

Announcements

- Presentations on April 17 : Upload video by April 12
- Presentations on April 24 : Upload video by April 19

Videos: 20 mins

Class Presentation: 10 mins plus 5-10 mins discussion

- 1-on-1 office hours to discuss your presentation : Today 5-7 pm
and next Thurs 5-7 pm
- HW2 posted
- Scribe Notes: 1st draft due one week after lecture

Today:

Upper Bounds for Random + semi-Random CNFs

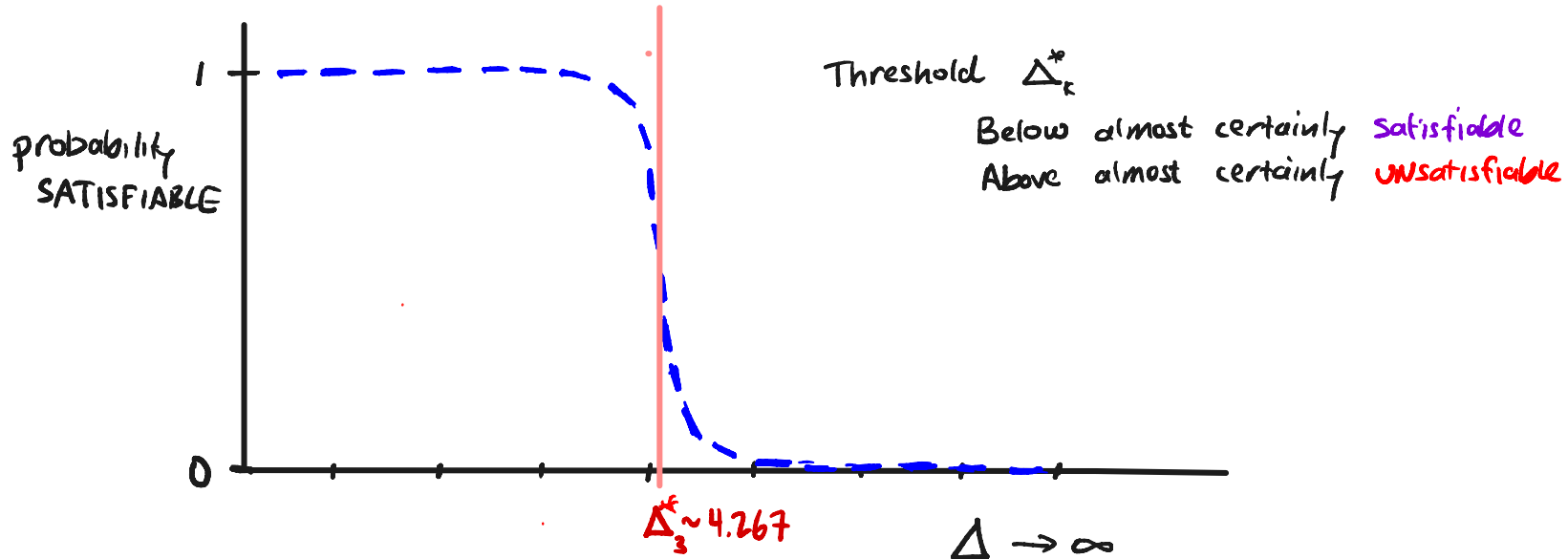
Applications: Lower Bounds for LDC's, LCC's

