

Interpolation by a game

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Abstract

We introduce a notion of a *real game* (a generalization of the Karchmer - Wigderson game, cf.[3]) and *real communication complexity*, and relate them to the size of monotone real formulas and circuits. We give an exponential lower bound for tree-like monotone protocols (defined in [4, Def. 2.2]) of small real communication complexity solving the monotone communication complexity problem associated with the bipartite perfect matching problem.

This work is motivated by a research in interpolation theorems for propositional logic (by a problem posed in [5, Sec. 8], in particular). Our main objective is to extend the communication complexity approach of [4, 5] to a wider class of proof systems. In this direction we obtain an effective interpolation in a form of a protocol of small real communication complexity. Together with the above mentioned lower bound for tree-like protocols this yields as a corollary a lower bound on the number of steps for particular semantic derivations of Hall's theorem (these include tree-like cutting planes proofs for which an exponential lower bound was demonstrated by [2]).

Various interesting unsatisfiable propositional formulas occurring in length-of-proofs lower bounds can be formulated in the following form. Let $U, V \subseteq \{0, 1\}^*$ be two disjoint NP-sets. The formula formalizes that the intersection of $U_n := U \cap \{0, 1\}^n$ and of $V_n := V \cap \{0, 1\}^n$ is not empty. A best example is perhaps the pair consisting of the set of graphs with a k -clique and the set of $(k - 1)$ -colorable graphs.

An effective interpolation for a proof system P means that a good upper bound on the complexity of sets $W_n \subseteq \{0, 1\}^n$ separating U_n from V_n can be given in terms of the minimal size of P -refutations of $U_n \cap V_n \neq \emptyset$. The complexity of W_n is often measured by circuit-size. In this note we shall measure it in terms of a particular communication complexity. This is motivated by

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an approach to interpolation developed in [4, 5] and it bypasses in a sense the problem singled out in [5, Sec. 8]¹. The approach of [4, 5] relies on communication complexity concepts and our main objective is to extend the concepts so that the same method applies to a wider class of proof systems. In particular, to cutting planes, to resolution combined with cutting planes, or even to their first-order extensions (see [5] for definitions). This was achieved in [5] via Boolean communication complexity for the proof systems provided the absolute values of coefficients occurring in inequalities in proofs is small (cf. [5] for details). Our hope is that a generalization of the concept of a communication game defined here will allow analogous results for the unrestricted case. In this paper we make a first step towards this goal.

This paper is a continuation of the research pursued in [4, 5], and we do not give any background information, motivations, or references to related work. All this can be found in detail in [4, 5]. Vectors of integers are denoted a, b, \dots, x, y, \dots and their coordinates a_i, \dots, x_i, \dots .

1 Real game

Let U and V be two subsets of $\{0, 1\}^*$.

Definition 1.1 *A real game on the pair U, V is played by two players I and II. Player I gets $u \in U$ and II gets $v \in V$. At every round each player announces one real number.*

A position in a play is a binary word

$$w$$

whose length is the number of steps need to reach the position.

The initial position is

$$\emptyset$$

where \emptyset is the empty word.

In $(k + 1)^{st}$ step player I announces a real α and player II announces a real β . The position after the $(k + 1)^{st}$ step is

$$w0 \quad \text{if } \alpha > \beta$$

or

$$w1 \quad \text{if } \alpha \leq \beta$$

The move α (resp. β) is computed by I (resp. by II) from u (resp. from v) and the position w only.

¹That problem, calling for a particular upgrading of the communication complexity part of the interpolation theorem for semantic derivations ([4, Thm. 5.1]), is still open.

Let I be a finite set and let $R \subseteq U \times V \times I$ be any relation such that

$$\forall u \in U, v \in V \exists i \in I, R(u, v, i)$$

Relations satisfying this condition will be called *multifunctions*.

