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# Proof Complexity Modulo the Polynomial Hierarchy: Understanding Alternation as a Source of Hardness

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## Abstract

We present and study a framework in which one can present alternation-based lower bounds on proof length in proof systems for quantified Boolean formulas. A key notion in this framework is that of *proof system ensemble*, which is (essentially) a sequence of proof systems where, for each, proof checking can be performed in the polynomial hierarchy. We introduce a proof system ensemble called *relaxing QU-res* which is based on the established proof system *QU-resolution*. Our main results include an exponential separation of the tree-like and general versions of relaxing QU-res, and an exponential lower bound for relaxing QU-res; these are analogs of classical results in propositional proof complexity.

## 1 Introduction

**Background.** Traditionally, the area of *propositional proof complexity* studies proof length in propositional proof systems for certifying the unsatisfiability of instances of the *SAT problem*, which instances are quantifier-free propositional formulas [16, 5, 26]. This line of study is supported by multiple motivations; let us highlight a few. First, while satisfiable formulas can be easily certified by a satisfying assignment, it is also natural to desire efficiently verifiable proofs for unsatisfiable formulas (for instance, to check that a SAT algorithm judged unsatisfiability correctly); understanding whether and when proof systems have succinct proofs is a prime concern of this area. Relatedly, *SAT algorithms* for deciding the SAT problem can be typically shown to implicitly generate proofs in a proof system, and thus insight into proof length in the resulting proof system can be used to gain insight into the running-time behavior of SAT algorithms (see for example the discussions in [4, 1]). In addition, the question of whether or not there are proof systems admitting *polynomially bounded proofs* is (when formalized) equivalent to the question of whether or not NP is equal to coNP [16], and one can thus suggest that studying proof length in propositional proof systems sheds light on the relationship between these two complexity classes.

Over recent years, researchers have devoted increasing attention to methods for solving the *QBF problem*, a generalization of the SAT problem and a canonical PSPACE-complete problem; an instance of this problem is a propositional formula where each variable is either existentially or universally quantified. (*QBF* is short for *quantified Boolean formula*.) It is often suggested that the move to studying this more general problem is based on advances in the efficacy of SAT algorithms (see for example [27]). As reinforces this suggestion, let us point out that one can find QBF solution techniques which use SAT algorithms as black-box, primitive components, and hence which arguably conceive of and treat the SAT problem as feasibly solvable. For instance, sKizzo, a QBF solver dating back to 2005, would convert the QBF being processed to a SAT instance and then call a SAT solver, whenever this was *affordable* [8]. As another example, a

different QBF solver which extensively calls a SAT solver during a backtrack-style search was developed and studied [25].

The rise in the study of the QBF problem has resulted in the identification of a number of core algorithmic techniques and corresponding proof systems that aim to capture these (see for example [13, 18, 17, 23, 3, 21, 9, 10] and the references therein). We refer to these proof systems as *QBF proof systems*; they can be used as a basis for certifying a decision for a QBF instance. One can motivate the study of QBF proof systems in much the same way that the study of propositional proof systems has been motivated; hence, these QBF proof systems would seem to suggest a new chapter in the study of proof complexity, and a new domain for the existing lines of inquiry thereof.

However, one is immediately confronted with a dilemma upon inspecting the very basic question of whether or not a typical QBF proof system requires long (exponentially sized) proofs—again, a primary type of question in traditional proof complexity. As an example, let us discuss *Q-resolution* [13], a QBF proof system which is heavily studied and used, in both theory and practice (see for example [2, 19, 18, 22, 23, 3, 9] and the references therein). When applied to SAT instances (viewed as instances of QBF where all variables are existentially quantified), Q-resolution behaves identically to resolution (a heavily studied propositional proof system), and hence the known exponential lower bounds on resolution proof length [20, 7] transfer immediately to Q-resolution. This observation leaves one with a lingering sentiment—which is often expressed by members of the community—that there is something left to be said. After all, Q-resolution is defined on QBF instances, which are substantially more general than SAT instances; the observation does not yield any information about how Q-resolution handles this extra generality, that is, how it copes with alternation of quantifiers. Indeed, there is a sharp disconnect between observing a lower bound for a QBF proof system via a set of SAT instances, and the mentioned treatment of the SAT problem, by QBF algorithms, as a feasibly solvable primitive. These considerations naturally lead to the question of whether or not one can formulate and prove a lower bound which arises from alternation.

**Contributions.** In this article, we present and study a framework in which it is possible to present such alternation-based lower bounds on proof length in QBF proof systems.

We define a *proof system ensemble* to be an infinite collection of proof systems, where in each proof system, whether or not a given string  $\pi$  constitutes a proof of a given formula  $\Phi$  can be checked in the polynomial hierarchy (Definition 3.1). A proof system ensemble is considered to have *polynomially bounded proofs* (for a language) if it contains a proof system which has polynomially bounded proofs in the usual sense (Definition 3.3). As a result, it is straightforward to define proof system ensembles that have succinct proofs for any set of QBFs with bounded alternation, such as a set of SAT instances (and the proof system ensembles studied herein all have this property); this in turn forces proof length lower bounds, by nature, to arise from a proof system’s inability to cope with quantifier alternation.<sup>1</sup> In terms of complexity classes, the question of whether or not there exists a polynomially bounded proof system ensemble for the QBF problem (or any other PSPACE-complete problem) is equivalent to the question of whether or not PSPACE is contained in PH, the polynomial hierarchy (Proposition 3.4). Indeed, the relationship that traditional proof complexity bears to the NP equals coNP question is analogous to the relationship between the present framework and the PSPACE equals PH question. (Let us point out that no direct implication is known between these two open questions, and so, in a certain sense, progress in one framework may proceed orthogonally to progress in the other!)

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<sup>1</sup> Note that there is, a priori, a difference between allowing proof systems oracle access to the SAT problem—which would be natural for modelling QBF solvers that treat the SAT problem as feasibly solvable—and allowing oracle access to arbitrary levels of the PH. We focus on the latter for various reasons: the proof length lower bounds will arise from alternation; we believe that this results in a more robust model; and, this focus causes the proof length lower bounds, which are here of primary interest, to be stronger.

One of our main motivations in pursuing this work was to gain further insight into Q-resolution; here, we focus on a slight extension, *QU-resolution* [18], where from existing clauses one can derive new clauses in two ways: by a rule for eliminating literals on universally quantified variables and by resolving two clauses on any variable (in Q-resolution, one can only resolve on existentially quantified variables). Q-resolution, QU-resolution, and their relatives are typically defined only for clausal QBFs—QBFs that consist of a quantifier prefix followed by a conjunction of clauses. We show how to parameterize and lift QU-resolution to obtain a proof system ensemble which we call *relaxing QU-res* which is in fact defined on arbitrary QBFs (indeed, it is defined on what we call *quantified Boolean circuits*), and not just those in clausal form; relaxing QU-res is the main proof system ensemble that we study. Let us overview how we define it.

- We define an *axiom* of a QBF to be a clause which is, in a certain precise sense, entailed by the QBF (see Section 4.1).
- We then show that, given a QBF  $\Phi$  and a partial assignment  $a$  to some of its variables, one can define a QBF  $\Phi[a]$  derived naturally from  $\Phi$ , where the variables on which  $a$  is defined have been instantiated (in a certain precise sense; see Section 4.2). This QBF  $\Phi[a]$  has the key property that if it is false, then the clause corresponding to  $a$  is an axiom of the QBF  $\Phi$  (see Proposition 4.3 for a precise statement). We view the notion of inferring clauses from the falsity of QBFs whose variables are partially instantiated as highly natural; indeed, in the case of SAT, performing such inferences is a basis of modern backtracking SAT solvers that perform *clause learning*.
- Recall that each proof system in our proof system ensemble may use, as an oracle, a level of the PH; in particular, the QBF problem restricted to a constant number of alternations may be used as an oracle. In order to infer clauses from a QBF  $\Phi$  using the method just described, we need a way of detecting falsity of QBFs having the form  $\Phi[a]$ . But in general, this is difficult; such a QBF  $\Phi[a]$  may have a high number of alternations, and thus might not be immediately decidable using an oracle of the described form. To the end of permitting the falsity detection of QBFs  $\Phi[a]$  using such oracles, we define the notion of a *relaxation* of a QBF. A relaxation of a QBF  $\Phi$  is obtained from  $\Phi$  by changing the order of the quantifier/variable pairs in the quantifier prefix; roughly speaking, such a pair  $Qv$  may be moved to the left if  $Q$  is the universal quantifier ( $\forall$ ), and may be moved to the right if  $Q$  is the existential quantifier ( $\exists$ ). (See Section 4.2 for the precise definition.) A key property of this notion is that if a relaxation of a QBF  $\Phi$  is false, then the QBF  $\Phi$  is false (Proposition 4.4).