Other Nontrivial Upper Bounds and Open Q's

RANDOM K-CNFs

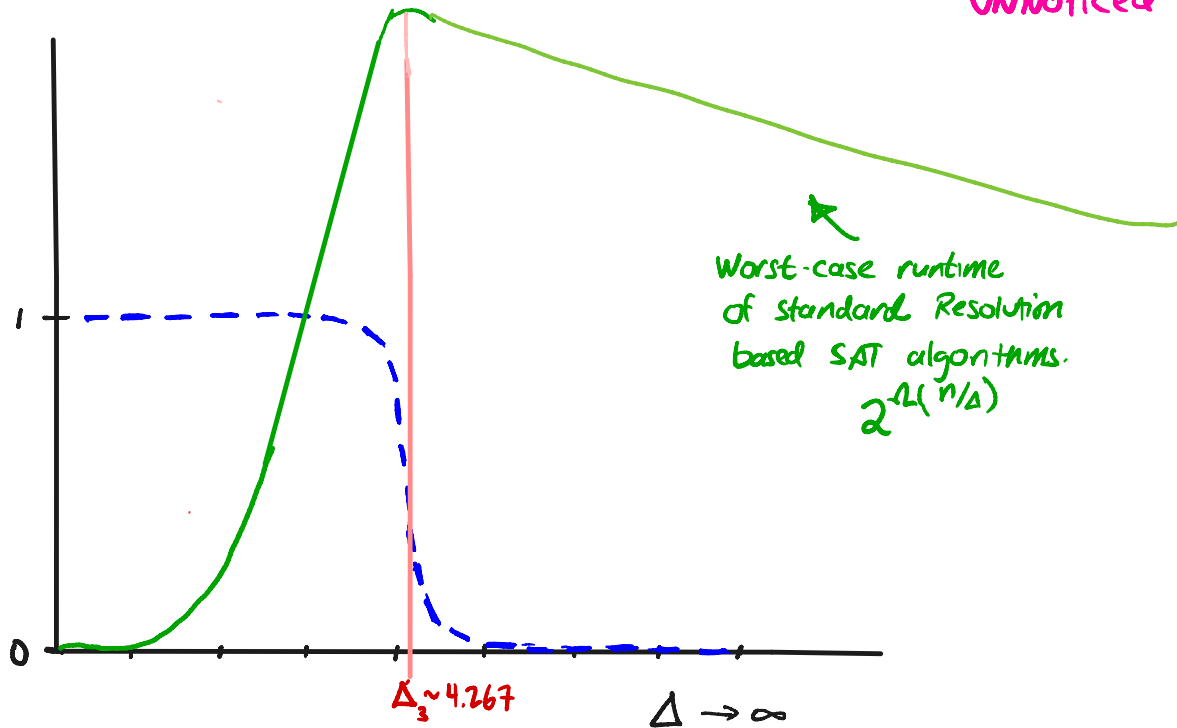
$f \sim \mathcal{H}(\Delta, n, k)$: pick $m = \Delta n$ clauses of width k

for $\Delta > 0$ suff large $f \sim \mathcal{H}(\Delta, n, k)$ UNSAT w.h.p.



Resolution-Based Algorithms for random KCNF

passing transition point
 Δ_k^* goes absolutely
UNNOTICED!



MOTIVATION

1. Structural properties relate to our understanding
2. Natural distributions as benchmark for SAT algorithms
3. Lower bounds for particular proof systems
(RES, SOS) give unconditional inapproximability for large family of algorithms

WHY IS IT SO HARD TO CERTIFY UNSAT OF RANDOM f ?

Counting argument doesn't seem to work:

Circuit complexity:

$2^{\text{poly}(n)}$ circuits of poly size $\ll 2^{2^n}$ Boolean functions

Proof complexity

of proofs of size $s \approx \#$ UNSAT formulas

Hypotheses of Feige, Krajicek/Razborov

Defn (Refutation algorithm) Algorithm A is a refutation algorithm for random KSAT, $f \sim \mathcal{F}(\Delta, n, k)$ if:

- A outputs YES with probability $> \frac{1}{2}$
- A outputs NO if ϕ is satisfiable

Feige's Hypothesis: $\exists \Delta > \Delta_k^*$ such that

There is no polytime refutation algorithm for $f \sim \mathcal{F}(\Delta, n, k)$:

Krajicek/Razborov Hypothesis: $\exists \Delta > \Delta_k^*$ such that

No proof system can efficiently refute $f \sim \mathcal{F}(\Delta, n, k)$:

UPPER BOUNDS FOR RANDOM SAT

	Poly-size UB
Resolution	$m > n^2 / \log n$ [Beame, Karp, P, Saks] ($n^{k-1} / \log n$)
* TC ⁰ Frege	$m \sim n^{1.4}$ [Feige, Kim, Ofek] [Müller, Tzameret]

← Poly sized refutations
exist but no
known poly time
algorithm to find
refutation

LOWER BOUNDS FOR RANDOM SAT

	Poly-size UB	Exponential LB
Resolution	$m > n^2 / \log n$ $K=3$ [Beame, Karp, P, Saks]	$m < n^{1.5}$ [Chvatal, Szemerédi] $K=O(1)$ [Beame, Karp, P, Saks] [Ben-Sasson, Wigderson]
Nullsatz		$m = O(n)$ $K=O(1)$ [Grigoriev]
Poly Calculus		$m = O(n)$ $K=O(1)$ [Buss, Grigoriev, Impagliazzo, P]
SOS		$m = O(n)$ $K=O(1)$ [Grigoriev, Schoenebeck]
Cutting Planes		$k = \Theta(\log n)$ $m = \text{poly}(n)$ [Fleming, Pankratov, P, Robere / Hrubes, Pudlak]
TC^0 Frege	$m \sim n^{1.4}$ [Feige, Kim, Ofek] [Müller, Tzameret]	?

Random + Semi-Random 3SAT

Random KSAT : Pick k -uniform hypergraph H over $\{x_1, \dots, x_n\}$ at random.