Definition 1.2 *The real communication complexity of a multifunction R , denoted $CC^{\mathbf{R}}(R)$, is the minimal number h such that there are strategies for the players of the real game on U, V , and there is a function*

$$g : \{0, 1\}^h \rightarrow I$$

such that for every $u \in U, v \in V$, if the position in the game after the h^{st} step is w then

$$R(u, v, g(w))$$

A partial Boolean function is monotone if it has at least one extension to a total monotone Boolean function. Let $W \subseteq \{0, 1\}^n$ be a set and let $f : W \rightarrow \{0, 1\}$ be a partial monotone Boolean function. Put $U := f^{(-1)}(1)$, $V := f^{(-1)}(0)$ and $I := \{1, \dots, n\}$. Following [3] define $R_f^{mon\circ} \subseteq U \times V \times I$ by

$$R_f^{mon\circ}(u, v, i) \text{ iff } u \in U \wedge v \in V \wedge u_i = 1 \wedge v_i = 0$$

Definition 1.3 ([7]) *Monotone real circuit is a circuit that computes with reals using constants and binary non-decreasing functions at gates, and that outputs 0 or 1 on all Boolean inputs.*

Lemma 1.4 *$CC^{\mathbf{R}}(R_f^{mon\circ})$ is at most the minimal depth of a monotone real circuit C that computes (on W) the function f . In fact,*

$$CC^{\mathbf{R}}(R_f^{mon\circ}) \leq \log_{3/2} FS_{mon}^{\mathbf{R}}(f)$$

where $FS_{mon}^{\mathbf{R}}(f)$ is the minimal size of a monotone real formula computing f .

Proof :

The first inequality is trivial. In particular, at a node of a circuit the players announce the values at the left incoming subcircuit. In this way they construct a path through the circuit such that in every node the value at u is bigger than the value at v . Hence at an input node this gives i such that $u_i = 1 \wedge v_i = 0$.

The strategies of the players yielding the second inequality are similar, except that they use Spira's trick. At a node corresponding to the output of a formula F they find a node ξ splitting F in the 1/3 - 2/3 fashion. They announce the values on u and v at ξ .

If $\xi(u) > \xi(v)$, they go to the subformula determined by ξ . If $\xi(u) \leq \xi(v)$, they take a formula $F^l(x_1, \dots, x_n, y)$ such that

$$F(x_1, \dots, x_n) = F^l(x_1, \dots, x_n, y/\xi(x_1, \dots, x_n))$$

Then they continue with the game analogously, with player I substituting the value $\xi(u)$ for y in F' and II substituting $\xi(v)$. Hence the players need $\log_{3/2}|F|$ rounds.

q.e.d.

A probabilistic communication complexity of a multifunction R with public coins and error ϵ is denoted $C_\epsilon^{pub}(R)$. Denote by $R_m^{\leq} \subseteq \{0, 1\}^m \times \{0, 1\}^m \times \{0, 1\}$ the set of all triples (α, β, δ) such that $\delta = 0$ if $\alpha > \beta$ and $\delta = 1$ otherwise.

Theorem 1.5 (Nissan [6]) For $\epsilon < \frac{1}{2}$, $C_\epsilon^{pub}(R_m^{\leq}) = O(\log m + \log \epsilon^{-1})$.

Lemma 1.6 Let $R \subseteq U \times V \times I$ be a multifunction. Then for $\epsilon < \frac{1}{2}$ it holds

$$C_\epsilon^{pub}(R) \leq CC^{\mathbf{R}}(R) \cdot O(\log n + \log \epsilon^{-1})$$

Proof :

In a real game with h rounds at most $|U| \cdot |V| \cdot 2 \cdot (2^h - 1) < 2^{2n+h+1}$ different reals occur. Let $\alpha_0 < \alpha_1 < \dots < \alpha_k$, $k < 2^{2n+h+1}$, be their enumeration in an increasing order. The players may use i in place of α_i without affecting the game.

One step in such a game can be simulated by $O(\log m + \log(\epsilon^{-1}h))$, $m = 2n + h + 1$, steps of probabilistic Karchmer - Wigderson game with error ϵh^{-1} (Theorem 1.5). Hence the whole real game can be simulated by a probabilistic game with error ϵ of length

$$h \cdot O(\log m + \log(\epsilon^{-1}h)) = h \cdot O(\log n + \log \epsilon^{-1})$$

as we may assume that $h \leq n$.

q.e.d.

2 Protocols

We use the notion of a *monotone protocol* for a game on pair U, V defined in [4, Def. 2.2]; we only measure its monotone communication complexity differently. We define first protocols for general multifunctions; a monotone protocol will be then just a protocol for a particular multifunction.

