{y}_1 \vee \bar{y}_2 \\ \bar{x}_1 \vee x_2 \vee y_1 \vee y_2 \\ \bar{x}_1 \vee x_2 \vee \bar{y}_1 \vee \bar{y}_2 \\ y_1 \vee y_2 \\ \bar{y}_1 \vee \bar{y}_2 \end{array}$$

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For such refutation of $F[\oplus]$:

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Prove that this is (sort of) best one can do for $F[\oplus]$!

Pieces Together: Substitution + Pebbling Formulas

Making variable substitutions in pebbling formulas

- lifts lower bound from variable space to formula space
- maintains upper bound in terms of total space and length

Substitution with XOR over $k + 1$ variables works against k -DNF resolution

Get our results by

- using known pebbling results from literature of 70s and 80s
- proving a couple of new pebbling results [Nordström '10]
- to get tight trade-offs, showing that resolution proofs can sometimes do better than black-only pebblings [Nordström '10]

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Some Open Problems

- Many remaining open (theoretical) questions about space in proof complexity
- See recent survey *Pebble Games, Proof Complexity, and Time-Space Trade-offs* at my webpage for details
- In this talk, want to focus on **main applied question**

Is Tractability Captured by Space Complexity?

Open Question

Do our trade-off phenomena show up in real life for state-of-the-art SAT-solvers run on pebbling contradictions?

That is, does space complexity capture hardness?

Space suggested as hardness measure in [Ansótegui et al.'08]

Some results in [Sabharwal et al.'03] indicate pebbling formulas hard for SAT-solvers at that time

Note that pebbling formulas are always extremely easy with respect to length, so hardness in practice would be intriguing

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Note that pebbling formulas are always **extremely easy with respect to length**, so **hardness in practice would be intriguing**

Some Parameters to Play with

Number of different possibilities to try out:

- Base formulas on different graph families
- Do substitution with \vee , \oplus , or other Boolean functions
- Possibly add some redundant “noise clauses” to make structural analysis a bit harder (since there always exists a short proof, a SAT-solver that “is told what to do” will find it)

Summing up

- Strong resolution time-space trade-offs for wide range of parameters
- Results also extend to stronger k -DNF resolution proof systems
- Main open question: tractability \approx space complexity?

Thank you for your attention!