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#### **Abstract**

There has been tremendous progress in the past decade in the field of quantified Boolean formulas (QBF), both in practical solving as well as in creating a theory of corresponding proof systems and their proof complexity analysis. Both for solving and for proof complexity, it is important to have interesting formula families on which we can test solvers and gauge the strength of the proof systems. There are currently few such formula families in the literature.

We initiate a general programme on how to transform computationally hard problems (located in the polynomial hierarchy) into QBFs hard for the main QBF resolution systems Q-Res and QU-Res that relate to core QBF solvers. We illustrate this general approach on three problems from graph theory and logic. This yields QBF families that are provably hard for Q-Res and QU-Res (without any complexity assumptions).

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# **1 Introduction**

The primary goal of *proof complexity* is to examine the size of proofs within various formal proof systems. Originating from computational complexity [\[20\]](#page--1-0), proof complexity has significant connections to other domains, especially logic [\[29,](#page--1-1) [19\]](#page--1-2) and solving techniques [\[17\]](#page--1-3). Proof complexity serves as the main theoretical framework to evaluate the strength of modern solving methods.

A key challenge in proof complexity is to establish *lower bounds* on proof size and to obtain *separations* between different calculi. This requires *specific formula families* that witness these lower bounds. In propositional proof complexity, particularly for propositional resolution – well-studied also due to its close ties with SAT solving  $[17, 33, 1, 5]$  $[17, 33, 1, 5]$  $[17, 33, 1, 5]$  $[17, 33, 1, 5]$  $[17, 33, 1, 5]$  $[17, 33, 1, 5]$  $[17, 33, 1, 5]$  – there is extensive literature on difficult formulas from various fields such as combinatorics  $[e.g.,]$ [23,](#page--1-7) [16\]](#page--1-8), graph theory [\[38\]](#page--1-9), logic [\[28\]](#page--1-10), random formulas [\[4\]](#page--1-11), and many more [\[29,](#page--1-1) [36\]](#page--1-12).

In contrast, *proof complexity of quantified Boolean formulas* (QBF) is relatively nascent. While there are several QBF proof systems, Q-Resolution [Q-Res, [27\]](#page--1-13) and QU-Resolution [QU-Res, [39\]](#page--1-14) are most notable. These systems extend propositional resolution by incorporating a universal reduction rule that allows for the elimination of specific universal variables from clauses.

Similar to SAT, QBF resolution systems are deeply intertwined with QBF solving methods [cf. [14,](#page--1-15) for a recent overview], with Q-Res and its extension long-distance Q-Resolution [LD-Q-Res [3\]](#page--1-16) corresponding to quantified conflict-driven clause learning [QCDCL, cf. [14,](#page--1-15) [40,](#page--1-17) [6,](#page--1-18) [30\]](#page--1-19).

However, compared to the plethora of hard formulas for propositional resolution, there is a scarcity of interesting QBF families suitable for proof-theoretic analysis. Only few families (and their variations) have been utilised for lower bounds and separations in the

QBF literature. Most notable among these are the KBKF formulas introduced in the initial Q-Res paper [\[27\]](#page-19-0), equality formulas [\[10\]](#page-18-0), parity formulas [\[11\]](#page-18-1), and CR formulas [\[26\]](#page-19-1). These comprise the primary toolkit for QBF proof complexity and are used for nearly all known separations. We recently introduced a method to construct new hard QBF families – this method can also be used to generate the KBKF and equality formulas – but they are highly structured and handcrafted.

Thus there is a strong need for more interesting and especially natural QBFs that are challenging for Q-Res or QU-Res. Such QBFs could not only advance proof complexity but also serve as benchmarks in solving, aiding in the comparison of different solving techniques.[1](#page-1-0)

It is also not straightforward to use the large pool of hard propositional formulas for QBF purposes. Although the existentially quantified version of any CNF hard for propositional resolution is also hard for Q-Res and QU-Res, our focus is on 'genuine' QBF hardness arising from quantifier alternations rather than from the propositional base system.[2](#page-1-1)

**Our Contributions.** We present a general method for constructing families of hard QBFs from computationally complex mathematical problems.

Specifically, we consider three problems, two from graph theory and one from logic, convert them into QBFs and show that these QBFs require exponential-size proofs in QU-Res (thereby also in Q-Res). The first problem Succinct k-Radius asks whether a graph, represented succinctly as a circuit, has radius  $\leq k$  for fixed k. The problem is known to be complete for the third level  $\Sigma_3^p$  of the polynomial hierarchy PH. The second graph problem k-Clique Colouring is complete for  $\Sigma_2^p$ . We complement this with a problem from logic ALL-EQUAL∃∀3SAT, also complete for  $\Sigma_2^p$ . As the problems are in PH, they can be expressed naturally as sequences of QBFs.

Our *main technical work* goes into showing that these formulas are hard for the QBF resolution systems QU-Res and Q-Res. For this we use the semantic size-cost lower-bound technique for QBF calculi, developed by [Beyersdorff et al.](#page-18-0) [\[10\]](#page-18-0). This involves constructing explicit 'critical' instances of graphs or formulas on which the universal player demonstrably needs a large winning strategy. The workflow for our construction is depicted in Figure [1.](#page-2-0)

We view these three explicit problems and hardness construction as *case studies* towards the far more general claim that *any* computationally hard problem can be shown to give rise to hard QBFs via our method (though specific problems will likely require individual, hand-crafted instances for the argument, cf. the discussion in Section [7\)](#page-17-0).

We mention that the hardness results actually extend to more powerful QBF proof systems, namely all systems with bounded capacity, cf. [\[10\]](#page-18-0). In particular, our QBF families are hard not only for QU-Res, but also for the QBF versions of polynomial calculus and cutting planes [\[10,](#page-18-0) [9\]](#page-18-2).

The idea to use computationally complex problems for hard QBFs is quite natural. Indeed, we can take any PSPACE-complete problem  $L$  (or a problem complete for some level  $\Sigma_k^p$  with  $k \geq 2$ ), express it as QBFs (this is possible as deciding validity of QBFs is PSPACE complete as well), and these QBFs will be hard for *any* QBF proof system *Q assuming*  $NP \neq PSPACE$ (or  $\mathsf{NP} \neq \Sigma_k^p$ , resp.).<sup>[3](#page-1-2)</sup>

<span id="page-1-0"></span><sup>1</sup> A track of crafted formulas was introduced into QBFEval 2020, and a tool to generate the mentioned QBF families was presented by [Beyersdorff et al.](#page-18-3) [\[15\]](#page-18-3).

<span id="page-1-1"></span><sup>2</sup> A formal framework for 'genuine' QBF hardness was introduced by [Beyersdorff et al.](#page-18-4) [\[13\]](#page-18-4). All the aforementioned QBF examples – KBKF, equality, and parity – are genuinely hard in this sense.

<span id="page-1-2"></span><sup>3</sup> This follows as short *Q*-proofs for QBF translations of *L* could be guessed non-deterministically, thus placing  $L \in \mathsf{NP}$  and implying  $\mathsf{NP} = \mathsf{PSPACE}$  (or  $\mathsf{NP} = \sum_k^p$ , respectively).