Definition 2.1 Let $U, V \subseteq \{0, 1\}^n$ be two sets. Let $R \subseteq U \times V \times I$ be a multifunction. A protocol for R is a labelled directed graph G satisfying the following four conditions:

1. G is acyclic and has one source (the in-degree 0 node) denoted \emptyset .

The nodes with the out-degree 0 are leaves, all other are inner nodes.

All inner nodes have out-degree 2 (this condition was not present in [4] and it is added here for technical reasons only).

2. All leaves are labelled by elements of I .
3. There is a function $S(u, v, x)$ (the strategy) such that S assigns to a node x and a pair $u \in U$ and $v \in V$ the edge $S(u, v, x)$ leaving from the node x .

Every pair $u \in U$ and $v \in V$ defines for every node x a directed path P_{uv}^x in G from the node x to a leaf: $P_{uv}^x = x_1, \dots, x_h$, where $x_1 = x$, the edge $S(u, v, x_i)$ goes from x_i to x_{i+1} , and x_h is a leaf.

4. For every $u \in U$ and $v \in V$ there is a set $F(u, v) \subseteq G$ satisfying:
 - (a) $\emptyset \in F(u, v)$
 - (b) $x \in F(u, v) \rightarrow P_{u,v}^x \subseteq F(u, v)$
 - (c) If i is the label of a leaf from $F(u, v)$ then $R(u, v, i)$ holds.

Such a set F is called the consistency condition.

The protocol is tree-like iff the underlying graph is a tree.

A protocol for a particular multifunction R

$$\{(u, v, i) \mid u_i = 1 \wedge v_i = 0\}$$

is called a monotone protocol for U, V .

Note that some $S(u, v, x)$ could be defined in terms of $F(u, v)$ (as the leftmost son that is also in $F(u, v)$). In applications however, some other definition may be more natural, cf. [4].

Definition 2.2 Let G be a protocol for R . Let $S(u, v, x)$ and $F(u, v)$ be the strategy function and the consistency condition of G respectively.

The real communication complexity of G , denoted $CC^{\mathbf{R}}(G)$, is the minimal t such that for every $x \in G$ the players (one knowing u and x , the other v and x) decide whether $x \in F(u, v)$ and compute $S(u, v, x)$ in at most t rounds of the real game.

Lemma 2.3 Let $U, V \subseteq \{0, 1\}^n$ be two disjoint sets. Any monotone real circuit C of size S separating U from V determines a monotone protocol G for U, V with S nodes whose real communication complexity is 1.

Proof :

G is the underlying graph of C . The consistency condition $F(u, v)$ contains all subcircuits x such that the value at x for u is bigger than for v . The strategy $S(u, v, x)$ assigns to x one of its two subcircuits that is also in $F(u, v)$ (monotonicity of C guarantees its existence).

q.e.d.

In Boolean case a form of a converse statement holds, see [4, Thm. 2.3] that restates [10, Thm. 3.1] in terms of protocols.

Theorem 2.4 *Let G be a tree-like protocol of size S for a multifunction R and assume that $CC^{\mathbf{R}}(G) = t$. Then*

$$C_{\epsilon}^{pub}(R) \leq \log S \cdot t \cdot O(\log n + \log \epsilon^{-1} + \log S)$$

Proof :

The protocol G is a binary tree that the players use to find $i \in I$ such that $R(u, v, i)$ holds. We shall transform it into a balanced binary tree G^* that will serve as a strategy for the probabilistic Karchmer - Wigderson game.

In the first step we transfer G into G' that will have the tree height $O(\log S)$ and the same real communication complexity as G . The players take a node x dividing G in the 1/3 - 2/3 fashion. They decide (in t rounds at most) whether $x \in F(u, v)$. If the answer is affirmative they will concentrate on the subtree of G with root x . Otherwise the remain in the same root and delete the subtree from G . This procedure defines G' .

By Lemma 1.6 the strategy function in G' can be computed by a probabilistic game with error ϵS^{-1} and length $t \cdot O(\log n + \log \epsilon^{-1} + \log S)$. Hence the whole tree G' , with the original edges replaced by the binary trees of height $t \cdot O(\log n + \log \epsilon^{-1} + \log S)$, works as a strategy for the probabilistic game with total error ϵ .

This new tree G^* has height $O(\log S \cdot t \cdot (\log n + \log \epsilon^{-1} + \log S))$.

q.e.d.