With this notion of relaxation in hand, we define, for each  $k \geq 2$ , the set  $H(\Phi, \Pi_k)$  to contain the axioms that arise from QBFs  $\Phi[a]$  having  $\Pi_k$ -relaxations (relaxations with a  $\Pi_k$  prefix) that are false. That is, in this set we collect the axioms obtainable by detecting falsity of QBFs  $\Phi[a]$  via the consideration of  $\Pi_k$ -relaxations. (Hence, the detection is sound in that it is always correct, but it is not complete). Note that it holds that

$$H(\Phi, \Pi_2) \subseteq H(\Phi, \Pi_3) \subseteq H(\Phi, \Pi_4) \subseteq \dots$$

- This gives us a sequence of versions of QU-resolution: for each  $k$ , we obtain a version by defining a proof to be a sequence of clauses derived from the axioms  $H(\Phi, \Pi_k)$  and the two aforementioned rules of QU-resolution. This sequence is the proof system ensemble *relaxing QU-res*. Let us remark that each of these versions is sound and complete, in a precise sense (see Definition 3.1 and Proposition 4.7).

A couple of remarks are in order. First, note that the empty clause is an axiom in  $H(\Phi, \Pi_k)$  whenever  $\Phi$  is a false QBF whose quantifier prefix is  $\Pi_k$ . Consequently, relaxing QU-res is polynomially bounded on any set of false QBFs having bounded alternation (this is discussed in Section 4.2). Let us also note that although here we explicitly lift QU-resolution to a proof system ensemble, the approach that we take here can be applied to analogously lift any proof system which is based on deriving clauses from a set of axiom clauses.

Apart from the formulation of the framework, our main results are as follows. We prove an exponential separation between the tree-like and general versions of relaxing QU-res (Section 6), by exhibiting a set of formulas which have polynomial size QU-resolution proofs, but which require exponential size proofs in tree-like relaxing QU-res; this gives an alternation-based analog of the known separation between tree-like and general resolution [12, 6]. Tree-like QU-resolution proofs can be viewed as the traces of a natural backtrack-style QBF decision procedure (this is evident from the viewpoint in Section 4.3, and is also developed explicitly in [14, Section 4.3]), and so this separation formally differentiates the power of such backtracking and general QU-resolution. The lower bound of this separation is based on a prover-delayer game for tree-like QU-resolution proofs (Section 5), which can be viewed as a generalization of a known prover-delayer game for tree-like resolution [24]; note that recently and independently of our work [15], a game similar to ours was presented for tree-like Q-resolution [11]. We also prove an exponential lower bound for relaxing QU-res (Section 7).

All in all, the ideas and techniques developed in this work draw upon and interface concepts from two-player game interaction, proof complexity, and quantified propositional logic. We believe that further progress could benefit from creative input from each of these areas, and certainly look forward to future research on the presented framework.

**Note that some proofs have been deferred to the appendix.**

## 2 Preliminaries

For each integer  $k$ , we use  $[k]$  to denote the set that is equal to  $\{1, \dots, k\}$  when  $k \geq 1$ , and that is equal to the empty set  $\emptyset$  when  $k < 1$ . We use  $\mathbb{N}$  to denote the natural numbers  $\{0, 1, 2, \dots\}$ .

We use  $\text{dom}(f)$  to indicate the domain of a function. A function  $f$  is a *restriction* of a function  $g$  if  $\text{dom}(f) \subseteq \text{dom}(g)$  and, for each  $a \in \text{dom}(f)$ , it holds that  $g(a) = f(a)$ ; when this holds, we also say that  $g$  is an *extension* of  $f$ . When  $f$  is a function, we use  $f[a \rightarrow b]$  to denote the function on domain  $\text{dom}(f) \cup \{a\}$  that maps  $a$  to  $b$ , and otherwise behaves like  $f$ . We write  $f \upharpoonright S$  to denote the restriction of a function  $f$  to the set  $S$ . We say that two functions  $f$  and  $g$  *agree* if for each element  $a \in \text{dom}(f) \cap \text{dom}(g)$ , it holds that  $f(a) = g(a)$ .

When  $A$  and  $B$  are sets, we use  $[A \rightarrow B]$  to denote the set of functions from  $A$  to  $B$ .

**Clauses.** In this article, we employ the following terminology to discuss clauses. A *literal* is a propositional variable  $v$  or the negation  $\bar{v}$  thereof. Two literals are *complementary* if one is a variable  $v$  and the other is  $\bar{v}$ ; each is said to be the *complement* of the other. A *clause* is a disjunction of literals that contains, for each variable, at most one literal on the variable. A clause is sometimes viewed as the set of the literals that it contains; two clauses are considered equal if they are equal as sets. A clause is *empty* if it does not contain any literals. The variables of a clause are simply the variables that underlie the clause's literals, and the set of variables of a clause  $\alpha$  is denoted by  $\text{vars}(\alpha)$ . When  $\alpha$  is a clause, we use  $\text{assign}(\alpha)$  to denote the unique propositional assignment  $f$  with  $\text{dom}(f) = \text{vars}(\alpha)$  such that  $\alpha$  evaluates to false under  $f$ . In the other direction, when  $f$  is a propositional assignment, we use  $\text{clause}(f)$  to denote the unique clause  $\alpha$  with  $\text{vars}(\alpha) = \text{dom}(f)$  that evaluates to false under  $f$ . *We will freely and tacitly interchange between a clause*

$\alpha$  and its corresponding assignment  $\text{assign}(\alpha)$ . A clause  $\gamma$  is a *resolvent* of two propositional clauses  $\alpha$  and  $\beta$  on variable  $v$  if there exists a literal  $L \in \alpha$  such that its complement  $M$  is in  $\beta$ ,  $\gamma = (\alpha \setminus \{L\}) \cup (\beta \setminus \{M\})$ , and  $v$  is the variable underlying  $L$  and  $M$ .

**Quantified Boolean circuits and formulas.** We assume basic familiarity with quantified propositional logic. A *QBC* (short for *quantified Boolean circuit*) consists of a quantifier prefix  $\vec{P} = Q_1 v_1 \dots Q_n v_n$ , where each  $Q_i$  is a quantifier in  $\{\forall, \exists\}$  and each  $v_i$  is a propositional variable; and, a Boolean circuit  $\phi$  built from the constants 0 and 1, propositional variables among  $\{v_1, \dots, v_n\}$ , and the gates AND ( $\wedge$ ), OR ( $\vee$ ), and NOT ( $\neg$ ). We refer to the computational problem of deciding whether or not a QBC is false as the *QBC problem*. For brevity, we sometimes refer to existentially quantified variables as  $\exists$ -variables, and universally quantified variables as  $\forall$ -variables. While it is typical to notate a QBC by simply specifying the prefix  $\vec{P}$  immediately followed by the circuit  $\phi$ , we will typically separate these two parts by a colon for the sake of readability, using for example  $\vec{P} : \phi$ . We assume that each quantifier prefix does not contain repeated variables. When  $\Phi = \vec{P} : \phi$  is a QBC, by a *partial assignment of  $\Phi$* , we refer to a propositional assignment  $f : S \rightarrow \{0, 1\}$  defined on a subset  $S$  of the variables appearing in  $\vec{P}$ . A *QBF* is a QBC  $\vec{P} : \phi$  where  $\phi$  is a Boolean formula. A *clausal QBF* is a QBF  $\vec{P} : \phi$  where  $\phi$  is the conjunction of clauses.