<span id="page-2-0"></span>

**Figure 1** The basic procedure we use to construct families of hard QBFs from mathematical problems.

While using PSPACE-hard problems such as games for QBF instances is a natural idea [\[22,](#page-19-2) [37,](#page-19-3) [24\]](#page-19-4), such formulas have never been shown to be formally hard for QBF proof systems, a task that appears daunting due to the syntactically complex QBF translations [\[37\]](#page-19-3). Our main achievement here is that our hardness results hold *unconditionally* without assuming any unproven conjectures from computational complexity.

We highlight that such results are *not known in propositional proof complexity*. The *clique* formulas are a famous example [\[7\]](#page-18-5). They express the NP-complete problem that a given graph contains a *k*-clique. Hence by the same argument as above, they will give rise to hard CNFs (for suitably chosen graphs) for any propositional proof system *assuming*  $NP \neq$  co-NP. To show this *unconditionally* is a very hard problem in propositional proof complexity. So far the claim has been shown unconditionally for tree-like resolution [\[8\]](#page-18-6) and, in a break-through result, for regular resolution [\[2\]](#page-18-7), while the case of general resolution is wide open. In contrast, our method allows to show such results for QBF proof systems very elegantly.

**Organisation.** We start in Section [2](#page-2-1) with preliminaries on QBF and relevant proof systems. Section [3](#page-3-0) contains our generic construction of hard QBFs from mathematical problems. Sections [4-](#page-4-0)[6](#page-15-0) each present a mathematical problem, the QBF translations, and the hardness argument. We conclude in Section [7](#page-17-0) with a discussion.

### <span id="page-2-1"></span>**2 Preliminaries**

A *Conjunctive Normal Form (CNF)* is a conjunction of *clauses*, where each clause is a disjunction of literals. A *literal* l is a propositional variable x or its negation  $\bar{x}$ , we denote this by vars( $l$ ) = x. We also write CNFs as sets of clauses; the size of a CNF is the number of its clauses.

**QBFs.** A *Quantified Boolean Formula (QBF)* in *closed prenex form*  $\phi = \mathcal{P} \cdot \varphi$  consists of a *quantifier prefix* P and a propositional formula  $\varphi$ , referred to as the *matrix*. The prefix is a sequence of quantifiers *Q* ∈ {∀*,* ∃}, each followed by a set of variables. For a *closed* QBF (which is our focus),  $P$  quantifies exactly the variables appearing in  $\varphi$ . Consequently, for  $\mathcal{P} = Q_1 X_1 Q_2 X_2 \dots Q_n X_n$ , the matrix  $\varphi$  is expressed in terms of the variables  $\bigcup_{i \in [n]} X_i$  and we write  $\text{vars}(\mathcal{P} \cdot \varphi) = \text{vars}(\varphi) = \bigcup_{i \in [n]} X_i$ . Since a closed QBF has no free variables, it is either *true* or *false*. We denote the set of *existential variables* (associated with  $\exists$ ) in  $\mathcal{P} \cdot \varphi$  by vars<sub>∃</sub>( $\varphi$ ), the set of *universal variables* (associated with  $\forall$ ) by vars<sub> $\forall$ </sub>( $\varphi$ ). A QBF with a CNF matrix is termed a *QCNF*.

<span id="page-3-1"></span>

Axiom	ਨ	$C$ is a non-tautologous clause in the matrix $\varphi$ .
Q-Res	$\frac{C_1\cup\{x\}-C_2\cup\{\overline{x}\}}{C_1\cup C_2}$	$C_1 \cup C_2$ is non- $tautologous;$ $x$ $\in$ vars $(\phi)$ .
$QU-Res$	$\frac{C_1\cup\{x\}-C_2\cup\{\overline{x}\}}{C_1\sqcup C_2}$	$C_1 \cup C_2$ is non- tautologous.
∀Red		$u \in \mathsf{vars}_{\forall}(\phi)$ and quanti- fied right of each existen- tial variable in $C$ regard- ing $\mathcal{P}$ .

**Figure 2** Rules of the QBF proof systems Q-Res and QU-Res for a QBF *ϕ* = P*.φ*.

An *assignment* is a mapping of variables to (Boolean) truth values in {0*,* 1}. Sometimes, we represent an assignment as a set of variable-value pairs. We write  $\langle V \rangle$  for the set of all possible assignments to *V* .

Closed QBFs can be viewed as a two-player game between an existential and a universal player, who assign truth values to all variables in the order dictated by the quantifier prefix. The existential player assigns values to existential variables, while the universal player assigns values to universal ones. The existential player wins if the resulting assignment satisfies the matrix; otherwise, the universal player wins. For any closed QBF, one of the players has a *winning strategy*. This game is known as the *assignment game*.

A *countermodel* is a winning strategy for the universal player. While countermodels are often described as a collection of functions (one for each universal variable), we prefer to consider them as a single function that outputs an assignment to the universal variables (cf. e.g. [\[12\]](#page-18-8)). The range of a countermodel is the number of distinct assignments to the universal variables that can be produced under the strategy. The range of a countermodel on a single universal block is the number of different assignments to the variables of that block.

**Proof systems.** *Resolution* (Res) is a refutational proof system for propositional formulas with two inference rules. For an input CNF  $\chi$ , any clause  $C \in \chi$  can be used as an axiom. Additionally, from two clauses  $C_1 \cup x$  and  $C_2 \cup \overline{x}$ , the resolvent  $C_1 \cup C_2$  can be derived by resolving over the pivot *x*.

Q-Res [\[27\]](#page-19-0) lifts the resolution method to QBFs. The system adapts the resolution rule to Q-Res, whereby only existential pivots are permitted and tautological resolvents are prohibited. Universal variables are eliminated using universal reduction (∀Red). The rules are shown in Figure [2.](#page-3-1)

QU-Res [\[39\]](#page--1-14) extends the weaker system Q-Res by allowing resolution over universal pivots. The *size*  $|\pi|$  of a proof  $\pi$  is defined as the number of clauses in  $\pi$ .

# <span id="page-3-0"></span>**3 From Hard Problems to Hard QBFs**

Our aim is to construct hard formulas for QU-Res from difficult mathematical problems. The hardness should be intuitively easy to understand. For this purpose, we use the lower bound technique via cost introduced by [Beyersdorff et al.](#page-18-0) [\[10\]](#page-18-0). We start by recalling it.

▶ **Definition 1** (Cost [\[10\]](#page-18-0))**.** *We consider all countermodels for a false QBF ϕ and determine for each of them the largest range on a single universal block. The minimum over these*

*cardinalities is the* cost *of*  $\phi$ *.* 

For  $\Sigma_3^b$  formulas (i.e., with only one universal block), cost coincides with the minimum cardinality of the range of a countermodel for  $\phi$ . Cost is an absolute lower bound for proof size in QU-Res (and Q-Res):

<span id="page-4-2"></span> $\triangleright$  **Theorem 2** ([\[10\]](#page-18-0)). Let  $\phi$  be a false QCNF. Then QU-Res refutations of  $\phi$  have size at *least* cost $(\phi)$ *.* 

Figure [1](#page-2-0) shows the basic procedure we use to construct new families of hard QBFs. At this point, it is not yet clear exactly what it means that a 'critical' structure *only just* fails to have a property. This will become clear later and has to do with the fact that the non-fulfilment of the property must not be too obvious, i.e. there must be numerous ways of *almost* proving the property (and failing finally).