For each edge $C \in H$, randomly choose signs $b_1, \dots, b_k \in \{-1, 1\}$ of each literal.

whether variables in C occurs positively or negatively

Semi-random KSAT :

Fix arbitrary 3-hypergraph H over $\{x_1, \dots, x_n\}$, with m edges.

For each edge $C \in H$ randomly choose $b_1, b_2, b_3 \in \{-1, 1\}$

← hypergraph
Not random.
only signs
are
random

[Feige-Kim-Olek]:

Theorem whp there exists polysize Frege refutations for semirandom 3SAT instance, for $m \geq n^{1.4}$ clauses

← guruswami, Kothari, Manohar '22

Refuting Semi-Random 3SAT

Theorem whp there exists poly-size Frege refutations for semirandom 3SAT instance, for $m \geq n^{1.4}$ clauses

[Feige, Kim, Ofek]

[gurus name
Kothari, Manohar '22]

Proof Plan:

I. Reduce weak refutation for semirandom 3SAT to

(semi)-strong refutation for 3XOR via Feige XOR trick:

Weak vs Strong refutation of UNSAT CNF f :

weak refutation : proves $\text{val}(f) < 1$ $\text{val}(f) = \max_{\alpha} \left[\text{fraction of clauses satisfied by } \alpha \right]$

strong refutation : proves $\text{val}(f) < 1 - \epsilon$, $\epsilon > \frac{1}{n}$

Refuting Semi-Random 3SAT

Theorem whp there exists polysize Frege refutations for semirandom 3SAT instance, for $m \geq n^{1.4}$ clauses

[Feige, Kim, Ofek]

[guruswami
Kothari, Manohar'22]

Proof Plan:

I. Reduce weak refutation for semirandom 3SAT to (semi)-strong refutation for 3XOR via Feige XOR trick:

Theorem 2 Strong refutations for semi-random 3XOR with $m = n^{1.4}$ (show $\text{val}(f) < 1 - \frac{1}{n^\epsilon}$ whp) implies weak refutations of semi-random 3SAT, $m = n^{1.4}$

II. Theorem 1: $\exists$ strong refutations of semi-random 3XOR via Moore hypergraph bound.

Semi-strong Refutation for 3XOR

Theorem 1

Let $H = \{C_1, \dots, C_m\}$ be arbitrary 3-uniform hypergraph over $[n]$

Let Ψ_H be semi-random 3XOR given by 3XOR constraints:

$$\Psi_{H, \vec{b}} \stackrel{d}{=} \left\{ \bigoplus_2 \{\text{vars}(C_i)\} = b_i, \dots, \bigoplus_2 \{\text{vars}(C_m)\} = b_m \right\}$$

For $m \geq 100 n \left(\frac{n}{2}\right)^{1/2}$, whp over $\vec{b} \in \{0,1\}^m$

$$\text{val}(\Psi_{H, \vec{b}}) \stackrel{d}{=} \max \text{ fraction of satisfied constraints of } \Psi_{H, \vec{b}} \leq 1 - o\left(\frac{1}{\ell \log n}\right)$$

- To refute Ksat via strong KXOR refutations, we will set $\ell \sim n^{1/5}$

Hypergraph Moore Bound

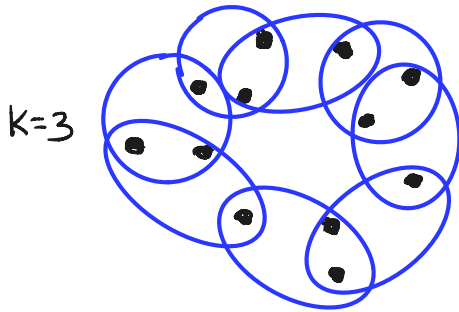
$k=2$ (ordinary graphs): Any graph with $\geq \frac{nd}{2}$ edges
has a cycle of length $\lesssim 2\log_{d+1} n$

Hypergraph Moore Bound

$k=2$ (ordinary graphs): Any graph with $\geq \frac{n^2}{2}$ edges
has a cycle of length $\lesssim 2\log_{d+1} n$ [Alon-Foory-Linial 2002]

Generalization to k -uniform hypergraphs: ($k=3$ here)

A "cycle" is an even cover: set of k -edges $\mathcal{H}' \subseteq \mathcal{H}$ such that
every vertex is contained in
an even number of edges in $\mathcal{H}'$



Hypergraph Moore Bound

Ferge conjecture (2008):

$\forall k \geq 2$, Every k -uniform hypergraph H with $m \geq n \left(\frac{n}{2}\right)^{\left(\frac{k}{2}-1\right)}$ edges contains an even cover of length $\lesssim 2 \log_2 n$