**Quantifier prefixes.** Let  $i \geq 1$ . A quantifier prefix  $\vec{P} = Q_1 v_1 \dots Q_n v_n$  is  $\Pi_i$  if  $Q_1 \dots Q_n$ , viewed as a string over the alphabet  $\{\forall, \exists\}$ , is contained in the language denoted by the regular expression  $\forall^* \exists^* \forall^* \exists^* \dots$ , which contains  $i$  starred quantifiers, beginning with  $\forall^*$  and alternating;  $\Sigma_i$  is defined similarly, but with respect to the regular expression  $\exists^* \forall^* \exists^* \forall^* \dots$ .

The following notation is relative to a quantifier prefix  $\vec{P} = Q_1 v_1 \dots Q_n v_n$ ; when we use it, the prefix will be clear from context. We write  $v_i \leq v_j$  if  $i \leq j$  or if  $j < i$  and  $Q_j = Q_{j+1} = \dots = Q_i$ . We extend this binary relation (and others) to sets in the following natural way: when  $U$  and  $V$  are sets of variables, we write  $U \leq V$  if for each  $u \in U$  and each  $v \in V$ , it holds that  $u \leq v$ . We also write, for example, that  $U \leq v$  for a single variable  $v$  when  $U \leq \{v\}$ . We write  $v_i \equiv v_j$  if  $v_i \leq v_j$  and  $v_j \leq v_i$ . It is straightforward to verify that  $\equiv$  is an equivalence relation; we refer to each equivalence class of  $\equiv$  as a *quantifier block*. We write  $v_i \preceq v_j$  if  $v_i \leq v_j$  and  $v_i \not\equiv v_j$ . When  $S$  is a set of variables, we use  $\text{last}(S)$  to denote the variable of  $S$  appearing last in the quantifier prefix, that is, the variable  $v_m$ , where  $m = \max\{i \mid v_i \in S\}$ . Typically, when we use the function  $\text{last}(S)$ , it is in conjunction with the just-defined binary relations, and hence what is most relevant will be the relative location of the quantifier block of  $\text{last}(S)$ .

**Strategies.** Let  $\Phi = \vec{P} : \phi$  be a QBC; let  $X$  denote the  $\exists$ -variables of  $\Phi$ , and let  $Y$  denote the  $\forall$ -variables of  $\Phi$ . When  $x \in X$ , define  $Y_{<x}$  to be the set of variables  $\{y \in Y \mid y \preceq x\}$ ; dually, when  $y \in Y$ , define  $X_{<y}$  to be the set of variables  $\{x \in X \mid x \preceq y\}$ .

An  $\exists$ -*strategy* is a sequence of mappings  $\sigma = (\sigma_x)_{x \in X}$  where each  $\sigma_x$  is a mapping from  $[Y_{<x} \rightarrow \{0, 1\}]$  to  $\{0, 1\}$ . When  $\tau : Y \rightarrow \{0, 1\}$  is an assignment to the universally quantified variables, we use  $\langle \sigma, \tau \rangle$  to denote the assignment  $f$  defined by  $f(y) = \tau(y)$  for each  $y \in Y$  and  $f(x) = \sigma_x(\tau \upharpoonright Y_{<x})$  for each  $x \in X$ . We say that  $(\sigma_x)_{x \in X}$  is a *winning  $\exists$ -strategy* if for every assignment  $\tau : Y \rightarrow \{0, 1\}$ , it holds that the assignment  $\langle \sigma, \tau \rangle$  satisfies  $\phi$ . A *model* of  $\Phi$  is defined to be a winning  $\exists$ -strategy of  $\Phi$ .

Dually, we define a  $\forall$ -*strategy* to be a sequence of mappings  $\tau = (\tau_y)_{y \in Y}$  where each  $\tau_y$  is a mapping from  $[X_{<y} \rightarrow \{0, 1\}]$  to  $\{0, 1\}$ . When  $\sigma : X \rightarrow \{0, 1\}$  is an assignment to the existentially quantified variables, we use  $\langle \tau, \sigma \rangle$  to denote the assignment  $f$  defined by  $f(x) = \sigma(x)$  for each  $x \in X$  and  $f(y) = \tau_y(\sigma \upharpoonright X_{<y})$  for each  $y \in Y$ . We say that  $(\tau_y)_{y \in Y}$  is a *winning  $\forall$ -strategy* if for every assignment  $\sigma : X \rightarrow \{0, 1\}$ , it holds that the assignment  $\langle \tau, \sigma \rangle$  falsifies  $\phi$ .

The following are well-known facts that we will treat as basic.

**Proposition 2.1** *Let  $\Phi$  be a QBC.*

- *There exists a winning  $\exists$ -strategy for  $\Phi$  (that is, a model of  $\Phi$ ) if and only if  $\Phi$  is true.*

- There exists a winning  $\forall$ -strategy for  $\Phi$  if and only if  $\Phi$  is false.

### 3 Proof system ensembles

In this section, we formalize the notion of *proof system ensemble* and present some basic associated notions.

For each  $m \geq 1$ , fix  $S(m)$  to be the QBC problem restricted to QBCs having a  $\Sigma_m$  prefix, which is a  $\Sigma_m^p$ -complete problem; for  $m = 0$ , fix  $S(m)$  to be a polynomial-time decidable problem.

Let  $O$  be a language; when discussing an algorithm  $A$  that makes oracle calls, we use  $A^O$  to denote the instantiation of  $A$  where oracle calls are answered according to  $O$ .

**Definition 3.1** A *proof system ensemble*  $(A, r)$  for a language  $L$  consists of an algorithm  $A$  which may make oracle calls and receives inputs of the form  $(k, (x, \pi))$  where  $k \in \mathbb{N}$  and  $x$  and  $\pi$  are strings; and, a computable function  $r : \mathbb{N} \rightarrow \mathbb{N}$  such that:

- For each  $k \in \mathbb{N}$ , there exists a polynomial  $p_k$  such that (for each pair  $(x, \pi)$ ) the algorithm  $A^{S(r(k))}$  halts on an input  $(k, (x, \pi))$  within time  $p_k(|(x, \pi)|)$ .
- For each  $k \in \mathbb{N}$ , when  $L_k$  is set to  $\{(x, \pi) \mid (k, (x, \pi)) \text{ is accepted by } A^{S(r(k))}\}$ , it holds that the language  $\{x \mid \exists \pi \text{ such that } (x, \pi) \in L_k\}$  is equal to  $L$ .

Let us provide an intuitive explanation of Definition 3.1. For each fixed value of  $k$ , the algorithm  $A$  provides a proof system for the language  $L$ ; on inputs of the form  $(k, (x, \pi))$ , the algorithm is provided oracle access to  $S(r(k))$ , and needs to accept or reject within polynomial time (in  $|(x, \pi)|$ ). Acceptance indicates that  $\pi$  is judged to be a proof that  $x \in L$ . The second condition in the definition states that each such proof system is sound and complete, that is, for each fixed  $k$ , an arbitrary string  $x$  is in  $L$  iff there exists a string  $\pi$  such that  $(k, (x, \pi))$  is accepted by  $A$ .

We use the following terminology to present lower bounds on proof size in proof system ensembles.

**Definition 3.2** Let  $Z$  be a set of functions from  $\mathbb{N}$  to  $\mathbb{N}$ . A proof system ensemble  $(A, r)$  *requires proofs of size  $Z$*  on a sequence  $\{\Phi_1, \Phi_2, \dots\}$  of instances if for each  $k$ , there exists  $z \in Z$  where (for all  $n \geq 1$  and all strings  $\pi$ ) it holds that  $(k, (\Phi_n, \pi)) \in L_k$  implies  $|\pi| \geq z(n)$ . Here,  $|\pi|$  denotes the size of  $\pi$ . We also apply this terminology to other measures defined on proofs.