In the following, we will analyse selected hard problems in more detail. We use problems from the polynomial hierarchy, [Schaefer and Umans](#page-19-5) [\[34\]](#page-19-5) provide a good overview.

# <span id="page-4-0"></span>**4 Succinct k-Radius**

First we deal with the radius of graphs – more precisely with the question of whether there is a vertex in a given (directed) graph from which every other vertex can be reached in at most *k* steps. We will define this problem formally soon, but first let us consider representations of graphs. It is not difficult to verify that the described problem is easy if the graph is given as an adjacency matrix<sup>[4](#page-4-1)</sup>. We therefore consider succinct representations, one of which is the following:

 $\triangleright$  **Definition 3** (Galperin-Widgerson Representation). *Given a directed graph*  $G = (V_G, E_G)$ *with*  $V = \{0, 1\}^n$ , we call a circuit *C* a Galperin-Widgerson representation of *G iff C has exactly* 2*n input gates and one output gate and it holds that*  $C(x, y) = 1 \leftrightarrow (x, y) \in E$  *for any*  $x, y \in V$ . Note that there can be more than one Galperin-Widgerson representation of a *graph.*

With the help of this circuit representation it is possible to represent graphs with  $2^n$  vertices much more succinctly, possibly even by circuits of polynomial size in *n*.

In order to formally describe the problem, we still need to define some concepts related to *k*-radius and reachability:

▶ **Definition 4** (*k*-reachable, *k*-isolated, *k*-center, radius). With respect to a vertex  $v \in V$ , we *call a vertex*  $u \in V, u \neq v$  *k*-reachable *if there is a path of length at most k between v and u in*  $G = (V, E)$ *. Otherwise we refer to u as k*-isolated *(with respect to v)*.

*For a graph*  $G = (V, E)$ *, a vertex*  $v \in V$  *is called a k*-center *if any*  $u \in V$ *,*  $u \neq v$  *is k-reachable from v.*

*The* radius of a graph  $G = (V, E)$  is the smallest  $k \in \mathbb{N}$  for which there exists a *k*-center *of G.*

We now define the problem we want to analyse:

<span id="page-4-1"></span>Since the representation as adjacency matrix has polynomial size in the number *n* of vertices, we can efficiently check all approximately  $n^k$  potential paths for each vertex and determine whether all vertices are reached.

▶ **Definition 5** (Succinct k-Radius [\[25\]](#page-19-6))**.** *Given a Galperin-Widgerson representation C of a directed graph*  $G = (V_G, E_G)$  *and an integer k. Succinct k-Radius*(*G*) *asks, whether G has radius at most k.*

This problem is  $\Sigma_3^p$ -complete for any fixed  $k \geq 2$  [\[25\]](#page-19-6).

# <span id="page-5-0"></span>**4.1 QBF Encodings of Succinct k-Radius**

We will now construct QBFs describing Succinct k-Radius. We first need variables representing vertices from *G*. For  $|V_G| = n$  we use variables  $P_i = \{p_1^i, \ldots, p_{\log n}^i\}$  for  $i \in [0, k]$ , which encode vertices  $p_0, \ldots, p_k \in V_G$ . We want the matrix to state that  $p_0 \ldots p_k$  is a path in *G*. We must also consider the case where the length of the path is smaller than *k*. We will therefore allow  $p = p_0 \dots p_k$  to repeat the same vertex multiple times (even without the corresponding loop being contained in *G*).

Let  $\varphi_{\text{edge}}(i, j)$  be a propositional formula that encodes the circuit *C* with input  $P_i, P_j$ . Please note that this formula is not necessarily a CNF. We will address this problem later, for now the encoding as a propositional formula suffices (allowing us to express *C* without additional variables).

Let  $\varphi_{\text{equal}}(i, j) := \bigwedge_{k \in \log n} \left( (p_k^i \vee \overline{p_k^j}) \wedge (\overline{p_k^i} \vee p_k^j) \right)$  be a formula checking the encodings of  $p_i, p_j$  (which are represented by  $P_i, P_j$ ) for bitwise equality. Now it is quite easy to assemble prefix and matrix:

$$
\exists P_0 \forall P_k \exists P_1 \dots P_{k-1} \cdot \left( \varphi_{\text{equal}}(i-1,i) \vee \varphi_{\text{edge}}(i-1,i) \right).
$$

The size of this formula is  $\mathcal{O}(k(\log n + |\varphi_{\text{edge}}|)).$ 

As noted above, the formula presented so far is not necessarily a CNF. Although the bitwise equality checks have already been formulated as CNF, this does not apply to the encoding of the circuit *C* (for edge checking) and therefore the entire matrix. However, a Tseitin transformation (TTF in the formula below) allows us to construct a satisfiabilityequivalent formula whose size is linear in the size of the original formula, i.e.  $\mathcal{O}(\log n + |\varphi_{\text{edge}}|).$ This involves inserting additional variables  $V_{\text{Tseitin}}$ , which we simply add to the last existential block.

This yields the following formula:

$$
SR_k(G) := \exists P_0 \forall P_k \exists P_1 \dots P_{k-1} V_{Tseitin}.
$$

$$
TTF\left(\bigwedge_{i \in [k]} (\varphi_{equal}(i-1, i) \vee \varphi_{edge}(i-1, i))\right).
$$

Finally, we have to show that the constructed formulas actually express the graph problem.

 $\blacktriangleright$  **Lemma 6.**  $SR_k(G)$  *is true iff G has radius at most k.* 

**Proof.** Let  $G = (V, E)$  be a directed graph and  $k \in \mathbb{N}$ . Suppose, *G* has radius  $\leq k$ . Then there is a vertex  $v \in V$  so that every other vertex  $u \in V$  can be reached from  $v$  by a path of length at most k. Let us now consider the formula  $SR_k(G)$ . The existential player has the following winning strategy: the  $P_0$  variables are chosen to represent the *k*-center *v* described above. The universal player then assigns the  $P_k$  variables, which in turn represent a vertex *u* ∈ *V*. Let  $vp_1 \nldots p_{l-1}u$  be a path in *G* of length  $l ≤ k$  from *v* to *u*. Such a path must exist due to the *k*-center-property of *v*. The existential player now chooses the  $P_1, \ldots, P_{k-1}$ 

variables so that  $P_1, \ldots, P_{l-1}$  represent the vertices  $p_1, \ldots, p_{l-1}$  and  $P_l, \ldots, P_{k-1}$  each repeat the vertex  $p_{l-1}$  if  $l < k$ . Now let us take a look at the matrix. This consists of subformulas that state for each two consecutive vertices in the path that they are either equal or that there is an edge between them. Since the variables have been selected as described so that they represent a path of length  $\leq k$  between *v* and *u* and, if necessary, the last vertex of the path (before *u*) is repeated, all subformulas and thus also their conjunction are satisfied.