Using Theorem 2.4 we shall be able to transfer a lower bound from [9] to a lower bound for tree-like protocols of small real communication complexity. We use the same Boolean function as [9].

Let I, J be two sets of size n . Consider a monotone Boolean function BPM that gives to a bipartite graph $G \subseteq I \times J$ the value 1 iff G contains a perfect matching. Inputs to BPM are n^2 variables x_{ij} , $i \in I, j \in J$. Their truth evaluations are in one to one correspondence with bipartite graphs.

Theorem 2.5 *Let G be a tree-like protocol for BPM of size S , and such that $CC^{\mathbf{R}}(G) = t$. Then*

$$S = \exp(\Omega((\frac{n}{t \log n})^{1/2}))$$

Proof :

By Theorem 2.4

$$C_{\epsilon}^{pub}(R_{BPM}^{mono}) \leq \log S \cdot t \cdot O(\log n + \log \epsilon^{-1} + \log S)$$

By [9, Thm. 4.4]

$$C_0^{pub}(R_{BMP}^{mono}) = \Omega(n)$$

while by [8, Lemma 1.4] for any R

$$C_0^{pub}(R) \leq (C_\epsilon^{pub}(R) + 2)(\log_{1/\epsilon} n + 1)$$

Taking $\epsilon := n^{-1}$ we get

$$\log^2 S = \Omega\left(\frac{n}{t \log n}\right)$$

q.e.d.

3 An interpolation theorem

The notion of a semantic derivation was defined in [4, Def. 4.1]. A sequence of sets D_1, \dots, D_k (tacitly all subsets of some $\{0, 1\}^N$) is a semantic derivation of D_k from A_1, \dots, A_m if each D_i is either one of A_j 's or contains $D_{i_1} \cap D_{i_2}$, for some $i_1, i_2 < i$. We modify the definition of its communication complexity ([4, Def. 4.3]) to accommodate new communication complexity over reals. We consider only the monotone case, as that is the case potentially yielding lower bounds.

Definition 3.1 *Let $N = n + s + t$ be fixed and let $A \subseteq \{0, 1\}^N$. Let $u, v \in \{0, 1\}^n$, $y^u \in \{0, 1\}^s$ and $z^v \in \{0, 1\}^t$.*

Consider three tasks:

1. *Decide whether $(u, y^u, z^v) \in A$.*
2. *Decide whether $(v, y^u, z^v) \in A$.*
3. *If $(u, y^u, z^v) \in A$ and $(v, y^u, z^v) \notin A$ either find $i \leq n$ such that*

$$u_i = 1 \wedge v_i = 0$$

or learn that there is some u' satisfying

$$u' \geq u \wedge (u', y^u, z^v) \notin A$$

($u' \geq u$ means $\bigwedge_{i \leq n} u'_i \geq u_i$.)

These tasks can be solved by two players, one knowing u, y^u and the other one knowing v, z^v .

The monotone real communication complexity w.r.t. U of A , $MCC_U^{\mathbf{R}}(A)$, is the minimal t such that the tasks 1.-3. have real communication complexity $\leq t$.

The word monotone in $MCC_U^{\mathbf{R}}$ refers to the form of task 3..

Let $N = n + s + t$ be fixed for the rest of the section. For $A \subseteq \{0, 1\}^{n+s}$ define the set \tilde{A} by:

$$\tilde{A} := \bigcup_{(a,b) \in A} \{(a, b, c) \mid c \in \{0, 1\}^t\}$$

where a, b, c range over $\{0, 1\}^n$, $\{0, 1\}^s$ and $\{0, 1\}^t$ respectively, and similarly for $B \subseteq \{0, 1\}^{n+t}$ define \tilde{B} :

$$\tilde{B} := \bigcup_{(a,c) \in B} \{(a, b, c) \mid b \in \{0, 1\}^s\}.$$

Theorem 3.2 *Let $A_1, \dots, A_m \subseteq \{0, 1\}^{n+s}$ and $B_1, \dots, B_\ell \subseteq \{0, 1\}^{n+t}$. Assume that there is a semantic derivation $\pi = D_1, \dots, D_k$ of the empty set $\emptyset = D_k$ from the sets $\tilde{A}_1, \dots, \tilde{A}_m, \tilde{B}_1, \dots, \tilde{B}_\ell$.*