Proven up to polylogn factors

Guruswami - Kothari - Manohar '21

Hsieh - Kothari - Mohanty '22

H-K-M - Correlu - Sudakov '24

(we will sketch a simple proof time-permitting)

Semi-Strong Refutation for semi-random 3XOR

Theorem 1

Let $H = \{C_1, \dots, C_m\}$ be arbitrary 3-uniform hypergraph over $[n]$

Let Ψ_H be semi-random 3XOR given by 3XOR constraints:

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For $m \geq 100 n \left(\frac{n}{2}\right)^{\frac{1}{2}}$, whp over $\vec{b} \in \{0,1\}^m$

$$\text{val}(\Psi_{H, \vec{b}}) \stackrel{d}{=} \max \text{fraction of satisfied constraints of } \Psi_{H, \vec{b}} \leq 1 - O\left(\frac{1}{\ell \log n}\right)$$

Proof: H satisfies conditions of even cover Theorem (Moore bound)

(1) Find $\ell \log n$ length even cover.

(2) Remove all hyperedges in cover, let $H' = H - \text{even cover}$

H' still has $100m_0 - \ell \log n \geq m_0$ edges

(3) Repeatedly apply even cover theorem, partitioning $.99m_0$ hyperedges of H into disjoint even covers, each of size $\leq \ell \log n$

(4) since each even cover is linearly independent, $\sim \frac{1}{2}$ of the even covers will be unsatisfiable (RHS of equations will sum to 1 mod 2)

$\therefore$ in total at least $\frac{1}{2} \left(\frac{.99m_0}{\ell \log n} \right)$ constraints must be falsified

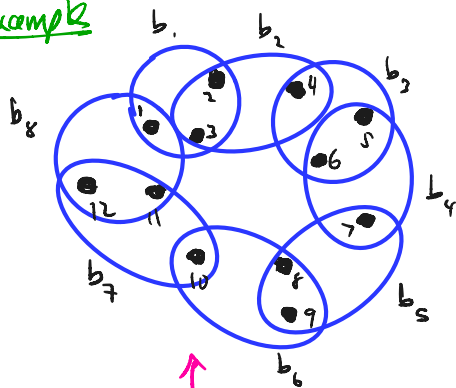
$\therefore$ whp $\text{val}(\Psi_H) \leq 1 - O\left(\frac{1}{\ell \log n}\right)$ $\square$

(4) since each even cover is linearly independent, $\sim \frac{1}{2}$ of the even covers will be unsatisfiable (RHS of equations will sum to 1 mod 2)

$\therefore$ in total at least $\frac{1}{2} \left(\frac{99 m_0}{2 \log n} \right)$ constraints must be falsified

$\therefore$ whp $\text{val}(\phi_H) \leq 1 - O\left(\frac{1}{2 \log n}\right)$

Example



even cover $9t' \in H'$

$$x_1 + x_2 + x_3 = b_1$$

$$x_2 + x_3 + x_4 = b_2$$

$$x_4 + x_5 + x_6 = b_3$$

$$x_5 + x_6 + x_7 = b_4$$

$$x_7 + x_8 + x_9 = b_5$$

$$x_8 + x_9 + x_{10} = b_6$$

$$x_{10} + x_{11} + x_{12} = b_7$$

$$x_{11} + x_{12} + x_1 = b_8$$

unsat iff $b_1 \oplus b_2 \oplus \dots \oplus b_m = 1 \pmod 2$

Proof of Hypergraph Moore Bound ($k=4$)

Hypergraph Moore Bound:

Every k -uniform hypergraph H with $m \sim n \left(\frac{n}{2}\right)^{\left(\frac{k}{2}-1\right)}$ edges contains an even cover of length $\leq \ell \log_2 n$

Warmup: $\ell=1$. Let's show every 4-uniform H with $\geq n^2$ edges contains a $\sim \log n$ length even cover

Pf Let g_H be a graph on $\binom{n}{2}$ vertices. $V = \{(i,j) \mid i < j < n\}$

edge $((i,j), (k,l)) \in g_H$ iff $\{i,j,k,l\} \in H$ and $i,j \leq k,l$

edges in g_H in 1-1 correspondence to hyperedges in H

cycles in g_H in 1-1 correspondence with an even cover in H

$\therefore$ follows by graph moore bound

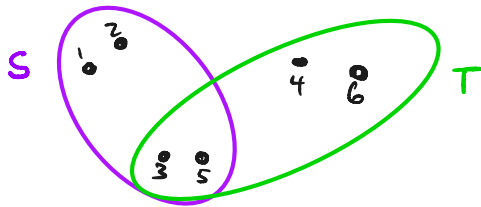
Proof of Hypergraph Moore Bound ($k=4$)

Let H be a 4-uniform hypergraph with $\geq n \left(\frac{1}{2}\right)^{\frac{k}{2}-1} \cdot \log n = \frac{n^2}{2} \log n$ edges.

