

Lower bounds for k -DNF Resolution on random 3-CNFs

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Outline

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Lower Bound for $Res(k)$

Resolution

Resolution Rule

A,B - clauses

$$\frac{A \vee x \quad \neg x \vee B}{A \vee B}$$

Definition

- The *width* $\omega(C)$ of a clause C is the number of literals in C .
- The *width* $\omega(\tau)$ of a set of clauses τ (in particular the width of a resolution proof) is the maximal width of the clauses appearing in this set.
- The *size* of a resolution proof is the number of different clauses in it.

Resolution

Definition

Consider an unsatisfiable set of clauses τ . Denote by $S_R(\tau)$ the size of minimal refutation of τ . Denote by $\omega_R(\tau)$ the minimal refutation width over all possible proofs of τ .

Weakening

We will extend *Resolution* with *weakening* inferences:

A, B -clauses. If $A \subseteq B$, then $\frac{A}{B}$.

What is Res(k)?

k-DNF Resolution (*Res*(*k*)) is a generalization of *Resolution* that operates with *k*-DNFs instead of clauses.

Res(*k*) Inference Rules

A, B are *k*-DNFs, $1 \leq j \leq k$ and l, l_1, \dots, l_j are literals

- Weakening: $\frac{A}{A \vee l}$
- Cut: $\frac{A \vee \bigwedge_{i=1}^j l_i \quad B \vee \bigvee_{i=1}^j \neg l_i}{A \vee B}$
- AND-introduction: $\frac{A \vee l_1 \dots A \vee l_j}{A \vee \bigwedge_{i=1}^j l_i}$
- AND-elimination: $\frac{A \vee \bigwedge_{i=1}^j l_i}{A \vee l_i}$

Remark: *Resolution* = *Res*(1).

Strong Soundness

Important property: $Res(k)$ is strongly sound.

If k -DNF F is inferred from k -DNFs F_1, \dots, F_j , and t_1, \dots, t_j are mutually consistent terms of F_1, \dots, F_j respectively, then there is a term t of F implied by $\bigwedge_{i=1}^j t_i$.

Related Definitions

Definition

$Res(k)$ refutation of unsatisfiable CNF τ is the inference of the empty clause from the clauses in τ using inference rules.

Definition

The *size* of $Res(k)$ refutation is the number of lines it contains.

Definition

$S_{Res(k)}(\tau)$ denotes the minimal size of a $Res(k)$ refutation of CNF τ .

$Res(k)$ vs $Res(k + 1)$

Fact:

$Res(k + 1)$ is exponentially more powerful than $Res(k)$.

Decision Tree

Definition

Decision tree:

- Rooted binary tree.
- Every internal node labeled with variable.
- Edges leaving node correspond to whether the variable is set to 0 or 1.
- Leaves are labeled with either 0 or 1.

Remark: Every path from the root to a leaf may be viewed as a partial assignment.

Related Definitions

$v \in \{0, 1\}$, decision tree T , DNF F

Definition

$Br_v(T)$ denotes the set of paths that lead from the root to a leaf labeled v .

Definition

T strongly represents F if for every $\pi \in Br_0(T)$, for all $t \in F$, $t|_{\pi} = 0$ and for every $\pi \in Br_1(T)$ there exists $t \in F$, $t|_{\pi} = 1$.

Definition

Representation height of F , $h(F)$, is the minimal height of a decision tree strongly representing F .

Switching Lemma

Definition

DNF F , set of variables S .

If every term of F contains a variable from S , then S is a cover of F . The *covering number* of F , $c(F)$, is the minimal cardinality of a cover of F .

Switching Lemma

Let $k \geq 1$, let s_0, \dots, s_{k-1} and p_1, \dots, p_k be sequences of positive numbers, and let D be a distribution on partial assignments so that for every $i \leq k$ and every i -DNF G , if $c(G) > s_{i-1}$, then $Pr_{\rho \in D} [G|_{\rho} \neq 1] \leq p_i$. Then for every k -DNF F :

$$Pr_{\rho \in D} \left[h(F|_{\rho}) > \sum_{i=0}^{k-1} s_i \right] \leq \sum_{i=1}^k 2^{(\sum_{j=i}^{k-1} s_j)} p_i$$

Proof of Switching Lemma

Proof.