Let us now assume that  $SR_k(G)$  is true. Then the existential player has a winning strategy. Due to the construction of  $SR_k(G)$ , this means no more than that the existential player can find a vertex  $v \in V$  (and assign the  $P_0$  variables accordingly), so that for each vertex  $u \in V$ that can be chosen by the universal player, there exists a sequence  $p_1, \ldots, p_{k-1}$  of vertices that, apart from possible repetitions, represent a path between  $v$  and  $u$ . Obviously, then, there is a path of length at most *k* between *v* and *u*, namely the sequence just mentioned excluding the repetitions. Then, as desired, *v* is a *k*-center of *G* and thus *G* has radius at most *k*. ◀

# <span id="page-6-1"></span>**4.2 Constructing a Critical Graph Family**

To show hardness of the SR() formulas, we need a family of directed graphs which can be succinctly represented by small circuits and whose instances do not have radius at most *k*, but a lot of vertices, which are *almost k*-centers (this is what we called a *critical family* in Figure [1\)](#page-2-0). This should translate to large strategy size resp. cost of the formulas, which allows us to show hardness via Theorem [2.](#page-4-2) To better describe the graphs and our requirements for them, we define the concept of an *almost k*-center.

▶ **Definition 7** (almost-*k*-center, corruptor)**.** *We call a vertex v* ∈ *V an* almost-*k*-center *of*  $G = (V, E)$ *, if there is a vertex*  $u \in V, u \neq v$  which is k-isolated from v, but any vertex in  $V \setminus \{u, v\}$  *is k-reachable from v.* We call *u the* corruptor *of v.* 

Note that (according to the definition of Succinct k-Radius) we actually consider directed graphs. In the following we will construct a family of undirected graphs, all previously defined concepts are easily transferable. To finally obtain undirected graphs, all edges can easily be realised in both directions.

The idea is to use chains of length  $k+1$  (i.e. they consist of  $k+2$  vertices each), such that the last vertex of a chain is not *k*-reachable from the first one (and is thus its corruptor). Now, to make the first vertices almost-*k*-centers, we need to combine the chains such that the last vertices of other chains *are k*-reachable. This can be done via connections, which, in a sense, skip a vertex. We realise this by connecting the first vertex of a chain with the third vertex of each *other* chain. The resulting graph  $G_n^k$  is shown in Figure [3.](#page-7-0)

The next claim is easy to verify with this intuition:

<span id="page-6-0"></span> $\blacktriangleright$  **Lemma 8.** *The graph*  $G_n^k$  *constructed as described above has radius*  $> k$  *and n almost-kcenters with pairwise different corruptors for*  $n \geq 2, k > 2$ *.* 

**Proof.** It is easy to see that these graphs have radius  $> k$  if you look at Figure [4.](#page-7-1) Let's consider an arbitrary chain, say, with index *i*. From the first vertex  $v_i^1$ , the last vertex  $v_i^{k+2}$ is not *k*-reachable. From any other vertex  $v_i^a$ ,  $a \neq 1$ , the last vertex  $v_j^{k+2}$ ,  $j \neq i$  of any other chain is not *k*-reachable. This is because every path from a vertex  $v_i^a$  to  $v_j^{k+2}$  must contain the path  $v_j^3 v_j^4 \dots v_j^{k+2}$ , which already has length  $k-1$ . Within the chain with index *i*, however,  $v_j^3$  is only incident with  $v_i^1$  and can therefore only be reached from there with just one step. At least two steps are required from every other vertex  $v_i^a$ , which results in a

<span id="page-7-0"></span>

<span id="page-7-1"></span>**Figure 3** Graph  $G_n^k$  with radius  $> k$  and *n* almost-*k*-centers  $v_i^1$  with corresponding corruptors  $v_i^{k+2}$ . Note that the subgraph induced by  $V^1 = \{v_i^1 \mid i \in [n]\}$  and  $V^3 = \{v_i^3 \mid i \in [n]\}$  is *almost* a complete bipartite graph  $K_{\{n,n\}}$ , missing only one edge  $\{v_i^1, v_i^3\}$  per vertex.



**Figure 4** The graphs  $G_n^k$  have radius  $> k$  for  $n \geq 2, k > 2$ . The green vertex  $v_i^1$  needs a path of length  $k+1$  to reach the green circled vertex  $v_i^{k+2}$ . All blue vertices  $v_i^2, \ldots, v_i^{k+2}$  require paths of length  $> k$  to reach the blue circled vertex  $v_j^{k+2}$   $(i, j$  are arbitrary with  $i \neq j$ .

path of length  $> k$ . As a result, no vertex of the chain with index *i* is a *k*-centre of  $G_n^k$ -and since *i* was chosen arbitrarily, there is no such *k*-centre in  $G_h^k$ , which must therefore have radius  $> k$ .

However, it is also very easy to see that every first vertex  $v_i^1$  of a chain  $(i \in [n])$  is an almost *k*-centre. This is because, apart from the last one, every vertex in the chain with index *i* can obviously be reached in at most *k* steps. The same applies to all vertices in chains with other indices  $j \neq i$ . Here, the first three vertices  $v_j^1$  to  $v_j^3$  can be reached in a maximum of 3 steps. For  $v_j^a$  with  $a > 3$ , the path from  $v_i^1$  is always one step shorter than the path from  $v_j^1$ , using the shortcut between  $v_i^1$  and  $v_j^3$ . This leads to paths of length at most *k* from  $v_i^1$  to each vertex in a chain with index  $j \neq i$ . Thus, for  $n \geq 2, k > 2, G_n^k$  has *n* almost-*k*-centers.

It remains to be shown that the corruptors of these almost-*k*-centres are pairwise different. This is very easy to see, as the last vertex of a chain is the corruptor of the first vertex of the same chain.

The constructed graphs have  $|V| = (k+2) \cdot n \in \mathcal{O}(n)$  vertices and  $|E| = (k+1) \cdot n + n$ .  $(n-1) = n^2 + kn \in \mathcal{O}(n^2)$  edges (since *k* is a constant).

<span id="page-7-2"></span>As we want to use the technique from Theorem [2,](#page-4-2) it is important that the graphs can be represented succinctly by circuits. We will specify small circuits of size  $\mathcal{O}(\log n)$  that receive two vertices as input and determine the (non-)existence of an edge between these vertices. Note that the circuits include the above-mentioned step of realising each undirected edge in both directions, thus representing directed graphs as desired.

<span id="page-8-0"></span>

**Figure 5** Sketch of a Boolean circuit that calculates whether or not an edge exists between two input vertices using the indicator nodes presented.  $i, i'$  are indices of chains,  $j, j'$  indices within a chain.

**• Lemma 9.** *The family of*  $G_n^k$  graphs as described in this section can be represented by *circuits of logarithmic size.*

**Proof.** We have  $log(n \cdot (k+2))$  bits available for the encoding of a single vertex. As the vertices in our graphs are arranged in a grid (see Figure [3\)](#page-7-0), we encode the coordinates *i* and *j* for  $v_i^j$  (this is an easy task because  $i \in [n]$ ,  $j \in [k+2]$ ,  $\log(n \cdot (k+2)) = \log(n) + \log(k+2)$ ). For input  $i, j, i', j'$ , the circuit must now provide indicator nodes for the following situations:



So overall we need a binary incrementer, testing for equality (between two *n*-bit numbers as well as between an *n*-bit number and a constant) and testing for inequality (between two *n*-bit numbers). Any of these calculations can be performed in linear size (in the input length):

- Incrementing can be done by a chain of  $log(n)$  halfadders (each consisting of two gates).
- $\blacksquare$ Testing for equality can be done bitwise with negated XOR-gates (XNOR). The bit-by-bit results must then be aggregated in a tree-like circuit of depth  $\lceil \log \log(n) \rceil$  consisting of and-gates (which adds  $\lt \log n$  gates to the subcircuit).
- Testing for inequality can be achieved simply by negating the result of a circuit that tests  $\blacksquare$ for equality.