We say that a function  $f$  mapping strings to strings is a *polynomial-length function* if there exists a polynomial  $q$  such that, for each string  $x$ , it holds that  $|f(x)| \leq q(|x|)$ .

**Definition 3.3** A proof system ensemble  $(A, r)$  is *polynomially bounded* on a language  $L$  if there exists  $k \in \mathbb{N}$  and there exists a polynomial-length function  $f$  (mapping strings to strings) such that the following holds: if  $x \in L$ , then it holds that  $(x, f(x)) \in L_k$ , where  $L_k$  is defined as in Definition 3.1.

**Proposition 3.4** *There exists a polynomially bounded proof system ensemble for a language  $L$  if and only if  $L$  is in the polynomial hierarchy.*

We next define notions of simulation between proof systems.

**Definition 3.5** Let  $(A, r)$  and  $(A', r')$  be proof system ensembles for a language  $L$ .

We say that  $(A', r')$  *simulates*  $(A, r)$  if there exists a function  $f : \mathbb{N} \rightarrow \mathbb{N}$  and a sequence of polynomial length functions  $(g_k)_{k \in \mathbb{N}}$  from strings to strings such that, for each  $k \in \mathbb{N}$  and each  $(x, \pi) \in L_k$ , it holds that  $(x, g_k(\pi)) \in L'_{f(k)}$ . Here,  $L_k$  and  $L'_{f(k)}$  are defined as in Definition 3.1, for  $(A, r)$  and  $(A', r')$ , respectively.

We say that  $(A', r')$  *effectively simulates*  $(A, r)$  if, in addition, the function  $f$  is computable and there is an algorithm that, for each  $k \in \mathbb{N}$ , computes  $g_k(x)$  from  $x$  within time  $p_k(|x|)$ , where  $p_k$  is a polynomial.

Under a mild assumption on proof system ensembles, namely that (intuitively) they increase in strength as the parameter  $k$  increases, it can be proved that, when  $(A, r)$  and  $(A', r')$  are proof system ensembles such that  $(A', r')$  simulates  $(A, r)$  and such that  $(A, r)$  is polynomially bounded, it holds that  $(A', r')$  is polynomially bounded. We will formalize and discuss this in the full version of the article.

Let us remark that variations on Definitions 3.1 and 3.5 are certainly possible. For example, one could require that the bounding polynomials  $(p_k)$  in Definition 3.1 be computable, as a function of  $k$ . Perhaps more interestingly, observe that no assumption is placed on how these polynomials  $(p_k)$  behave in aggregate; one could, for instance, require that their degrees are all bounded above by a constant, obtaining a definition reminiscent of that of fixed-parameter tractability. A similar comment can be offered for the polynomials associated to the functions  $(g_k)$  from Definition 3.5.

## 4 Relaxing QU-resolution

### 4.1 QU-resolution

Let  $\Phi = \vec{P} : \phi$  be a QBC. We define an *axiom set* of  $\Phi$  to be a set  $H$  of clauses on variables of  $\vec{P}$  such that, for each  $C \in H$ ,  $C$  is an *axiom* of  $\Phi$  in the following sense: each model of  $\vec{P} : \phi$  is a model of  $\vec{P} : C$ . Let us give examples. First, if the QBC  $\Phi$  is false, then the empty clause is an axiom of  $\Phi$ . Second, if  $C$  is any clause which is entailed by  $\phi$ , then  $C$  is an axiom of  $\Phi$ . A case of this is when  $a$  is an assignment to all variables of  $\Phi$  that falsifies  $\phi$ ; then,  $\text{clause}(a)$  is entailed by  $\phi$  and is an axiom of  $\Phi$ .

Relative to a QBC  $\Phi = \vec{P} : \phi$ , we say that a clause  $C$  is obtainable from a second clause  $D$  by  $\forall$ -*elimination* if there exists a literal  $L \in D$  such that  $C = D \setminus \{L\}$  and the variable  $y$  underlying  $L$  is a  $\forall$ -variable and has  $\text{vars}(C) \preceq y$ .

With these notions, we define QU-resolution for quantified Boolean circuits in the following way.

**Definition 4.1** A *QU-resolution proof* of a QBC  $\Phi = \vec{P} : \phi$  from an axiom set  $H$  (of  $\Phi$ ) is a finite sequence of clauses where each clause is either in  $H$ , is obtainable from a previous clause by  $\forall$ -elimination, or is obtainable from two previous clauses as a resolvent; in the last two cases, we assume that the clause is annotated with the previous clause(s) from which it is derived (this is to provide a clean correspondence between proofs and certain graphs to be defined, see Section 4.3). The *size* of such a proof is defined as the number of clauses. Such a proof is said to be a *falsity proof* if it ends with the empty clause.

Note that in the case that  $\Phi$  is a clausal QBF, when  $H$  is the set of clauses appearing in  $\Phi$ , Definition 4.1 essentially coincides with usual definitions of QU-resolution in the literature (see for example [22]). The only difference is that here, applying  $\forall$ -elimination eliminates just one universally quantified variable of a clause, whereas many authors speak of  $\forall$ -*reduction*, which (when applied to a clause) eliminates each universally quantified variable that come after all existentially quantified variables. One can simulate an instance of  $\forall$ -reduction by applying  $\forall$ -elimination repeatedly.

It is a folklore and readily verified fact that when one has a clausal QBF  $\Phi = \vec{P} : \phi$  with clause set  $H$ , and  $C$  appears in a QU-resolution proof of  $\Phi$  from  $H$ , then any model of  $\Phi$  is a model of  $\vec{P} : C$ . From this fact and the definition of axiom set, we immediately obtain the following proposition.



**Proposition 4.2** *Let  $C$  be a clause appearing in a QU-resolution proof of a QBC  $\Phi = \vec{P} : \phi$  from axiom set  $H$ . Each model of  $\vec{P} : \phi$  is a model of  $\vec{P} : C$ . Consequently, if  $C$  is the empty clause, then the QBC  $\Phi$  is false.*

## 4.2 Relaxing

In order to define a proof system ensemble based on QU-resolution proofs, we now describe how to obtain a sequence of axiom sets for a given QBC. We start by exhibiting a way to infer that a partial assignment is an axiom of a QBC.

Let  $a$  be a partial assignment of a QBC  $\Phi = \vec{P} : \phi$ . Define  $\vec{P}[a]$  to be the quantifier prefix which is equal to  $\vec{P}$  but where the variables in  $\text{dom}(a)$  and their corresponding quantifiers are removed, and where each quantifier of a variable  $v$  with  $v \preceq \text{last}(a)$  is changed (if necessary) to an existential quantifier. As examples, when  $\vec{P} = \forall y_1 \exists x_1 \exists x_2 \forall y_2 \forall y_3 \exists x_3$ , if  $a$  is an assignment with  $\text{dom}(a) = \{x_1, y_3\}$ , it holds that  $\vec{P}[a] = \exists y_1 \exists x_2 \forall y_2 \exists x_3$ ; if  $a$  is an assignment with  $\text{dom}(a) = \{x_1, x_2\}$ , it holds that  $\vec{P}[a] = \exists y_1 \forall y_2 \forall y_3 \exists x_3$ . Define  $\phi[a]$  to be the circuit obtained from  $\phi$  by replacing each variable  $v \in \text{dom}(a)$  with the constant  $a(v)$ . Define  $\Phi[a]$  to be  $\vec{P}[a] : \phi[a]$ .

**Proposition 4.3** *Assume that  $a$  is a partial assignment of a QBC  $\Phi = \vec{P} : \phi$  such that  $\Phi[a]$  is false. Then  $\text{clause}(a)$  is an axiom of  $\Phi$ , that is, each model of  $\vec{P} : \phi$  is a model of  $\vec{P} : \text{clause}(a)$ .*

We believe that Proposition 4.3 provides a natural way to derive axioms from a QBC. Consider the case where  $\Phi$  is a SAT instance, that is,  $\vec{P}$  is purely existential. In this case, if  $a$  is a partial assignment such that  $\Phi[a]$  is false, then  $\text{clause}(a)$  is an axiom of  $\Phi$ . Indeed, in this case  $\Phi[a]$  is simply the QBC instance obtained by instantiating variables according to  $a$ , and then removing the instantiated variables from the quantifier prefix. Note that, in the context of backtrack search for SAT, it is typical that, when some variables have been set according to a partial assignment  $a$ , a solver attempts to detect falsity of  $\Phi[a]$  by heuristics such as unit propagations and generalizations thereof.