- Induction on k .
- $k = 1$: If $c(F) \leq s_0$ then at most s_0 variables appear in F .
If $c(F) > s_0$ then $Pr(h(F|_\rho) \neq 0) \leq Pr_{\rho \in D}[F|_\rho \neq 1] \leq p_1$
- $k \rightarrow k + 1$: $(k + 1)$ -DNF F .
- If $c(F) > s_k$ then $Pr(h(F|_\rho) \neq 0) \leq Pr_{\rho \in D}[F|_\rho \neq 1] \leq p_{k+1}$
- Consider $c(F) \leq s_k$. S is a cover of size at most s_k .
 π -assignment to the variables in S . $F|_\pi$ is a k -DNF.
 $Pr_{\rho \in D} \left[\exists \pi \in \{0, 1\}^S : h((F|_\rho)|_\pi) > \sum_{i=0}^{k-1} s_i \right] \leq$
 $2^{s_k} \left(\sum_{i=1}^k 2^{(\sum_{j=i}^{k-1} s_j)} p_i \right) < \sum_{i=1}^{k+1} 2^{(\sum_{j=i}^k s_j)} p_i$
- If $\forall \pi \in \{0, 1\}^S h((F|_\rho)|_\pi) \leq \sum_{i=0}^{k-1} s_i$ then we may construct a decision tree of height at most $\sum_{j=i}^k s_j$ strongly representing $F|_\rho$.



One More Switching Lemma

Corollary

k, s, d are positive integers, $\gamma, \delta \in (0, 1]$. D is a distribution on partial assignments s.t. $\forall k\text{-DNF } G \Pr_{\rho \in D} [G|_{\rho} \neq 1] \leq d2^{-\delta(c(G))^\gamma}$. For every $k\text{-DNF } F$:

$$\Pr_{\rho \in D} [h(F|_{\rho}) > 2s] \leq dk2^{-\delta's^{\gamma'}}$$

where $\delta' = 2(\delta/4)^k$ and $\gamma' = \gamma^k$.

Proof of the Corollary

Proof.

- $s_i = (\delta/4)^i s^{\gamma^i}$, $p_i = d2^{-4s_i}$.
- $s_{i-1}/4 \geq (\delta/4)s_{i-1} = (\delta/4)^i s^{\gamma^{i-1}} \geq s_i$. So

$$\sum_{j=i}^k s_j \leq \sum_{j \geq i} s_i / 4^{j-i} \leq 2s_i$$
- For any i -DNF G with $c(G) \geq s_{i-1}$ $Pr_{\rho \in D} [G|_{\rho} \neq 1] \leq$

$$d2^{-\delta(c(G))^{\gamma}} \leq d2^{-\delta s_{i-1}^{\gamma}} = 2^{-\delta(\delta/4)^{i-1} (s^{\gamma^{i-1}})^{\gamma}} = d2^{-4s_i}$$
- After applying previous theorem we have that:
 For every k -DNF F $Pr_{\rho \in D} [h(F|_{\rho}) > 2s] \leq$

$$Pr_{\rho \in D} \left[h(F|_{\rho}) > \sum_{i=0}^{k-1} s_i \right] \leq \sum_{i=1}^k 2^{(\sum_{j=i}^{k-1} s_j)} p_i \leq$$

$$\sum_{i=1}^k 2^{2s_i} (d2^{-4s_i}) \leq dk2^{-2s_k} = dk2^{-\delta' s^{\gamma'}}$$



$Res(k) \rightarrow Resolution$

Theorem

Let τ be a set of clauses s.t. $\omega(\tau) \leq h$. If τ has a $Res(k)$ refutation s.t. for each line F of the refutation $h(F) \leq h$, then $\omega_R(\tau) \leq kh$.