Let $K_\ell(H)$ be the level- ℓ Kikuchi graph of H :

Vertices of $K_\ell(H)$: all $\binom{[n]}{\ell}$ ℓ -subsets of $[n]$

Edges of $K_\ell(H)$: (S, T) is an edge iff $S \oplus T \in H$



$(S, T) \in \text{edge}(K_\ell(H))$
iff $\{1, 2, 4, 6\} \in H$

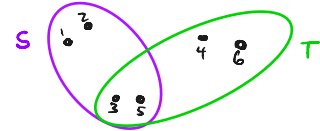
Proof of Hypergraph Moore Bound ($K=4$)

Let H be a 4-uniform hypergraph with $\geq n \left(\frac{1}{2}\right)^{\frac{K-1}{2}} \cdot \log n = \frac{n^2}{2} \log n$ edges.

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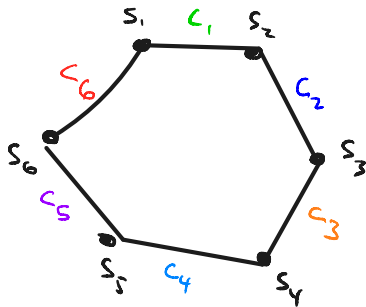


color edge (S, T) in $K_\ell(H)$
by $C = S \oplus T$

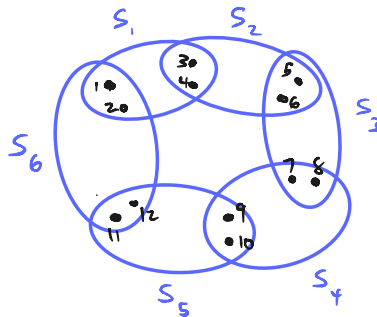
Claim

A closed walk in $K_\ell(H)$ $\rightarrow$ even cover in H
where some color appears an odd # of times
(even cover = set of C_i 's that occur an odd # of times in walk)

$K=4$
 $\ell=4$



closed walk in $K_\ell(H)$



$$\begin{aligned} S_1 \oplus S_2 &= C_1 = \{1, 2, 5, 6\} \\ S_2 \oplus S_3 &= C_2 = \{3, 4, 7, 8\} \\ S_3 \oplus S_4 &= C_3 = \{5, 6, 9, 10\} \\ S_4 \oplus S_5 &= C_4 = \{7, 8, 11, 12\} \\ S_5 \oplus S_6 &= C_5 = \{9, 10, 1, 2\} \\ S_6 \oplus S_1 &= C_6 = \{11, 12, 3, 4\} \end{aligned}$$

even cover in H

Proof of Hypergraph Moore Bound ($k=4$)

Thus it suffices to prove the following Lemma:

MAIN LEMMA: Let H be 4-uniform hypergraph with $\geq \frac{n^2}{2} \log n$ edges.

Let $g = K_2(H)$ be colored Kikuchi graph for H . Then g has a closed walk of length $\leq 2 \log n$ where each color on walk occurs exactly once.
rainbow walk

Lemma Let g have nd edges. Then g contains a subgraph $g' \subseteq g$ with minimum degree $d' \geq d/4$ and at least $nd/2$ edges.

Proof of Hypergraph Moore Bound ($k=4$)

MAIN LEMMA: Let H be 4-uniform hypergraph with $\geq \frac{n^2}{2} \log n$ edges.

Let $g = K_2(H)$ be colored Kikuchi graph for H . Then g has a closed walk of length $\leq 2 \log n$ where each color on walk occurs exactly once.
rainbow walk

Pf (double count rainbow paths of length 2 in g)

G has $N = \binom{n}{2}$ vertices

Edges: each $C \in H$ contributes $\binom{4}{2} \binom{n-4}{2-2}$ edges to G .

$\therefore G$ has $\geq \frac{n^2}{2} \log n \geq 20N \log N$ edges, so avg degree $\sim 20 \log N \sim 20 \log n$

Assume fsc that G contains no short closed rainbow walks.