In the case of general QBCs, it is natural to ask, when one has a partial assignment  $a$  and then instantiates its variables in  $\phi$  to obtain  $\phi[a]$ , under what conditions  $\text{clause}(a)$  can be inferred as an axiom. Proposition 4.3 provides an answer to this question; let us explain intuitively why the quantifier prefix is adjusted to  $\vec{P}[a]$ . Consider the case where the first quantifier block of  $\vec{P}$  is existential and  $a$  is a partial assignment to variables from this first block; then  $\vec{P}[a]$  is simply  $\vec{P}$  but with the variables of  $a$  removed, and so this case of the proposition generalizes the purely existential case just discussed. In the case where  $a$  is arbitrary,  $\vec{P}[a]$  can be viewed as the prefix where the lowest number of quantifiers have been changed from universal to existential such that the first quantifier block is existential, and all variables of  $a$  fall into this first block.

Proposition 4.3 can be proved in the following way. Fix a model  $\sigma = (\sigma_x)_{x \in X}$  of  $\vec{P} : \phi$ ; here,  $X$  denotes the  $\exists$ -variables in  $\vec{P}$ . Suppose (for a contradiction) that  $\tau$  is an assignment to the  $\forall$ -variables of  $\vec{P} : \phi$  such that the assignment  $f = \langle \sigma, \tau \rangle$  falsifies  $\text{clause}(a)$ , or equivalently,  $f$  extends the assignment  $a$ . Then, we define a winning  $\exists$ -strategy  $\sigma'$  for  $\Phi[a]$  as follows. Define  $\sigma'_x$  to be the function obtained from  $\sigma_x$  after fixing each  $\forall$ -variable  $y \in \text{dom}(a) \cup \{v \mid v \preceq \text{last}(a)\}$  to  $\tau(y)$ ; and, for each  $\forall$ -variable  $y$  with  $y \preceq \text{last}(a)$  (that is, for each  $\forall$ -variable in  $\vec{P}$  that is changed to an  $\exists$ -variable in  $\vec{P}[a]$ ), define  $\sigma'_y$  to be  $\tau(y)$ .

Prima facie, Proposition 4.3 may appear to be of limited utility; even if one has oracle access to a level of the polynomial hierarchy, it may be that many partial assignments  $a$  give rise to a quantifier prefix  $\vec{P}[a]$  which has too many alternations to be resolved by the oracle. In order to expand the class of axioms derivable by this proposition (relative to such an oracle), we introduce now the notion of a *relaxation* of a QBC.

A *relaxation* of a quantifier prefix  $\vec{P} = Q_1 v_1 \dots Q_n v_n$  is a quantifier prefix which has the form  $\vec{P}' = Q_{\pi(1)} v_{\pi(1)} \dots Q_{\pi(n)} v_{\pi(n)}$  where  $\pi : [n] \rightarrow [n]$  is a permutation and where, for each  $\forall$ -variable  $y$  and for each  $\exists$ -variable  $x$ , it holds that  $y \leq x$  implies  $y \leq' x$ ; here,  $\leq$  and  $\leq'$  denote the binary relations of  $\vec{P}$  and  $\vec{P}'$ , respectively. As an example, consider the quantifier prefix  $\vec{P} = \exists x_1 \exists x_2 \forall y \forall y' \exists x_3$ ; relaxations thereof include  $\forall y \forall y' \exists x_1 \exists x_2 \exists x_3$ ,  $\exists x_1 \forall y' \exists x_2 \forall y \exists x_3$ , and  $\forall y' \exists x_2 \forall y \exists x_1 \exists x_3$ . A *relaxation of a QBC*  $\vec{P} : \phi$  is a QBC of the form  $\vec{P}' : \phi$  where  $\vec{P}'$  is a relaxation of  $\vec{P}$ ; such a QBC is said to be a  $\Pi_i$ -*relaxation* if  $\vec{P}'$  is  $\Pi_i$ .

The following is straightforward to verify.

**Proposition 4.4** *If a relaxation of a QBC  $\Phi$  is false, then the QBC  $\Phi$  is false.*

Note that for any quantifier prefix, a relaxation may be obtained by simply placing the universal quantifiers and their variables first, followed by the existential quantifiers and their variables. Hence, in this sense, each QBC has a canonical  $\Pi_2$ -relaxation, and in the sequel, we focus the discussion on relaxations that are  $\Pi_k$ -relaxations for values of  $k$  greater than or equal to 2.

Let  $\Phi$  be a QBC; for  $k \geq 2$ , we define  $H(\Phi, \Pi_k)$  to be the set that contains a clause  $C$  if there exists a  $\Pi_k$ -relaxation of  $\Phi[\text{assign}(C)]$  that is false. The following fact follows immediately from Propositions 4.3 and 4.4.

**Proposition 4.5** *When  $\Phi$  is a QBC and  $k \geq 2$ , it holds that  $H(\Phi, \Pi_k)$  is an axiom set of  $\Phi$ .*

Note that when  $\Phi = \vec{P} : \phi$  is a clausal QBF,  $C$  is a clause in  $\phi$ , and  $a = \text{assign}(C)$ , it holds that  $\phi[a]$  is unsatisfiable; consequently, for any quantifier prefix  $\vec{P}'$  on the variables of  $\phi[a]$ , it holds that  $\vec{P}' : \phi[a]$  is false, and thus  $C \in H(\Phi, \Pi_2)$ . Hence, the set  $H(\Phi, \Pi_2)$  contains each clause of  $\phi$ .

**Definition 4.6** *Relaxing QU-res* is defined as the pair  $(A, r)$  where  $r$  is defined by  $r(k) = k + 3$  and  $A$  is an algorithm defined to accept an input  $(k, (\Phi, \pi))$  if  $\Phi$  is a QBC and  $\pi$  is a QU-resolution falsity proof of  $\Phi$  from axioms in  $H(\Phi, \Pi_{k+2})$ . In particular, the algorithm  $A$  examines each clause in  $\pi$  in order; when a clause  $C$  is not derived from previous ones by resolution or by  $\forall$ -elimination, membership of  $C$  in  $H(\Phi, \Pi_{k+2})$  is checked by the  $\Sigma_{k+3}$  oracle. (Such an oracle can nondeterministically guess a  $\Pi_{k+2}$ -relaxation and then check this relaxation for falsity.)

**Proposition 4.7** *Relaxing QU-res is a proof system ensemble for the language of false QBCs.*

Note that for any set  $\mathcal{F}$  of false QBCs having bounded alternation, it holds that *relaxing QU-res* is polynomially bounded on  $\mathcal{F}$ . Why? Let  $k$  be a value such that each QBC in  $\mathcal{F}$  is  $\Pi_{k+2}$ . For each QBC  $\Phi \in \mathcal{F}$ , we have that the empty clause is in  $H(\Phi, \Pi_{k+2})$ , since  $\Phi$  itself is a false  $\Pi_{k+2}$ -relaxation of  $\Phi$ . Hence, for each such QBC  $\Phi$ , the algorithm  $A$  of relaxing QU-res accepts  $(k, (\Phi, \emptyset))$ , where here  $\emptyset$  denotes the proof consisting just of the empty clause.

Let us now introduce some notions which will be used in our study of *tree-like relaxing QU-res* (defined below). Let  $f$  and  $g$  be partial assignments of a QBC  $\Phi$ . We say that  $g$  is a *semicompletion* of  $f$  if  $g$  is an extension of  $f$  such that for each universally quantified variable  $y$  with  $\text{dom}(f) \leq y$  and  $y \notin \text{dom}(f)$ , it holds that  $\text{dom}(g) \leq y$  and  $y \notin \text{dom}(g)$ . A set  $H$  of partial assignments of  $\Phi$  is *semicompletion-closed* if, whenever  $f \in H$  and  $g$  is a semicompletion of  $f$ , it holds that  $g \in H$ .