Proof:

- T_C is a decision tree for $C \in \tau$. For any line F T_F is a min height tree for F . For any partial assignment π C_π is a clause that contains negations of every literal in π .
- For $\pi \in Br_0(T_\emptyset)$, $C_\pi = \emptyset$ and for each $C \in \tau$ for the unique $\pi \in Br_0(T_C)$, $C_\pi = C$. We construct narrow resolution refutation by deriving C_π for each line F and each $\pi \in Br_0(T_F)$.

Proof part 2

Proof.

- Consider F inferred from previously derived F_1, \dots, F_j , $j \leq k$. We construct a decision tree T of height $\leq kh$ that represents $\bigwedge_{i=1}^j F_i$.
- The set $\{C_\sigma \mid \sigma \in Br_0(T)\}$ can be derived using the weakening rule.
- For every $\sigma \in Br_1(T)$ there exists $t \in F$ satisfied by σ .
- Let $\pi \in Br_0(T_F)$ be given. For all $\sigma \in Br(T)$ consistent with π $\sigma \in Br_0(T)$.
- For each node ν in T σ_ν is the path from the root to ν . From the leaves to the root, we derive $C_{\sigma_\nu} \vee C_\pi$ for each ν so that σ_ν is consistent with π . When we reach the root we will have derived C_π .



Random 3-CNF's and Linear Systems

Definition

Denote by $\phi_{n,\Delta n}$ the random 3 – CNF with Δn clauses and n variables, in which every clause is chosen independently from the set of all $2^3 C_n^3$ clauses.

Definition

For each $\phi_{n,\Delta}$ we consider a $\Delta n \times n$ matrix $A_{n,\Delta n}$ and a vector $b \in \{0, 1\}^{\Delta n}$ s.t.:

- $A_{n,\Delta n}[i, j] = 1$ iff the i -th clause of $\phi_{n,\Delta}$ contains the variable x_j .
- $b[i] = (\text{number of positive variables in the } i\text{-th clause}) \bmod 2$.

Remark: Each clause of $\phi_{n,\Delta n}$ is a semantical corollary of some linear equation of the system $A_{n,\Delta n}x = b$

Expanders

$A \in \{0, 1\}^{m \times n}$, $I \subseteq [m]$, A_i - i th row of A .

Definition

Boundary of I , ∂I , is a set of all $j \in [n]$ s.t. $\exists! i \in I : j \in A_i$

Definition

A is an (r, c) -*boundary expander* if

$$\forall I \subseteq [m] \ (|I| \leq r \Rightarrow |\partial I| \geq c|I|)$$

Fact:

$\forall \Delta > 0, c < 1 \exists \delta$ s.t. with probability $1 - o(1)$ $A_{n, \Delta n}$ is $(\delta n, c)$ -boundary expander.

CI

$$A \in \{0, 1\}^{m \times n}, J \subseteq [n], I, I_1 \subseteq [m]$$

$$I \vdash_J I_1 \iff |I_1| \leq r/2 \wedge \partial(I_1) \subseteq \left[\bigcup_{i \in I} A_i \cup J \right]$$

Definition

Closure J , $CI(J)$, is a set of all rows which can be inferred from the empty set.

Lemma

If $|J| \leq cr/2$ then $|CI(J)| \leq c^{-1}|J|$

Proof

Proof.

- $\{I_k\}$ s.t. $I_1 \cup \dots \cup I_{\nu-1} \vdash_J I_\nu$.
- Consider the smallest k s.t. $|\bigcup_{\nu=1}^k I_\nu| > c^{-1}|J|$
- Since $|J| \leq cr/2$ $|\bigcup_{\nu=1}^k I_\nu| \leq r$ and since we are dealing with expander $|\partial(\bigcup_{\nu=1}^k I_\nu)| > c(c^{-1}|J|) = |J|$
- But $\partial(\bigcup_{\nu=1}^k I_\nu) \subseteq J$



CI^e $A \in \{0, 1\}^{m \times n}, J \subseteq [n], I, I_1 \subseteq [m]$

$$I \vdash_J^e I_1 \iff |I_1| \leq r/2 \wedge \left| \partial(I_1) \setminus \left[\bigcup_{i \in I} A_i \cup J \right] \right| < (c/2)|I_1|$$

Algorithm $CI^e(J)$ $I := \emptyset$ $R := [m]$ **while** (there exists $I_1 \in R$ s.t. $I \vdash_J^e I_1$) $I := I \cup I_1$ $R := R \setminus I_1$ **end**output I ;

Lemma

If $|J| < cr/4$ then $|CI^e(J)| < 2c^{-1}|J|$

Proof

Proof.