Let $G' \subseteq G$ be subgraph guaranteed by lemma, mindegree $d' \geq 5 \log N$

Let $q = \log N \sim 2 \log n$

(i) # of length- q rainbow paths in $G \geq N d' \cdot (d'-1) \cdot (d'-2) \cdot \dots \cdot (d'-q+1) \geq N (q!)^2 = (1.8 d')^2$

(ii) # length- q rainbow paths $\leq N^2 \cdot q! \approx 4^q \cdot q^2 = (4q)^2$ $\leftarrow$ if $\exists$ a closed rainbow walk then set of colors on every rainbow walk must use same set of q colors

Contradiction since $4q < 1.8 d'$

Theorem 2 Semi-strong KXOR Refutations $\rightarrow$ Weak KSAT Refutations

Semirandom KSAT:

Fix arbitrary 3-hypergraph H over $\{x_1, \dots, x_n\}$, with m edges.

For each edge $C \in H$ randomly choose $b_1^C, b_2^C, b_3^C \in \{-1, 1\}$

For each clause (C, b_1^C, b_2^C, b_3^C) its Fourier representation over $\mathbb{F}_2$ ($x_i \in \{-1, 1\}$) is:

$$p(C, b_1^C, b_2^C, b_3^C) \stackrel{d}{=} \frac{7}{8} + \frac{1}{8} (b_1 x_1 + b_2 x_2 + b_3 x_3 + b_1 b_2 x_1 x_2 + b_1 b_3 x_1 x_3 + b_2 b_3 x_2 x_3 + b_1 b_2 b_3 x_1 x_2 x_3)$$

Example: $C = \{x_1, x_2, x_3\}$ $b_1 = b_2 = b_3 = -1$ so clause is $(x_1 \vee x_2 \vee x_3)$

$$\text{Fourier representation} = \frac{7}{8} + \frac{1}{8} (-x_1 - x_2 - x_3 + x_1 x_2 + x_1 x_3 + x_2 x_3 - x_1 x_2 x_3)$$

Defn

Let $\Psi_H = \{(C_1, b^{C_1}), (C_2, b^{C_2}), \dots, (C_m, b^{C_m})\}$ be a semirandom 3SAT

$$\text{Then } \text{val}(\Psi) = \frac{1}{m} \cdot \max_{x \in \{-1, 1\}^n} \sum_{i=1}^m p(C_i, b^{C_i})$$

$\leftarrow \text{val}(\Psi)$ is max fraction of satisfied clauses in Ψ

Defn

Let $\Psi = \{ (c_1, b^{c_1}), (c_2, b^{c_2}), \dots, (c_m, b^{c_m}) \}$ be a semirandom 3SAT

$$\text{Then } \text{val}(\Psi) = \max_{x \in \{-1, 1\}^n} \underbrace{\frac{1}{m} \sum_{i=1}^m P(c_i, b^{c_i})}_P \quad \leftarrow \text{val}(\Psi) \text{ is max. fraction of satisfied clauses in } \Psi$$

Write P as sum of 8 polynomials:

P_0 = all constant terms

P_1 = all linear terms

P_2 = all quadratic terms

P_3 = all degree 3 terms (3xors)

$$\text{val}(\Psi) \leq \underbrace{\max_x P_0}_{\frac{7}{8}} + \underbrace{\max_x P_1}_{\frac{1}{8} \cdot O(\sqrt{n/m} \sqrt{\log n})} + \underbrace{\max_x P_2}_{\frac{1}{8} \cdot O(\sqrt{n/m} \sqrt{\log n})} + \underbrace{\max_x P_3}_{\frac{1}{8} (1 - O(\frac{1}{\ell \log n}))}$$

We'll show:

$$\text{val}(\psi) \leq \underbrace{\max_x p_0}_{\frac{7}{8}} + \underbrace{\max_x p_1}_{\frac{1}{8} \cdot O(\sqrt{\frac{n}{m}} \sqrt{\log n})} + \underbrace{\max_x p_2}_{\frac{1}{8} \cdot O(\sqrt{\frac{n}{m}} \sqrt{\log n})} + \underbrace{\max_x p_3}_{\frac{1}{8}(1 - O(\frac{1}{l \log n}))}$$

we'll show:

Assuming these upper bounds, and $m = O(n \sqrt{\frac{n}{l}} \log n)$

$$\text{val}(\psi) \leq \frac{7}{8} + \left(\frac{l}{n}\right)^{1/4} + \frac{1}{8}(1 - O(\frac{1}{l \log n})) = 1 + \left(\frac{l}{n}\right)^{1/4} - O(\frac{1}{l \log n})$$



this is < 1 if $\left(\frac{l}{n}\right)^{1/4} < \frac{1}{l \log n}$

This happens if $l^{5/4} < n^{1/4}$, so setting $l < n^{1/5}$ achieves this.

choosing $l = n^{1/5}$ gives $m = n^{1.4}$

So it is left to prove the claimed **upper bounds**.

Degree 3 terms (3xor2 part)

upper bound on $\text{val}(P_3)$ follows by **Theorem 1** !