**Lemma 4.8** *For each QBC  $\Phi$  and for each  $m \geq 2$ , the set of assignments  $H(\Phi, \Pi_m)$  is semicompletion-closed.*

### 4.3 A graph-based view

When  $\pi = C_1, \dots, C_n$  is a QU-resolution proof of a QBC  $\vec{P} : \phi$  from axioms  $H$ , define  $G(\pi)$  to be the directed acyclic graph where there is a vertex for each clause occurrence  $C_i$ , which vertex has label  $\text{assign}(C_i)$ ; and, where (for all pairs of clauses  $C_i, C_j$ ) there is a directed edge from the vertex of  $C_j$  to the vertex of  $C_i$  if  $C_j$  is derived from  $C_i$ .

**Proposition 4.9** Let  $\pi$  be a QU-resolution proof of a QBC  $\vec{P} : \phi$  from axioms  $H$ . The directed acyclic graph  $G(\pi)$  has the following properties:

- ( $\alpha$ ) If a node with label  $a$  has no out-edges, then  $\text{clause}(a)$  is an element of  $H$ .
- ( $\beta$ ) If a node with label  $a$  has 1 out-edge to a node with label  $a'$ , then  $a'$  is an extension of  $a$  with  $\text{dom}(a') = \text{dom}(a) \cup \{y\}$  where  $y$  is a universally quantified variable with  $\text{dom}(a) \leq y$ .
- ( $\gamma$ ) If a node with label  $a$  has 2 out-edges to nodes with labels  $a_1$  and  $a_2$ , then there exists a variable  $v$  such that  $a_1$  and  $a_2$  are defined on  $v$  and  $a_1(v) \neq a_2(v)$ ;  $(\text{dom}(a_1) \cup \text{dom}(a_2)) \setminus \{v\} = \text{dom}(a)$ ;  $a$  and  $a_1$  are equal on the variables where they are both defined; and,  $a$  and  $a_2$  are equal on the variables where they are both defined.

Moreover, a labelled graph with these three properties naturally induces a QU-resolution proof: for each node, let  $a$  be its label, and associate to it  $\text{clause}(a)$ .  $\square$

**Definition 4.10** We say that a QU-resolution proof  $\pi$  is *tree-like* if the graph  $G(\pi)$  is a tree. We define *tree-like relaxing QU-res* to be the proof system ensemble  $(A', r)$  described as follows. Let  $(A, r)$  denote relaxing QU-res. Then, the algorithm  $A'$  accepts an input  $(k, (x, \pi))$  if  $A$  accepts it and  $\pi$  is tree-like.

## 5 A prover-delayer game for *tree-like relaxing QU-res*

In this section, we present a game that can be used to exhibit lower bounds on the size of tree-like QU-resolution proofs; this game can be viewed as a generalization of a game for studying tree-like resolution, which game was presented by Pudlák and Impagliazzo [24].

We first give an intuitive description of the game. Note, however, that this description is meant only to be suggestive. For a precise description, we urge the reader to consult the formal definition, which follows (Definition 5.1); in this formal definition, the game is formulated in a positional fashion: a state of the game is formalized as a partial assignment.

Relative to a QBC  $\Phi$  and a set  $H$  of axioms, the game is played between two players, *Prover* and *Delayer*, which maintain a partial assignment. Prover's goal is to reach a partial assignment in  $H$ , while Delayer tries to slow down Prover, scoring points in the process. Prover starts by announcing the empty assignment, and Delayer responds with a semicompletion thereof. After this, the play proceeds in a sequence of rounds. In each round, Prover may perform one of three actions to the current assignment  $f$ : select a restriction of  $f$ ; assign a value to a  $\forall$ -variable  $y \notin \text{dom}(f)$  having  $\text{dom}(f) \leq y$ ; or, select a variable  $v \notin \text{dom}(f)$ . In the first two cases, Delayer responds with a semicompletion of the resulting assignment. In the third case, Delayer may give a choice to the Prover. When a choice is given, the Prover sets the value of  $v$ , and Delayer may elect to claim a point which is then associated with  $v$ . When no choice is given, Delayer sets the value of  $v$ . After  $v$  is set, Delayer responds (as in the first two cases) with a semicompletion of the resulting assignment. Delayer is said to have a  $p$ -point strategy if, he has a strategy where, by the time that Prover achieves her goal, there are  $p$  variables on which the final assignment is defined such that Delayer has claimed points on

these variables.

In what follows, we assume  $p \geq 1$ .

**Definition 5.1** Let  $\Phi$  be a QBC. Relative to a set  $H$  of axioms, a  $p$ -point delayer strategy consists of a set  $F$  of partial assignments of  $\Phi$  and a function  $s : F \rightarrow \mathbb{N}$  called the *score function* such that the following properties hold:

- (*semicompletion-of-empty*) There exists a semicompletion  $g \in F$  of the empty assignment such that  $s(g) = 0$ .
- (*all-points*) If  $f \in F \cap H$ , then  $s(f) \geq p$ .
- (*monotonicity*) If  $g \in F$ , then each restriction of  $g$  has a semicompletion  $f \in F$  such that  $s(f) \leq s(g)$ .
- ( $\forall$ -*branching*) If  $f \in F$  and  $y \notin \text{dom}(f)$  is a universally quantified variable with  $\text{dom}(f) \leq y$ , then, for each  $b \in \{0, 1\}$ , the assignment  $f[y \rightarrow b]$  has a semicompletion  $g \in F$  with  $s(g) = s(f)$ .
- (*double-branching*) If  $f \in F$  and  $v \notin \text{dom}(f)$ , there exists a value  $b \in \{0, 1\}$  such that  $f[v \rightarrow b]$  has a semicompletion  $g \in F$  where (1)  $s(g) \leq s(f) + 1$  and (2) if  $s(g) = s(f) + 1$ , the assignment  $f[v \rightarrow -b]$  has a semicompletion  $g' \in F$  with  $s(g') \leq s(f) + 1$ .

**Theorem 5.2** Assume that there exists a  $p$ -point delayer strategy for a QBC  $\Phi$  with respect to a semicompletion-closed axiom set  $H$ , and that  $\pi$  is a tree-like QU-resolution proof ending with the empty clause, from axioms  $H$ . Then, the tree  $G(\pi)$  has at least  $2^p$  leaves.

In order to prove Theorem 5.2, we introduce the following lemma.

**Lemma 5.3** Assume that there exists a  $p$ -point delayer strategy for a QBC  $\Phi$  with respect to a semicompletion-closed axiom set  $H$ , and that  $\pi$  is a tree-like QU-resolution proof from axioms  $H$ . Let  $u$  be a node of  $G(\pi)$  with label  $a$ . If  $a$  has a semicompletion  $f \in F$  with  $s(f) < p$ , then  $u$  has a child  $v'$  with label  $a'$  such that  $a'$  has a semicompletion  $g' \in F$  with  $s(g') \leq s(f) + 1$ ; moreover, when  $g' \in F$  has  $s(g') = s(f) + 1$ , the node  $u$  has a second child  $v''$  whose label  $a''$  has a semicompletion  $g''$  with  $s(g'') \leq s(f) + 1$ .

**Proof.** Since  $s(f) < p$ , by the (*all-points*) condition, we have that  $f \notin H$ . Since  $H$  is assumed to be semicompletion-closed, we have that  $a \notin H$ , and hence that the node  $u$  is not a leaf of the tree  $G(\pi)$ .

If the node  $u$  is of type  $(\beta)$  from Proposition 4.9, then let  $a'$  be the label of the child  $v'$  of  $u$ ;  $a'$  has the form  $a[y \rightarrow b]$ . By the ( $\forall$ -*branching*) condition, the assignment  $f[y \rightarrow a'(y)]$  has a semicompletion  $f'$  with  $s(f') \leq s(f)$ . We have that  $f'$  is a semicompletion of  $a'$ , giving the lemma.