- Consider the sequence $I_1 \dots I_l$ appearing in the cleaning procedure. These sets are pairwise disjoint.
- $C_t := \bigcup_{k=1}^t I_k$. By T denote the first $t : |C_t| > 2c^{-1}|J|$
- Since $|J| < cr/4$ $|C_T| \leq r$
- Due to expansion $|\partial C_T| > c|C_T|$, so
 $|\partial C_T \setminus J| > c|C_T| - |J| \geq c|C_T|/2$
- But $|\partial C_T \setminus J| \leq c/2 \sum_{k=1}^T |I_k| = c/2|C_T|$



A little more about CI^e

$$A \in \{0, 1\}^{m \times n}, J \subseteq [n]$$

$$I' = CI^e(J), J' = \bigcup_{i \in I'} A_i.$$

Lemma

Obtain \hat{A} by removing the rows corresponding to I' and columns to J' . \hat{A} is either empty or $(r/2, c/2)$ -boundary expander.

Proof.

- Consider $I \in \hat{A}$: $|I| \leq r/2$. $\partial_A I \subseteq \partial_{\hat{A}} I \cup J \cup J'$
- If $|\partial_{\hat{A}} I| < (c/2)|I|$ then $|\partial_A I \setminus (J' \cup J)| < (c/2)|I|$ and $I' \vdash_e I$.



Local Consistence

For a term t $Cl(t) := Cl(Vars(t))$ and $Cl^e(t) := Cl^e(Vars(t))$
 $A \in \{0, 1\}^{m \times n}$, $b \in \{0, 1\}^m$

Definition

Term t is *locally consistent* w.r.t. $Ax = b$ if the formula $t \wedge [A_I x = b_I]$ is satisfiable, where $I = Cl(t)$.

Lemma

If t is locally consistent then $\forall I \subseteq [m] : |I| < r/2$ the formula $t \wedge [A_I x = b_I]$ is satisfiable.

Proof.

If not then $\exists t' \in t, I' \in I$ s.t. $\sum_{i \in I'} (A_i x - b_i) + \sum_{x_j^e \in t'} (x_j - e) \equiv 1$
 Then $\partial(I') \in Vars(t')$, hence $I' \in Cl(t)$ and t is inconsistent. \square

$$A \in \{0, 1\}^{m \times n}$$

Definition

$G(A)$ is the bipartite graph between m row vertices and n column vertices with incidence matrix A . $d_A(V_1, V_2)$ denotes the shortest path between sets V_1, V_2 in $G(A)$

Lemma

A is an expander. $I \in [m] : |I| < r/2$. Term $t : t \wedge [A_I x = b_I]$ is satisfiable. Then:

\forall l.c. term t_1 with $|t_1| \leq k$ s.t. $d_A(Cl^e(t), t_1) > 4c^{-1}k$ the formula $t_1 \wedge t \wedge [A_I x = b_I]$ is also satisfiable.

Proof.

- If not then $\exists t' \in t, t'_1 \in t_1, I' \in I$ s.t.

$$\sum_{i \in I'} (A_i x - b_i) + \sum_{x_j^\epsilon \in t'} (x_j - \epsilon) + \sum_{x_j^\epsilon \in t'_1} (x_j - \epsilon) \equiv 1$$
- We consider such $L = (I, t', t'_1)$ with minimal number of equations. G_L is connected.
- $\partial(I') \subseteq \text{Vars}(t') \cup \text{Vars}(t'_1)$. t, t_1 are both consistent with $A_I x = b_I$, so t, t_1 are both non-empty.
- **Case1.** $|I' \setminus CI^e(t)| > 2c^{-1}k$

$$\left| \partial(I') \setminus \left[\bigcup_{i \in CI^e(t)} A_i \cup \text{Vars}(t) \right] \right| \leq k \leq (c/2)|I' \setminus CI^e(t)|$$
- **Case2.** $|I' \setminus CI^e(t)| \leq 2c^{-1}k$. Consider the minimal path in G_L that connects equations, corresponding to t with those corresponding to t_1 it goes along I' . Construct path of length $2|I' \setminus CI^e(t)|$ between t_1 and $CI^e(t)$ in $G(A)$.