UPPER bounds for linear part (P_1) and quadratic part (P_2) is easier.
We sketch proofs of these next.

Linear terms

Say x_i occurs in n_i many clauses.

Because signs are random, the coefficient in front of x_i has expectation $\sim \frac{\sqrt{n_i}}{m}$

$$\therefore P_1 = \frac{1}{m} \sum_i \sqrt{n_i} x_i$$

$$\therefore \max_{x \in \{-1, 1\}^n} P_1 \leq \frac{n}{m} \frac{1}{n} \sum_i \sqrt{n_i} \leq \frac{n}{m} \sqrt{\frac{1}{n} \sum_i n_i} = \frac{n}{m} \sqrt{\frac{m}{n}} = O(\sqrt{\frac{n}{m}})$$

↑
Cauchy-Schwarz

Quadratic terms

Key idea: we can write quadratic part as $\frac{1}{m} x^T \left(\sum_{c \in H} a_c A_c \right) x$

where $A_c = n \times n$ matrix with 1 in (i, j) iff $x_i, x_j \in c$

a_c = coefficient of $x_i x_j$ in Fourier expansion of clause (c, b^c)

Note nonzero entries of $\sum_c a_c A_c$ are determined by H , but sign (± 1) is random.

$$\therefore \frac{1}{m} x^T \left(\sum_c a_c A_c \right) x \leq \frac{n}{m} \left\| \sum_c a_c A_c \right\|_2 \quad \text{since } \|x\|_2 = \sqrt{n}$$

By Matrix Khintchine (Matrix Chernoff bound):

$$\left\| \sum_c a_c A_c \right\|_2 \leq \sqrt{\sum_c A_c^2}^{1/2} \sqrt{\log m} \leq \sqrt{\frac{m}{n}} \sqrt{\log n}$$

assuming H is random.
more complicated arg
if H not random.

$$\therefore \max_x p_2 \leq \frac{n}{m} \left\| \sum_c a_c A_c \right\|_2 \leq \frac{n}{m} \sqrt{\frac{m}{n}} \sqrt{\log n} = \sqrt{\frac{n}{m}} \sqrt{\log n}$$

Remarks

(1) The whole proof can be formalized in polysized Frege pf.

The hard part (Theorem 1) actually formalized in much weaker system — poly-size PC refutation

(2) No improvements to $m \geq n^{1.4}$ given in original FKO paper.

(3) Strong LBs for Resolution refutations:

for $m \leq n^{5/4 - \varepsilon}$ 3-clauses, Resolution refutations require exponential size

Application: Locally Decodable Codes

0	1	0	1	1	0	1
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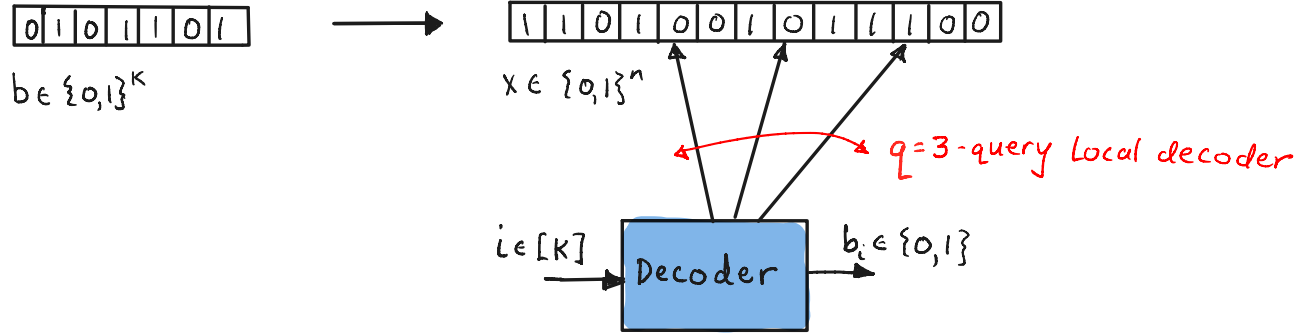
$b \in \{0,1\}^k$



1	1	0	1	0	0	1	0	1	1	1	0	0
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$x \in \{0,1\}^n$