Assume that the sets A_1, \dots, A_m satisfy the following monotonicity condition:

$$(u, y^u) \in \bigcap_{j \leq m} A_j \wedge u \leq u' \rightarrow (u', y^u) \in \bigcap_{j \leq m} A_j$$

and that $MCC_U^{\mathbf{R}}(D_i) \leq t$ for all $i \leq k$
Define two sets

$$U = \{u \in \{0, 1\}^n \mid \exists y^u \in \{0, 1\}^s; (u, y^u) \in \bigcap_{j \leq m} A_j\}$$

and

$$V = \{v \in \{0, 1\}^n \mid \exists z^v \in \{0, 1\}^t; (v, z^v) \in \bigcap_{j \leq \ell} B_j\}$$

Then there is a monotone protocol G for U, V of size at most $k + n$ whose real communication complexity $CC^{\mathbf{R}}(G)$ is at most t .

Moreover, if the semantic derivation is tree-like then so is G .

Proof :

The proof of the theorem entirely parallels the proof of the monotone part of [4, Thm. 5.1].

q.e.d.

CP is the cutting planes proof system, R is the resolution, and R(CP) is a proof system introduced in [5] combining naturally R with CP (working with clauses formed by integer inequalities). We shall not repeat the formal definitions here as we wish to stress that the method applies to all CP-like proof systems. These are proof systems satisfying the following conditions:

1. Proof-steps are integer inequalities of the form $a_1x_1 + \dots + a_nx_n \geq b$, with a_i and b integers and x_i variables (called CP-inequalities).
2. All axioms are tautologically valid.
3. All inference rules are sound and have at most two hypotheses (the later condition is just a technical one).

Theorem 3.3 *Let $E_1(x, y), \dots, E_m(x, y), F_1(x, z), \dots, F_\ell(x, z)$ be a system of CP-inequalities in which only the displayed variables $x = (x_1, \dots, x_n)$, $y = (y_1, \dots, y_s)$ and $z = (z_1, \dots, z_t)$ occur. Let $N := n + s + t$. Assume that there is a refutation π of the system in a CP-like proof system such that π contains k steps. Assume also that x_i occur in all E_1, \dots, E_m with non-negative coefficients only.*

Then there is a monotone protocol G for U, V :

$$U = \{u \in \{0, 1\}^n \mid \exists y^u \in \{0, 1\}^s; \bigwedge_{i \leq m} E_i(u, y^u)\}$$

$$V = \{v \in \{0, 1\}^n \mid \exists z^v \in \{0, 1\}^t; \bigwedge_{j \leq \ell} F_j(v, z^v)\}$$

such that the size of G is at most $k + n$ and its real communication complexity is $O(1)$.

Moreover, if the refutation π is tree-like then also G is tree-like.

Proof :

Replace each CP-inequality D in π by the subset \tilde{D} of $\{0, 1\}^N$ of assignments satisfying it. This yields a semantic refutation of \tilde{E}_i 's and \tilde{F}_j 's. It is easy to see that for every set A occurring in the refutation it holds that $MCC_U^{\mathbf{R}}(A) = O(1)$. The rest follows from Theorem 3.2.

q.e.d.

4 Lower bounds for Hall's theorem

Impagliazzo, Pitassi and Urquhart [2] proved that a set of clauses related to BPM (similar to $Hall_n$ below) requires exponential size tree-like CP - refutations. In this section we derive a mild generalization of their theorem (with CP - like proof systems in place of just CP) as an immediate corollary of the monotone interpolation Theorem 3.3 and of Theorem 2.5.

We shall define two sets of CP-inequalities formalizing Hall's theorem. Let y_{ai} and y'_{aj} , $a \in \{1, \dots, n\}$, $i \in I$, $j \in J$ be $2n^2$ variables. Consider the inequalities:

1. $\sum_i y_{ai} \geq 1$, all $a \in \{1, \dots, n\}$.
2. $1 - y_{ai} + 1 - y_{a'i} \geq 1$, all different $a, a' \in \{1, \dots, n\}$.
3. $\sum_j y'_{aj} \geq 1$, all $a \in \{1, \dots, n\}$.
4. $1 - y'_{aj} + 1 - y'_{a'j} \geq 1$, all different $a, a' \in \{1, \dots, n\}$.
5. $1 - y_{ai} + 1 - y'_{a'j} + x_{ij} \geq 1$, all $a, a' \in \{1, \dots, n\}$, $i \in I$ and $j \in J$.