Partial Assignments over Affine Subspaces

Lemma

Let $Y \subset X$ be a set of variables. Assume that b is a partial assignment on Y uniformly distributed on some affine subspace $A \subseteq \{0, 1\}^Y$. Then for any term t in Y variables either $\Pr[t|_b \equiv 1] = 0$ or $\Pr[t|_b \equiv 1] \geq 2^{-|t|}$.

Random Restriction

Definition

A DNF ϕ is in *normal form* w.r.t. A, b if each of its terms is locally consistent.

Definition

$X = \{x_1, \dots, x_n\}$ is the set of all variables. $D_{A,b}$ is a distribution over partial assignments over X that results from the experiment:

- Choose a random $X_1 \subset X$ of size $cr/4$
- $\hat{\Gamma} = Cl^e(X_1)$, $\hat{X} = X_1 \cup \{x_j \mid \exists i \in \hat{\Gamma} : A_{ij} = 1\}$
- Uniformly choose ρ from all $\hat{x} \in \{0, 1\}^{\hat{X}}$ satisfying $A_{\hat{\Gamma}}\hat{x} = b_{\hat{\Gamma}}$.

Restriction Lemma

Theorem

Assume that every column of A contains at most $\hat{\Delta}$ ones, b is arbitrary vector and $r = \Omega(n/\hat{\Delta})$. For any k -DNF ϕ in normal form holds:

$$\Pr[\phi|_r \neq 1] < \left(1 - 2^{-k}\right)^{c(\phi)/\hat{\Delta}^{O(k)}}$$

Corollary

There exists an absolute constant D s.t. under the assumption of the theorem for any normal form k -DNF ϕ

$$\Pr[\phi|_r \neq 1] < 2^{-c(\phi)/\hat{\Delta}^{Dk}}$$

Proof

Proof.

- Observe $\hat{x} \in \{0, 1\}^{\hat{X}}$ given by ρ .
- Assume that all bits of \hat{x} are hidden. Consider a term t_1 .
- Event E_1 denotes that t_1 is satisfied. Since t_1 is l.c. $Pr[E_1] \geq 2^{-k}$. If E_1 happens – success, otherwise:
- Step l : $t^{(l)}$ is a term corresponding to the partial assignment of revealed bits of \hat{x} . $|t^{(l)}| \leq lk$
- $Y^{(l)} \subseteq \hat{X} : d_A(Y^{(l)}, Cl^e(t^{(l)})) \leq 4c^{-1}k$
- Term t_{l+1} free of these variables. If there is no – terminate, else reveal the corresponding bits.
- $Pr[E_{l+1} | t^{(l)}] \geq 2^{-k}$



Digression

- There are at least $C_0 = c(\phi)/k$ variable disjoint terms.
- Each of them will be covered by X_1 with probability at least $(cr/4n)^k$.
- The expected number of covered variable disjoint terms is $C_0(cr/4n)^k$.
- By Chernoff bound we may assume that there exist $C_1 = C_0/\hat{\Delta}^{O(k)}$ variable disjoint terms covered by X_1 .

Proof part 2

Proof.

- T – stopping time
- **Case 1:** $kT \leq cr/4$ $C^{I^e(t^{(T)})} \leq 2c^{-1}Tk$
- Then $|Y^{(T)}| \leq 2c^{-1}Tk\hat{\Delta}^{4c^{-1}k}$
- Since $Y^{(T)}$ is a hitting set for ϕ $C_1 \leq |Y^{(T)}|$ and
 $T \geq C_1/\hat{\Delta}^{O(k)}$
- **Case 2:** $T > cr/(4k)$. Because $r = \Omega(n/\hat{\Delta})$ and $c(\phi) \leq n$
 $T \geq c(\phi)/\hat{\Delta}^{O(k)}$



With high probability $A_{n,\Delta}$ is $(r, 0.8)$ -boundary expander for some $r = \Omega(n)$.