Using these indicator nodes, we can now easily construct circuits that output 1 if there is an edge between the input vertices and 0 otherwise (see Figure [5\)](#page-8-0). These circuits obviously have size  $\mathcal{O}(\log n)$  as desired.

# **4.3 Hardness of the QBFs for QU-Res**

The number of almost-*k*-centers and their pairwise different corruptors in  $G_n^k$  as stated in Lemma [8](#page-6-0) together with Lemma [9](#page-7-2) imply that the formulas constructed from this graph family have exponential cost:

<span id="page-8-1"></span>▶ **Theorem 10.**  $\text{cost}(\text{SR}_k(G_n^k)) \ge n \text{ for } n \ge 2, k > 2.$ 

**Proof.** Let  $G_n^k$  and  $SR_k(G_n^k)$  be constructed according to the descriptions in Sections [4.2](#page-6-1) and [4.1.](#page-5-0) Then  $SR_k(G_n^k)$  has size  $\mathcal{O}(\log n)$  because  $G_n^k$  can be represented by circuits of logarithmic size according to Lemma [9.](#page-7-2) By Lemma [8,](#page-6-0)  $G_n^k$  has  $n$  almost- $k$ -centers with pairwise different corruptors. A winning strategy for the universal player must take all these corruptors into account, as the existential player can specify the corresponding almost-*k*-centers in his moves for the first existential block.  $SR_k(G_n^k)$  therefore has cost  $\geq n$ , which is exponential in the size of the formula.

From Theorems [2](#page-4-2) and [10](#page-8-1) we infer:

 $\blacktriangleright$  **Corollary 11.**  $\text{SR}_k(G_n^k)$  require QU-Res proofs of size at least  $2^n$ .

# **5 k-Clique Colouring**

For our next problem, we will deal with cliques in graphs as well as with special colourings. Let us first introduce some definitions concerning different types of colourings that will be important in this section.

 $\triangleright$  **Definition 12** ((proper) (*k*-)graph-colouring, (*k*-)clique-colouring). *A* graph-colouring *c* :  $V \rightarrow C$  *colours the vertices of a graph*  $G = (V, E)$ *. It is called proper if for any*  $e = (u, v) \in E$ *,*  $u \neq v$  *the vertices u, v are coloured differently, i.e.*  $c(u) \neq c(v)$ *. A k*-graph-colouring *uses at most k colours, thus*  $|c(V)| \leq k$ *. A graph G is k*-colourable *if it has a proper k*-*colouring.* 

*A* (*k*-)clique-colouring *of G is a (k-)graph-colouring of G such that for any maximal clique*  $C \subseteq V$  *there are two vertices*  $u, v$  *with*  $\{u, v\} \subseteq C$  *and*  $c(u) \neq c(v)$  *(i.e. there are no monochromatic maximal cliques).*

We can now define the problem of interest:

 $\blacktriangleright$  **Definition 13** (k-Clique Colouring [\[31\]](#page-19-7)). *Given a graph*  $G = (V, E)$  *and an integer k, k-Clique Colouring asks, whether there is a k-clique-colouring for G.*

This problem is  $\Sigma_2^p$ -complete for any  $k \ge 2$  [\[31\]](#page-19-7).

## <span id="page-9-0"></span>**5.1 QBF Encodings of k-Clique Colouring**

The QBFs we will construct from this question shall express the following process: The existential player chooses a *k*-colouring of the vertices. The universal player then selects a (maximal) clique of the graph. Finally, the existential player selects two vertices from the clique with different colours. If the existential player has a winning strategy, the graph is *k*-clique-colourable and the QBF is true. If, on the other hand, the universal player has a winning strategy (i.e. he finds a monochromatic maximum clique for each colouring), the graph is not *k*-clique-colourable and the QBF is false.

To realise this, we first introduce a few variables. We assume *G* to have vertex set  $V = \{v_1, \ldots, v_n\}.$ 

- $\bullet$  *b*<sub>*ij*</sub>,  $i \in [n], j \in [k]$ : *v*<sub>*i*</sub> is coloured with *j*.
- *c<sub>i</sub>*,  $i \in [n]: v_i$  is contained in the considered clique.
- $\bullet$  *t<sub>i</sub>*,  $i \in [n]: t_i$  is chosen as witness for non-monochromaticity.

It is immediately clear that this enumeration already anticipates the division of the variables into the quantifier blocks: The prefix will be  $\exists B \forall C \exists T$ , where  $B = \{b_{ij} \mid i \in [n], j \in$  $[k]$ ,  $C = \{c_i \mid i \in [n]\}, T = \{t_i, i \in [n]\}.$ 

We divide the construction of the matrix into individual sub-statements in order to increase clarity:

- $\Omega$  *B* represents a *k*-colouring.
- <sup>2</sup> *C* represents a clique (we identify *C* with this clique as well).
- $(3)$  *C* is maximal.
- <sup>4</sup> The vertices selected by *T* are in *C*.
- <sup>5</sup> There are at most two vertices selected by *T*.
- <sup>6</sup> The vertices selected by *T* are coloured differently.

The exact formulas that express the statements  $(1)$  -  $(6)$  are listed in the following

<sup>1</sup> *B* represents a *k*-colouring. Therefore, we must ensure that each vertex has at least and at most (i.e. exactly) one colour:

$$
\mathbb{O} \equiv \left[ \bigwedge_{i \in [n]} b_{i1} \vee \cdots \vee b_{ik} \right] \wedge \left[ \bigwedge_{\substack{i \in [n] \\ \vdots \vdots \\ i, j' \in [k] \\ j \neq j'}} \overline{b_{ij}} \vee \overline{b_{ij'}} \right].
$$

 $| \circled{1} | \in \mathcal{O}(k \cdot n + 2k^2 \cdot n) = \mathcal{O}(k^2 \cdot n).$ 

<sup>2</sup> *C* represents a clique. It is sufficient to ensure that for each edge *not* in *E* there is an incident vertex *not* in *C*:

$$
\textcircled{2} \equiv \bigwedge_{\{v_i, v_j\} \notin E} \overline{c_i} \vee \overline{c_j}.
$$

 $|Q| \in \mathcal{O}(2n^2) = \mathcal{O}(n^2).$ 

<sup>3</sup> *C* is maximal. This means that adding another vertex from *V* violates the clique property in any case. In other words, for every  $v_i \notin C$  there is a  $v_j \in C$  with  $\{v_i, v_j\} \notin E$ :

$$
\textcircled{3} \equiv \bigwedge_{i \in [n]} \left[ \overline{c_i} \rightarrow \bigvee_{\substack{j \in [n] \\ j \neq i \\ \{v_i, v_j\} \notin E}} c_j \right].
$$

 $|\mathcal{B}| \in \mathcal{O}(n \cdot (1+n)) = \mathcal{O}(n^2).$ <sup>4</sup> The vertices selected by *T* are in *C*.

$$
\textcircled{4} \equiv \bigwedge_{i \in n} t_i \to c_i.
$$

 $| \mathcal{A} | \in \mathcal{O}(2n) = \mathcal{O}(n).$ 

<sup>5</sup> There are at most two vertices selected by *T*.

$$
\textcircled{s} \equiv \bigwedge_{\substack{i,j,l \in [n] \\ i \neq j \neq l \neq i}} \overline{t_i} \vee \overline{t_j} \vee \overline{t_l}.
$$

 $|\textcircled{s}| \in \mathcal{O}(3n^3) = \mathcal{O}(n^3).$ 

$$
\circledast
$$
 The vertices selected by  $T$  are coloured differently.

$$
\textcircled{\scriptsize{6}} \equiv \bigwedge_{\substack{i,j \in [n] \\ l \in [k]}} (t_i \wedge t_j) \rightarrow (\overline{b_{il}} \vee \overline{b_{jl}}).
$$

 $| \circledS | \in \mathcal{O}(4k \cdot n^2) = \mathcal{O}(k \cdot n^2).$ 

Thus, from a graph  $G = (V, E)$  with  $|V| = n$  and a number k of colours, we obtain a formula  $CC_k(G) = \exists B \forall C \exists T \cdot \textcircled{1} \land [(2 \land 3) \rightarrow (4 \land 5 \land 6)]$  whose size is cubic in *n*.