If the node  $u$  is of type  $(\gamma)$  from Proposition 4.9, let  $x$  denote the variable described in the proposition statement. We consider two cases. First, if  $x \in \text{dom}(f)$ , then pick the child of  $u$  with label  $a'$  having  $a'(x) = f(x)$ . By (*monotonicity*), the restriction  $f \upharpoonright \text{dom}(a')$  has a semicompletion  $g' \in F$  such that  $s(g') \leq s(f)$ , giving the lemma. When  $x \notin \text{dom}(f)$ , we argue as follows. By the (*double-branching*) condition, there exists a value  $b \in \{0, 1\}$  such that  $f[x \rightarrow b]$  has a semicompletion  $f'$  satisfying the properties (1) and (2) given in Definition 5.1; in particular, we have  $s(f') \leq s(f) + 1$ . Let  $v'$  be the child of  $u$  whose label  $a'$  has  $a'(x) = b$ . The assignment  $a'$  restricts  $a[x \rightarrow b]$  which restricts  $f[x \rightarrow b]$ , so  $f'$  extends  $a'$ . By the (*monotonicity*) condition, the restriction  $f' \upharpoonright \text{dom}(a')$  has a semicompletion  $g'$  with  $s(g') \leq s(f')$ . If  $s(g') \leq s(f)$ , the lemma is proved. Otherwise, we have that  $s(g') = s(f) + 1$ , and by property (2) of (*double-branching*), the assignment  $f[x \rightarrow -b]$  has a semicompletion  $f''$  with  $s(f'') \leq s(f) + 1$ . Let  $v''$  be the child of  $u$  whose label  $a''$  has  $a''(x) = -b$ . We have that  $a''$  restricts  $a[x \rightarrow -b]$  which restricts  $f[x \rightarrow -b]$ ; by (*monotonicity*), the restriction  $f'' \upharpoonright \text{dom}(a'')$  has a semicompletion  $g'' \in F$  such that  $s(g'') \leq s(f'')$ , giving the lemma.  $\square$

**Proof.** (Theorem 5.2) We refer to a semicompletion of the label of a node simply as a semicompletion of the node. We prove by induction on  $i = 0, \dots, p$  that, for any node  $v$  with semicompletion  $f$  having  $s(f) = p - i$ , the node  $v$  has  $2^i$  leaf descendants. This suffices by the property (*semicompletion-of-empty*) of Definition 5.1.

The claim is obvious for  $i = 0$ , so suppose that it is true for  $i < p$ ; we will prove it true for  $i + 1$ . We have, by assumption, a semicompletion  $f$  of  $v$  with  $s(f) = p - (i + 1) = p - i - 1$ . Repeatedly invoke Lemma 5.3 to obtain a path from  $v$  to a leaf where each vertex has a semicompletion associated with it. Notice that, in walking along this path starting from  $v$  and looking at the semicompletions, whenever the score increases, it increases by at most 1. Since any semicompletion of a leaf must have score  $p$  or higher (by the reasoning at the beginning of the proof of Lemma 5.3), there must be some descendent  $u$  of  $v$  having semicompletion with score  $p - i - 1$  such that the child  $u_1$  of  $u$  provided by Lemma 5.3 has semicompletion with score  $p - i$ . By that lemma, the other child  $u_2$  of  $u$  has semicompletion with score less than or equal to  $p - i$ . By repeatedly invoking Lemma 5.3 to obtain a path from  $u_2$  to a leaf, one finds a descendent  $v_2$  of  $u_2$  having a semicompletion with score  $p - i$ . By induction, there are at least  $2^i$  leaves below  $u_1$ , and at least  $2^i$  leaves below  $v_2$  (and hence below  $u_2$ ). Therefore, there are at least  $2^{i+1}$  leaves below  $u$ , and hence below  $v$ .  $\square$

## 6 Separation of the tree-like and general versions of *relaxing QU-res*

The family of sentences to be studied in this section is defined as follows. For each  $i \in \{0\} \cup [n]$ , define  $X_i$  to be the variable set  $\{x_{i,j,k} \mid j, k \in \{0, 1\}\}$ , and for each  $i \in [n]$ , define  $X'_i$  analogously to be the variable set  $\{x'_{i,j,k} \mid j, k \in \{0, 1\}\}$ . Define  $\vec{P}_n$  to be the prefix  $\exists X_0 \exists X'_1 \forall y_1 \exists X_1 \exists X'_2 \forall y_2 \exists X_2 \dots \exists X'_n \forall y_n \exists X_n$ . Note that, for a set of variables  $X$ , we use the notation  $\exists X$  to represent the existential quantification of the variables in  $X$ , in any order (our discussion will always be independent of any particular order chosen). For  $i \in [n]$ , we refer to the variables in  $X'_i \cup \{y_i\} \cup X_i$  as the *level  $i$  variables*.

- Define  $B = \{\neg x_{0,j,k} \mid j, k \in \{0, 1\}\} \cup \{x_{n,j,0} \vee x_{n,j,1} \mid j \in \{0, 1\}\}$ .
- For each  $i \in [n]$  and each  $j \in \{0, 1\}$  define  $H_{i,j} = \{\neg x'_{i,0,k} \vee \neg x'_{i,1,l} \vee x_{i-1,j,0} \vee x_{i-1,j,1} \mid k, l \in \{0, 1\}\}$ . Observe that the clause  $\neg x'_{i,0,k} \vee \neg x'_{i,1,l} \vee x_{i-1,j,0} \vee x_{i-1,j,1}$  is logically equivalent to  $(x'_{i,0,k} \wedge x'_{i,1,l}) \rightarrow (x_{i-1,j,0} \vee x_{i-1,j,1})$ .
- For each  $i \in [n]$ , define  $T_i = \{\neg x_{i,0,k} \vee y_i \vee x'_{i,0,k} \mid k \in \{0, 1\}\} \cup \{\neg x_{i,1,k} \vee \neg y_i \vee x'_{i,1,k} \mid k \in \{0, 1\}\}$ .

Define  $\phi_n$  to be the conjunction of the clauses contained in the just-defined sets. Define  $\Phi_n$  as  $\vec{P}_n : \phi_n$ . This definition of this family of sentences was inspired partially by the separating formulas of [12, 6].

Let us explain intuitively what the clauses mandate and why the sentences  $\Phi_n$  are false. By the clauses in  $B$ , all of the variables  $x_{0,j,k}$  must be set to 0. By the clauses in the sets  $H_{1,j}$ , either both variables  $x'_{1,0,k}$  or both variables  $x'_{1,1,k}$  must be set to 0. Once this occurs, the universal player can set the variable  $y_1$  to 0 or 1 to force either both variables  $x_{1,0,k}$  or both variables  $x_{1,1,k}$  to 0 (respectively), via the clauses in  $T_1$ . This reasoning can then be repeated; for instance, at the next level, either both variables  $x'_{2,0,k}$  or both variables  $x'_{2,1,k}$  must be set to 0, and then after universal player assigning  $y_2$  appropriately, either both variables  $x_{1,0,k}$  or both variables  $x_{1,1,k}$  are forced to 0. In the end, the existential player must violate one of the two clauses in  $B$  concerning level  $n$ .

**Proposition 6.1** *The sentences  $\{\Phi_n\}_{n \geq 1}$  have QU-resolution proofs of size linear in  $n$ .*

Let  $n \geq 1$ ; we will use the following terminology to discuss  $\Phi_n$ .

We say that  $r$  is a *normal realization* of level  $i \in [n]$  if it is an assignment defined on the level  $i$  variables such that, when  $b$  is set to  $r(y_i)$ , the following hold:

- $0 = r(x_{i,b,0}) = r(x'_{i,b,0}) = r(x_{i,b,1}) = r(x'_{i,b,1})$
- $r(x_{i,-b,0}) = r(x'_{i,-b,0}) \neq r(x_{i,-b,1}) = r(x'_{i,-b,1})$

We say that  $r$  is a *funny realization* of level  $i \in [n]$  if it is an assignment defined on the level  $i$  variables such that, when  $b$  is set to  $r(y_i)$ , the following hold:

- $r(x_{i,b,0}) = r(x'_{i,b,0}) \neq r(x_{i,b,1}) = r(x'_{i,b,1})$
- $0 = r(x'_{i,-b,0}) = r(x'_{i,-b,1})$
- $r(x_{i,-b,0}) \neq r(x_{i,-b,1})$

We state two key and straightforwardly verified properties of realizations in the following proposition.