Definition

For matrix $A_{n,\Delta}$ let J be a set of $0.2r$ columns of the largest hamming weight. $I' = C^{I^e}(J)$, $J' = \bigcup_{i \in I'} A_i$. By $\hat{A}_{n,\Delta}$ we denote matrix $A_{n,\Delta}$ with columns J' and rows I' removed. Similarly define \hat{b} .

Lemma

$\hat{A}_{n,\Delta}$ is $(r/2, 0.4)$ -boundary expander in which every column has weight bounded by some $\hat{\Delta}$ that depends on Δ only.

Proof.

- We already proved that such matrix is either empty or $(r/2, c/2)$ -boundary expander. It is not empty since $|I'| < r/2$.
- Our matrix contains at most $3\Delta n / (0.2r)$ ones in each column and $r = \Omega(n)$.



Lemma

Every $\text{Res}(k)$ refutation of $\phi_{n,\Delta}$ can be transformed into $\text{Res}(k)$ refutation of the system $\hat{A}_{n,\Delta}x = \hat{b}$ in which every line is in normal form with only polynomial increase of the size.

Proof.

- Refutation of $\phi_{n,\Delta}$ also fits for the 3-CNF corresponding to $A_{n,\Delta}x = b$.
- We may assign values to $x_{J'}$ so that all the equations in $A_{J'}x = b_{J'}$ are satisfied. Then we get a $Res(k)$ refutation of $\hat{A}_{n,\Delta}x = \hat{b}$. Now we should transform it into a normal form.
- For every term t that is not l.c. we may infer \bar{t} from $2.5k$ axioms in polynomial size in *Resolution*. Thus we may substitute any occurrence of locally inconsistent terms with \perp with the polynomial increase of the size of proof.



Lemma(Ben-Sasson–Wigderson)

Assume that the matrix $\hat{A}_{n,\Delta}$ is (r, c) -boundary expander. Then every resolution refutation of the system $\hat{A}_{n,\Delta}x = \hat{b}$ requires width ϵr , where ϵ depends only on c .

Theorem

For any constant Δ with probability $1 - o(1)$ every $\text{Res}(k)$ refutation of $\phi_{n,\Delta}$ for $k < \sqrt{\log n / \log \log n}$ has size $2^{n^{1-o(1)}}$.

Proof of the Lower Bound

Proof.

- If there exists $\text{Res}(k)$ refutation of $\phi_{n,\Delta}$ of size S then there exists $\text{Res}(k)$ refutation P of the system $\hat{A}_{n,\Delta}x = \hat{b}$ of size $Sn^{O(1)}$ which is in normal form.
- Apply restriction $\rho_{\hat{A}_{n,\Delta},b}$ constructed in the previous section to the whole refutation P . Due to the Corollary of Restriction Lemma for each line F of P $\Pr[F|_{\rho} \neq 1] < 2^{-c(F)/\hat{\Delta}^{Dk}}$.
- Applying Switching Lemma plugging in parameters $d = 1, \gamma = 1, \delta = (1/\hat{\Delta})^{Dk}, s = \epsilon r/(2k)$ we have that $\Pr[h(F|_{\rho}) > \epsilon r/k] \leq k2^{-\epsilon r(1/\hat{\Delta})^{2Dk^2}}$
- Converting $\text{Res}(k)$ refutation to Resolution refutation we get that the restricted proof $P|_{\rho}$ has width less than ϵr with probability at least $1 - Sk2^{-\epsilon r/k(1/\hat{\Delta})^{2Dk^2}} > 1 - S2^{-n/2^{O(k^2)}}$.

The Very Last Step

Proof.

On the other hand it is still refutation of the system which matrix is $(r/4, 0.2)$ -boundary expander, so according to Ben-Sasson–Wigderson lemma the probability of this event must be 0.

At last we have $S > 2^{n/2^{O(k^2)}}$ and the theorem follows. □