<span id="page-11-0"></span>

**Figure 6** (a) Grötzsch graph, the smallest non 3-colourable graph and (b) how to build an independent set of size 3 (marked red) whose vertices must be coloured pairwise differently in any 3-Clique-Colouring. We call (b) the  $G_3^{ips}$ -graph.

# <span id="page-11-1"></span>**5.2 Constructing a Critical Graph Family**

To find a graph family that allows us to assess the k-Clique Colouring formulas in terms of proof complexity using Theorem [2,](#page-4-2) let us examine the relationship between *k*-colourability and *k*-clique-colourability: Obviously, *k*-colourability coincides with *k*-clique-colourability if we consider triangle-free graphs (since maximal cliques in triangle-free graphs are always two vertices connected by an edge or single, isolated vertices). A triangle-free graph that is not *k*-colourable is therefore also not *k*-clique-colourable. The smallest interesting example of such graphs is the Grötzsch graph ([\[32,](#page-19-8) [18\]](#page-19-9); see Figure [6\)](#page-11-0). The construction can be extended arbitrarily for  $k > 3$  (as Mycielsky graphs [\[32\]](#page-19-8)). However, we will just use the case  $k = 3$ .

For our purposes, we do not just need a single graph that is not 3-clique-colourable, but a whole family. In addition, it should be possible to force the universal player to select certain cliques by skilful moves of the existential player (selection of special colourings).

▶ **Definition 14** (*k*-colour-selectability). We call a maximal clique  $C ⊆ V$  within a graph  $G = (V, E)$  *k*-colour-selectable, if we can find a *k*-colouring of V, which colours C monochro*matically, but any other maximal clique is not monochromatic.*

We need exponentially many 3-colour-selectable cliques in our graphs. To generate such graphs inductively, we use the following idea: Given a non-3-clique-colourable graph with *m* 3-colour-selectable cliques. How can we modify the graph by adding a constant number of vertices so that the new graph has, for example, 3*m* 3-colour-selectable cliques? The idea is to add three vertices which build an independent set, but must be coloured pairwise differently in each clique colouring. If we then connect each vertex of the original graph to each vertex of the independent set, we get three new (maximal) cliques from each old (maximal) clique – and in the case of a monochromatic clique, exactly one of the three resulting new cliques must be monochromatic again.

Conveniently, the Grötzsch graph is useful to us in this construction in several ways: On the one hand, it serves as the start of the induction, as it cannot be 3-clique-coloured, but the result after removing any edge can (which means that any edge is 3-colour-selectable, see Figure [7](#page-12-0) for visualization). On the other hand, we use it to construct the three vertices

<span id="page-12-0"></span>

**Figure 7** Grötzsch graph colourings violating the colouring property with exactly one monochromatic edge (marked red) each. Since the graph is highly symmetric, all other edges are covered by isomorphism. Note that the colourings shown are not unique - there are others with this property.

that must necessarily be coloured differently. We reach this with the graph  $G_3^{ips}$ , which contains an independent set of size 3 whose vertices must be colored pairwise differently in each 3-clique coloring due to the special structure of the graph. In the following, we will describe how  $G_3^{ips}$  can be created on the basis of a Grötzsch graph. This is quite simple (please also note Figure [6\(](#page-11-0)b) for visualization):

- A Grötzsch graph in which an arbitrary edge {*u, u*′} has been removed is 3-clique- $\sim$ colourable.
- Each 3-clique colouring will colour the two vertices  $u, u'$  incident with the removed edge  $\blacksquare$ identically (otherwise, the Grötzsch graph would be 3-clique-colourable).
- If there is a path  $u v w u'$  of length three between these two vertices, then the two  $\blacksquare$ additional vertices  $v, w$  in the path must be coloured with the two remaining colours (we are still in a triangle-free graph, so every edge is a maximum clique).
- By attaching another Grötzsch graph to one of these two path vertices, w.l.o.g. to  $v$ , in which an edge  $\{v, v'\}$  incident with *v* has been removed, we force  $v, v'$  to be coloured identically.
- If we now look at the vertices  $u, v', w$ , they build an independent set but they must still  $\mathcal{L}_{\mathcal{A}}$ be coloured pairwise differently.

Let us take a look at the inductive construction of  $G_n = (V_n, E_n)$ . For  $n = 1$  we choose  $G_n = G_1$  to be the Grötzsch graph, which has 11 vertices and 20 edges. Each of these edges is 3-colour-selectable, so we have  $m = 20$  3-colour-selectable cliques. We generate  $G_{n+1}$  as follows (see also Figure [8\)](#page-13-0):

- Take  $G_n$  and add  $G_3^{ips}$  shown in Figure [6\(](#page-11-0)b) (You may need to rename vertices of  $G_n$  to  $\equiv$ avoid duplication).
- Connect each vertex from  $G_n$  with each vertex from the independent set  $\{u, v', w\}$  in  $\overline{\phantom{a}}$  $G_3^{ips}$ .
- $\blacksquare$  The result is  $G_{n+1}$ .

Note that the maximal cliques resulting from the connection of  $G_n$  and  $G_3^{ips}$  are  $n+2$ -cliques, while the maximal cliques inside  $G_3^{ips}$  (as a subgraph of  $G_{n+1}$ ) are still edges. Figure [8](#page-13-0) shows the inductive construction of the graphs  $G_n$ . For better understanding, the smallest case (construction of  $G_2$  from  $G_1$ ) is illustrated in Figure [9.](#page-14-0)

<span id="page-13-0"></span>

**Figure 8** From  $G_n$  to  $G_{n+1}$ . The double red edges indicate that all vertices in  $G_n$  are adjacent with  $u, v'$  and  $w$ .

The number of vertices of these graphs is linear, the number of edges quadratic in *n*:

$$
|V_1| = 11
$$
  
\n
$$
|V_n| = |V_{n-1}| + 23
$$
 for  $n > 1$   
\n
$$
= 11 + (n - 1) \cdot 23
$$
  
\n
$$
= 23n - 12
$$
  
\n
$$
\in \mathcal{O}(n)
$$
 and  
\n
$$
|E_1| = 20
$$
  
\n
$$
|E_n| = |E_{n-1}| + 41 + 3 \cdot |V_{n-1}|
$$
  
\n
$$
= |E_{n-1}| + 41 + 3 \cdot (23 \cdot (n - 1) - 12)
$$
  
\n
$$
= |E_{n-1}| + 69n - 64
$$
  
\n
$$
= \frac{1}{2} (69n^2 - 59n + 30)
$$
  
\n
$$
\in \mathcal{O}(n^2)
$$

for  $n \in \mathbb{N}$ .