Locally Decodable Codes

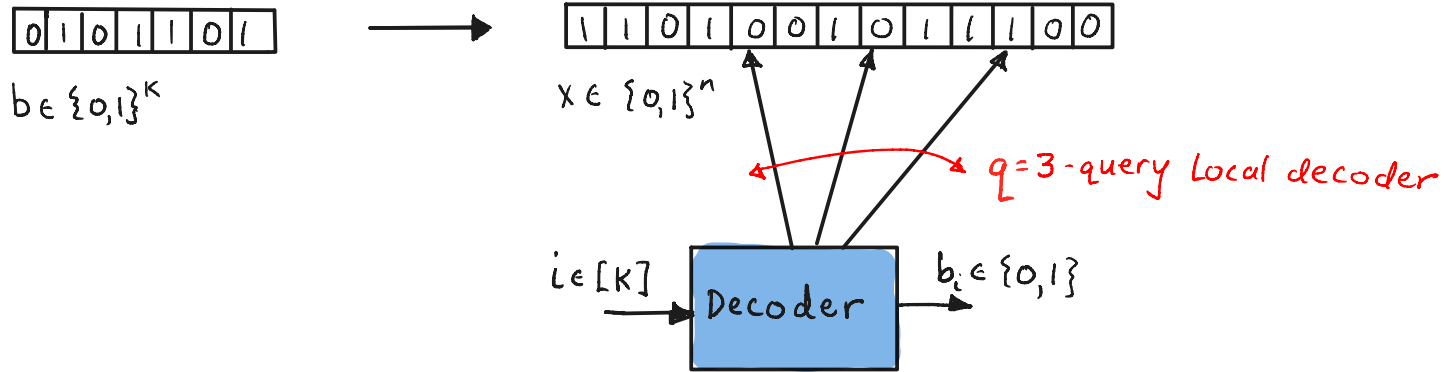


(q, ϵ, δ) -LDC: Given received word x with $\leq \delta$ fraction of errors,
for any position i , $\text{Decoder}(i, x) = x_i$ with probability $\geq 1 - \epsilon$

Applications: PCP's, Private Information Retrieval, secret sharing,
worst-to-avg case reductions, Distributed computation, ...

Open: Does there exist $q = O(1)$ LDC with $n = \text{poly}(K)$?

Locally Decodable Codes



Best construction

$K \rightarrow 2^{K^\epsilon}$ "Matching Vector Codes" [Yek'08, Efr09, DgY'11]

New Lower Bounds

$n = \Omega(K^3)$ for 3-query LDC's

[AGKM23] (see references at end)

$n = 2^{\Omega(K)} for linear 3-query LCC's$

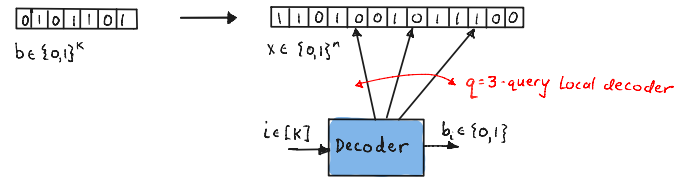
[Kothari, Manohar'23]

SEMI-RANDOM XORs & LDC LOWER BOUNDS

* Breakthrough Lower Bounds:

formalized as system of semi-random

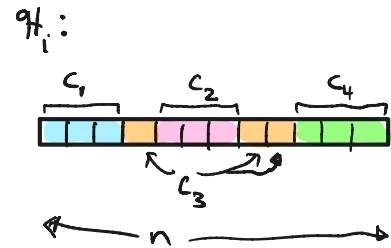
XOR constraints: $\mathcal{H} = \{F_\beta \in \{0,1\}^K : F_\beta\}$



Normal Form [Yek'08]

$\exists$ 3-uniform hypergraph matchings $\mathcal{H}_1, \dots, \mathcal{H}_K$, each $\mathcal{H}_i$ over $\{1, \dots, n\}$

Decoding: on $i \in [K]$ pick random $C \in \mathcal{H}_i$, output $\sum_{v \in C} x_v \bmod 2$



System of XORs: $\forall \beta \in \{0,1\}^K : F_\beta = \{ \forall i \in [K], C \in \mathcal{H}_i : \sum_{v \in C} x_v = \beta_i \}$

Lemma: F_β highly UNSAT for random $\beta \Rightarrow$ LB $\Omega(n)$ for LDC's

Proof based on ideas in semirandom CSP refutations

Other Nontrivial Upper Bounds

[Razborov 95] Formalized " $f \in C$ " by propositional CNF

Proved standard Lower Bounds : $\begin{cases} \text{PARITY} \in AC^0 \\ \text{CLIQUE} \in \text{monotone P/poly} \end{cases}$

have polysize EF proofs

[Buss 06], [Aisenberg, Bonnet, Buss] Proved several combinatorial properties believed to be hard for Frege have efficient Frege proofs

$\left[\begin{matrix} \text{Buss} \\ \text{Kabanets} \\ \text{Kolokolova} \\ \text{Koucký} \end{matrix} \right]$: Proved existence of expander graphs can be proven with polysized EF proofs

[Pich] : PCP Theorem has polysize EF proofs

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