The inequalities 1. and 2. force that y_{ai} determines a bijection $f : \{1, \dots, n\} \rightarrow I$, and similarly 3. and 4. say that y'_{aj} determine a bijection $g : \{1, \dots, n\} \rightarrow J$. Conditions 5. imply that the edges $\{(f(a), g(a)) \in I \times J \mid a \in \{1, \dots, n\}\}$ form a perfect matching in G .

Let $E_i(x, y, y')$ be all these CP-inequalities. Clearly the set

$$U := \{x \in \{0, 1\}^{n^2} \mid \exists y, y'; \bigwedge_i E_i(x, y, y')\}$$

is the set of graphs given 1 by BPM.

The set V of graphs given 0 by BPM can be defined analogously by CP-inequalities $F_j(x, z, z', z'')$ using Hall's theorem. They formalize that X is a subset $\{1, \dots, n\}$ of containing n which is determined on $\{1, \dots, n-1\}$ by z''_1, \dots, z''_{n-1} , and that for some bijections $f : X \cap \{1, \dots, n\} \rightarrow I$ and $g : X \cap \{1, \dots, n-1\} \rightarrow J$ (or $f : X \cap \{1, \dots, n\} \rightarrow J$ and $g : X \cap \{1, \dots, n-1\} \rightarrow I$) determined by z_{ai} and z'_{aj} , all neighbors of nodes in $Rng(f)$ are in $Rng(g)$. The set of all these $O(n^4)$ inequalities E_i and F_j is denoted $Hall_n$.

Theorem 4.1 *Let π be a tree-like refutation of $Hall_n$ in any CP-like proof system. Assume that π has k steps.*

Then

$$k \geq \exp(\Omega((\frac{n}{\log n})^{1/2}))$$

Proof :

By Theorem 3.3 there is a tree-like protocol G for BPM whose size is $k+n$ and whose real communication complexity is $O(1)$. The lower bound then follows by Theorem 2.5.

q.e.d.

5 Problems

An obvious problem is to generalize Theorem 2.5 and to prove strong lower bounds for general non - tree - like protocols (perhaps for a different monotone function than BPM as in Thm. 2.5, e.g. for the clique function). Using Theorem 3.3 this would give a new proof of the lower bound for CP proved in [7, 1] (in

fact, for all CP - like proof systems). Assuming that Lemma 2.3 admits some form of a converse, the exponential lower bounds for monotone real circuits proved in [1, 7] would yield a ground for such a generalization.

Another problem is to extend Theorem 4.1 from tree - like CP-like proof systems to tree - like $\mathbf{R}(\text{CP})$ -like proof systems (or even, together with a solution of the previous problem, to general $\mathbf{R}(\text{CP})$ - like proof systems). In [5] a lower bound for $\mathbf{R}(\text{CP})$ was given that depends on the maximum number W of CP-inequalities in a clause and on the maximum absolute value M of a coefficient in any CP-inequality. Theorem 4.1 drops the dependence on M for tree-like proofs, assuming $W = 1$. A similar bound for $W > 1$ could be deduced from an estimate of the real communication complexity of the following decision problem.

For $b \in \mathbf{Z}^W$ define

$$Q(b) := \{x \in \mathbf{Z}^W \mid x_i \leq b_i \text{ all } i \leq W\}$$

Player I gets $a, c_1, \dots, c_n \in \mathbf{Z}^W$ while II gets $b \in \mathbf{Z}^W$. They should decide whether

$$a + \sum_{i \in I} c_i \in Q(b)$$

for some $I \subseteq \{1, \dots, n\}$.

Let $t(W, n)$ be the real communication complexity of this decision problem. Then if $A \subseteq \{0, 1\}^N$ is defined by a disjunction of W CP-inequalities it holds that

$$MCC_V^{\mathbf{R}}(A) = O(t(W, n) \log n)$$

(this is analogous to [5, Lemma 5.1]). Hence we would get a lower bound of the form $\exp(\Omega(\frac{n^{1/2}}{t(W, n)^{1/2} \log n}))$.

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