The following statement is shown by induction, working along the composition of the graphs:

<span id="page-13-1"></span>▶ **Lemma 15.** *The graph*  $G_n$  *constructed as described above has at least*  $3^{n-1} \cdot 20 \in \Omega(3^n)$  *3colour-selectable cliques and is not 3-clique-colourable.*

**Proof.** We will show this by induction over *n*. For  $n = 1$  we look at the Grötzsch graph. As mentioned above, it is not 3-clique-colourable and each of its 20 edges is 3-colour-selectable.

Now suppose we have a proper 3-clique-coloring for  $G_{n+1}$ . Among other things, such a colouring must be a proper 3-clique colouring for  $G_3^{ips}$ , since this is a subgraph of  $G_{n+1}$ (and all maximal cliques of this subgraph are also maximal cliques in  $G_{n+1}$ ). We have already considered above that  $u, v', w$  must then be coloured with three different colours. However, every vertex of  $G_n$  is adjacent to every vertex in  $u, v', w$ , but the vertices in  $u, v', w$ build an independent set. This means that each maximal clique from  $G_n$  forms three new maximal cliques in  $G_{n+1}$ , each adding one vertex from  $\{u, v', w\}$ . However, this means that the colouring must not colour any maximal clique in  $G_n$  monochromatically - otherwise one of the three corresponding maximal cliques in  $G_{n+1}$  would also be monochromatic, which contradicts a proper 3-clique colouring. In turn, the restriction of the colouring to the vertices of  $G_n$  is a correct 3-clique colouring for  $G_n$ , which contradicts the induction assumption.

<span id="page-14-0"></span>

**Figure 9** From  $G_1$  to  $G_2$ .

Let us now consider the number  $c(n+1)$  of 3-colour-selectable cliques in  $G_{n+1}$ . Obviously, each 3-colour-selectable clique in  $G_n$  becomes three 3-colour-selectable cliques in  $G_{n+1}$  because we are completely free in the exact assignment of the colours to the vertices  $\{u, v', w\}$ , i.e. we find suitable 3-clique colourings of  $G_3^{ips}$  in each case. So overall we have



as desired.  $\blacktriangleleft$ 

# **5.3 Hardness of the QBFs for QU-Res**

Since any 3-colour-selectable clique must be part of any winning strategy for the universal player, their exponential number (Lemma [15\)](#page-13-1) immediately implies that the formulas constructed from  $G_n$  have exponential cost:

<span id="page-14-1"></span>▶ **Theorem 16.**  $\text{cost}(\text{CC}_3(G_n)) \geq 20 \cdot 3^{n-1}$  for  $n \in \mathbb{N}$ .

**Proof.** Let  $G_n$  be a graph constructed according to the descriptions in Section [5.2](#page-11-1) and  $CC_3(G_n)$  be constructed as described in Section [5.1.](#page-9-0) Then according to Lemma [15,](#page-13-1)  $G_n$  has 20 · 3<sup>n-1</sup> 3-colour-selectable cliques. This means (as the formula just describes the problem

of 3-clique-colouring), that any of them must be part of a winning strategy for the universal player.  $CC_3(G_n)$  therefore has cost  $\geq 3^{n-1}$  $\cdot$  20.

From Theorem [16](#page-14-1) and Theorem [2](#page-4-2) we obtain:

 $\blacktriangleright$  **Corollary 17.**  $CC_3(G_n)$  *require proofs of exponential size in QU-Res.* 

The construction is also possible for more colours: The graphs  $G_k^{ips}$  become larger for  $k > 3$ , but retain constant size. The Mycielsky graphs then serve as starting points of the construction instead of the Grötzsch graph.

### <span id="page-15-0"></span>**6 ALL-EQUAL**∃∀3**SAT**

Finally, let us analyse a problem from logic:

▶ **Definition 18** (ALL-EQUAL∃∀3SAT)**.** *Given a 3-CNF formula φ*(*X, Y* )*, where* (*X, Y* ) *is a partition of* vars( $\varphi$ )*, ALL-EQUAL*∃∀3*SAT asks, whether there is an assignment to the variables in X such that for each assignment to the variables in Y there is at least one clause that contains only true or only false literals.*

ALL-EQUAL∃∀3SAT is  $\Sigma_2^p$ -complete, since it is the complement of NOT-ALL-EQUAL∀∃3SAT [\[21\]](#page-19-10) which we know to be  $\Pi_2^p$ -complete.

# **6.1 QBF Encodings of ALL-EQUAL**∃∀3**SAT**

Constructing QBFs from ALL-EQUAL∃∀3SAT is straightforward. The *X*-variables form the first existential block and the *Y* -variables the following universal block. We add log *n* selector variables  $C = \{c_1, \ldots, c_{\log n}\}\$ in a second existential block to select a clause.

The matrix is intended to express: If clause  $C_i \in \varphi(X, Y)$  was selected using the *C*variables, all literals in *C<sup>i</sup>* should be identically true or false. Thus, we need the following subformulas:

 $\bullet$  *χ*<sub>*i*</sub> to express, that clause  $C_i \in \varphi(X, Y)$  was selected using the *C*-variables and

 $\psi_i$  to express, that all literals in  $C_i$  are identically true or false.

Now, given a 3-CNF  $\varphi(X, Y) = \bigwedge_{i=1}^{n} C_i$  with  $C_i = (l_1^i, l_2^i, l_3^i)$ , the matrix can be written as a simple conjunction of implications:

<span id="page-15-1"></span>
$$
AE(\varphi(X,Y)) = \exists X \forall Y \exists C \cdot \bigwedge_{i \in [n]} \chi_i \to \psi_i,
$$
\n(1)

We replace the implication with a disjunction, since we finally aim to obtain a CNF:

$$
\bigwedge_{i\in[n]} \chi_i \to \psi_i \equiv \bigwedge_{i=1}^n \overline{\chi_i} \vee \psi_i.
$$

Let us now take a closer look at the subformulas.  $\psi_i$  corresponds to a DNF:  $(l_1 \wedge l_2 \wedge$  $l_3$ )  $\vee$  ( $\overline{l_1} \wedge \overline{l_2} \wedge \overline{l_3}$ ). This can easily be converted into a CNF:

$$
\psi_i = (l_1 \wedge l_2 \wedge l_3) \vee (\overline{l_1} \wedge \overline{l_2} \wedge \overline{l_3})
$$
  

$$
\equiv \{ (l_1, \overline{l_3}), (l_1, \overline{l_2}), (\overline{l_1}, l_2), (\overline{l_1}, l_3) \}.
$$

Let us now focus on the selection mechanism. The clause  $C_i$  should be considered selected if the *C* variables in the order specified by the prefix result in the binary representation  $[i]_2$ 

of *i*. It is quite easy to express this fact as a term  $\chi_i$  of length  $\log n$  (for  $i \in [n]$ ), where  $[i]_2\{k\}$  is the  $k^{\text{th}}$  bit of  $[i]_2$ :

$$
\chi_i \equiv \bigwedge_{\substack{k \in \log i \\ [i]_2\{k\}=1}} c_k \wedge \bigwedge_{\substack{k \in \log i \\ [i]_2\{k\}=0}} \overline{c_k}.
$$

 $\chi_i$  is the premise of implication [\(1\)](#page-15-1). When converted into a disjunction, it is therefore negated and thus becomes a clause.

$$
\overline{\chi_i} \equiv \bigvee_{\substack{k \in \log i \\ [i]_2\{k\} = 1}} \overline{c_k} \vee \bigvee_{\substack{k \in \log i \\ [i]_2\{k\} = 0}} c_k.
$$

This gives us a CNF equivalent to  $\overline{\chi_i} \vee \psi_i$  with 4 clauses of length  $\log n + 2$  for each  $i \in [n]$ . Now we can assemble the QBF, using a conjunction over all  $i \in [n]$  to combine the matrix.

$$
\begin{aligned}\n\text{AE}(\varphi(X,Y)) &= \exists X \forall Y \exists C \cdot \bigwedge_{i \in [n]} [ \chi_i \to \psi_i ] \\
&= \exists X \forall Y \exists C \cdot \bigwedge_{i \in [n]} [\overline{\chi_i} \vee \psi_i ] \\
&= \exists X \forall Y \exists C \cdot \bigwedge_{i \in [n]} [\overline{\chi_i} \vee [(l_1, \overline{l_2}), (l_1, \overline{l_3}), (\overline{l_1}, l_2), (\overline{l_1}, l_3)] ] \\
&= \exists X \forall Y \exists C \cdot \bigwedge_{i \in [n]} [(\overline{\chi_i}, l_1, \overline{l_2}) \wedge (\overline{\chi_i}, l_1, \overline{l_3}) \\
&C_i = (l_1, l_2, l_3) \\
& \wedge (\overline{\chi_i}, \overline{l_1}, l_2) \wedge (\overline{\chi_i}, \overline{l_1}, l_3) ]\n\end{aligned}
$$

where the occurrence of  $\overline{\chi_i}$  within a clause merely stands for the union of  $\overline{\chi_i}$  with the surrounding clause.

# **6.2 Constructing a Critical Formula Family**

It is quite simple to construct corresponding (propositional) formulas that allow us to prove hardness using Theorem [2.](#page-4-2) We therefore define  $\varphi_n(X_n, Y_n)$  for  $n \in \mathbb{N}$  as following: Let  $X_n = \{x_i^a, x_i^b \mid i \in [n]\}\$ and  $Y_n = \{y_i \mid i \in [n]\}\$ . Let  $C_i = \{x_i^a, x_i^b, \overline{y_i}\}\$ for  $i \in [n]$  and

$$
\varphi_n(X_n,Y_n)=\bigwedge_{i\in[n]}C_i.
$$

The special feature of these formulas is that certain assignments from  $\langle X_n \rangle$  force certain assignments from  $\langle Y_n \rangle$  to ensure that each clause contains both true and false literals. We capture this in a definition:

**► Definition 19** (non-monotonicity-enforceable assignments). We call an assignment  $\beta \in \langle Y_n \rangle$ non-monotonicity-enforceable<sup>[5](#page-16-0)</sup> with respect to  $\varphi_n(X_n, Y_n)$ , iff there is an assignment  $\alpha \in \langle X_n \rangle$ *such that*  $\alpha$  *together with*  $\beta$  *results in every clause containing both true and false literals, but α combined with any assignment from*  $\langle Y_n \rangle \setminus \{\beta\}$  *results in at least one clause containing only true or only false literals.*

<span id="page-16-0"></span><sup>&</sup>lt;sup>5</sup> Please note that this monotonicity concept differs from the one generally used for clauses, where the polarity of the literals (and not their assignment) is considered.

It is easy to see that any assignment  $\beta \in \langle Y_n \rangle$  is enforceable by assigning  $\alpha(x_i^a) = \alpha(x_i^b)$  $\overline{\beta(y_i)}$  for  $i \in [n]$ :

<span id="page-17-1"></span>**Example 10.**  $\varphi_n(X_n, Y_n)$  *has*  $2^n$  *non-monotonicity-enforceable assignments to the variables in Yn.*

**Proof.** We consider any  $i \in [n]$  and some assignment  $\alpha \in \langle X_n \rangle$  which assigns  $x_i^a$  and  $x_i^b$  identically. Then, obviously, the only possibility to assign  $Y_n$  in compliance with the non-monotonicity condition is to assign  $y_i$  precisely as the  $x_i$ -variables (because otherwise  $C_i$  would only contain true or false literals). There are  $2^n$  different assignments in  $\langle X_n \rangle$ , which assign  $x_i^a$  and  $x_i^b$  identically for every  $i \in [n]$ . Thus, there are  $2^n$  non-monotonicity enforceable assignments to  $Y_n$ .

# **6.3 Hardness of the QBFs for QU-Res**

The findings from Lemma [20](#page-17-1) immediately lead to the conclusion, that  $AE(\varphi_n(X_n,Y_n))$  has high cost, since any non-monotonicity-enforceable assignment needs to be part of a winning strategy for the universal player:

<span id="page-17-2"></span>▶ **Theorem 21.**  $cost(AE(\varphi_n(X_n,Y_n))) \geq 2^n$ .

**Proof.** Let  $\varphi_n(X_n, Y_n)$  and  $AE(\varphi_n(X_n, Y_n))$  be constructed according to the descriptions in Section [6.](#page-15-0) Then according to Lemma [20,](#page-17-1) there are  $2<sup>n</sup>$  non-monotonicity-enforceable assignments to  $Y_n$ . This means (as the QBF just describes the problem of finding assignments which ensure non-monotonicity), that any of them must be part of a winning strategy for the universal player.  $\text{AE}(\varphi_n(X_n, Y_n))$  therefore has cost  $\geq 2^n$ .  $n$ .  $\blacksquare$ 

From Theorem [21](#page-17-2) and Theorem [2](#page-4-2) we infer:

 $\blacktriangleright$  **Corollary 22.** AE( $\varphi_n(X_n, Y_n)$ ) require proofs of exponential size in QU-Res.

## <span id="page-17-0"></span>**7 Discussion**

The contribution of the article lies less in the concrete formulas presented, but rather in the demonstration of a *general approach:* Generating hard QBFs from difficult mathematical problems. We know a lot of hard mathematical problems and quantifier alternations naturally appear in many of them. The potential of our method therefore appears to be large and it should be possible to construct numerous new hard QBF families. In particular, it becomes clear that for the hardness of the formulas, a family of the underlying mathematical structures must be found, which has special properties in each case. If, on the other hand, families that do not completely fulfil these conditions (or even random families) are used for the construction, formulas may be created that could be well suited as benchmarks for solver competitions. Also, it appears interesting to generate formulas from such mathematical structures that make them just *not* easy, i.e. intermediate between short (polynomial-size) proofs and exponential hardness. These could lead to interesting test cases for different solvers.

The special feature of our formulas lies in their naturalness – the selection of mathematical problems from the polynomial hierarchy results in very natural quantifier alternations in the constructed QBFs. The close link to mathematical problems is also advantageous for hardness proofs, as the underlying structures can be used to argue for high strategy size without having to analyse syntactic details of the sometimes quite complex QBFs.

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