**Proposition 6.2** *No assignment defined on the level  $i$  variables is both a normal realization and a funny realization. Also, each normal realization and each funny realization (of level  $i$ ) satisfies all clauses in  $T_i$ .*

We define the set of assignments  $F_n$  to be the set containing all *normal assignments* and all *funny assignments*, which we now turn to define. Let  $f$  be a partial assignment of  $\Phi_n$ . Let  $\ell \geq 0$  denote the maximum level  $\ell$  such that  $f$  is defined on an  $\exists$ -variable in level  $\ell$ .

We say that  $f$  is a *normal assignment* if the following hold:

- $f$  is defined on the variables in  $\{x_{0,j,k} \mid j, k \in \{0, 1\}\}$  and equal to 0 on them.
- For each  $i \in [\ell - 1]$ , the restriction of  $f$  to the level  $i$  variables is a normal realization of level  $i$ .
- If  $\ell \geq 1$ , either the restriction of  $f$  to the level  $\ell$  variables is a normal realization of level  $\ell$ ; or,  $f$  is *half-defined* on level  $\ell$ , by which is meant that  $f$  is not defined on any variables in  $\{x_{\ell,j,k} \mid j, k \in \{0, 1\}\}$ , but is defined on all variables in  $\{x'_{\ell,j,k} \mid j, k \in \{0, 1\}\}$  and has  $\sum_{j,k \in \{0,1\}} x'_{\ell,j,k} = 1$ .

For each normal assignment  $f$ , we define  $s_n(f) = \ell$ .

We say that  $f$  is a *funny assignment* if there exists  $m \in [\ell]$  such that the following hold:

- $f$  is defined on the variables in  $\{x_{0,j,k} \mid j, k \in \{0, 1\}\}$  and equal to 0 on them.
- For each  $i \in [m - 1]$ , the restriction of  $f$  to the level  $i$  variables is a normal realization of level  $i$ .
- The restriction of  $f$  to the level  $m$  variables is a funny realization of level  $m$ .
- For each  $i$  with  $m < i \leq \ell$  and for each  $j \in \{0, 1\}$ , if  $f$  is defined on one of the four variables in  $\{x_{i,j,k}, x'_{i,j,k} \mid k \in \{0, 1\}\}$ , then it is defined on all of them and  $f(x_{i,j,0}) = f(x'_{i,j,0}) \neq f(x_{i,j,1}) = f(x'_{i,j,1})$ .

It is straightforward to verify that an assignment cannot be both normal and funny, and also that, if an assignment is funny, there exists a unique  $m \in [\ell]$  witnessing this. For each funny assignment  $f$ , we define  $s_n(f) = m$ . We also identify the following properties of funny assignments which will be used.

**Proposition 6.3** *Each funny assignment  $f$  with  $s_n(f) = m$  can be extended to a funny assignment  $f'$  with  $s_n(f') = m$  which is defined on all  $\exists$ -variables. Moreover, let  $g$  be any assignment defined on all variables (of  $\Phi_n$ ) which extends a funny assignment  $f'$  defined on all  $\exists$ -variables; then,  $g$  satisfies all clauses in  $\phi_n$ .*

**Theorem 6.4** *For each  $n \geq 1$ , the pair  $(F_n, s_n)$  defined above satisfies the conditions (semicompletion-of-emptiness), (monotonicity), ( $\forall$ -branching), and (double-branching) from Definition 5.1.*

**Proof.** We verify each of the conditions.

(*semicompletion-of-empty*): The normal assignment  $f$  defined only on  $\{x_{0,j,k} \mid j, k \in \{0, 1\}\}$  is a semicompletion of the empty assignment with  $s(f) = 0$ .

(*monotonicity*): Suppose that  $g \in F$ . Let  $W \subseteq \text{dom}(g)$ . We show that  $g \upharpoonright W$  has a semicompletion  $f \in F$  with  $s(f) \leq s(g)$ .

If the last variable  $v$  in  $W$  (according to  $\vec{P}_n$ ) has the form  $x'_{i,j,k}$  or  $y_i$ , then set  $f = g \upharpoonright \{z \mid z \leq v\}$ . Otherwise, the last variable  $v$  in  $W$  has the form  $x_{i,j,k}$ , and we set  $f$  to be the restriction of  $g$  to the variables in levels  $0, \dots, i$ .

It is straightforward to verify that  $f \in F$  and that  $s(f) \leq s(g)$ . We briefly indicate how to do so, as follows. When  $g$  is a normal assignment, then  $f$  will also be a normal assignment. When  $g$  is a funny assignment with  $s(g) = m$ , then consider two cases. If the last variable  $v$  in  $W$  comes before or is equal to  $y_m$ , the assignment  $f$  will be normal. Otherwise, the assignment  $f$  will be a funny assignment with  $s(f) = m$ .

( $\forall$ -*branching*): This property is straightforward to verify by examining the structure of the definitions of *normal assignment* and *funny assignment*. We perform the verification as follows. Let  $f \in F$  and let  $y_i \notin \text{dom}(f)$  be a universally quantified variable. We claim that, for each  $b \in \{0, 1\}$ , the assignment  $f[y_i \rightarrow b]$  is a semicompletion of  $f$  having the same score as  $f$ .

When  $f$  is a normal assignment, we have  $i \geq \ell$ . We argue that  $f[y_i \rightarrow b]$  is a normal assignment. The assignments  $f[y_i \rightarrow b]$  and  $f$  are equal on variables in levels strictly before level  $\ell$ . Also, if  $f$  on level  $\ell$  is a normal realization, then  $i > \ell$  and  $f[y_i \rightarrow b]$  on level  $\ell$  is the same normal realization. If  $f$  is half-defined on level  $\ell$ , then  $f[y_i \rightarrow b]$  is also half-defined on level  $\ell$ . Thus, we have that  $f[y_i \rightarrow b]$  is a normal assignment. Clearly,  $s(f[y_i \rightarrow b]) = s(f)$ .

When  $f$  is a funny assignment with  $s(f) = m$ , we have  $i > m$ . In looking at the definition of a funny assignment with a funny realization at level  $m$ , the requirements imposed on the variables coming strictly after level  $m$  concern only the existentially quantified variables. Hence  $f[y_i \rightarrow b]$  is also a funny assignment with  $s(f[y_i \rightarrow b]) = m$ .

(*double-branching*): Suppose that  $f \in F$  and that  $v \notin \text{dom}(f)$ . We consider two cases.

When  $f$  is a funny assignment with  $s(f) = m$ , then the variable  $v$  must occur in level  $m + 1$  or later. If  $v$  is a  $\forall$ -variable, then set  $b$  arbitrarily; we then have that  $g = f[v \rightarrow b]$  is a funny assignment with  $s(g) = s(f) = m$ . If  $v$  is an  $\exists$ -variable, then it is of the form  $x_{i,j,\ell}$  or  $x'_{i,j,\ell}$ ; take  $g$  to be either of the two extensions of  $f$  defined on  $\text{dom}(f) \cup \{x_{i,j,k}, x'_{i,j,k} \mid k \in \{0, 1\}\}$  with  $f(x_{i,j,0}) = f(x'_{i,j,0}) \neq f(x_{i,j,1}) = f(x'_{i,j,1})$ . We have that  $g$  is a funny assignment with  $s(g) = s(f) = m$ .

When  $f$  is a normal assignment with  $s(f) = \ell$ , the variable  $v$  must come after all variables in  $\text{dom}(f)$ . We may assume that  $v$  is an  $\exists$ -variable (otherwise, one may reason as in the case of the condition ( $\forall$ -*branching*) to obtain a semicompletion  $g$  with  $s(g) = s(f)$ .)

First, suppose that the restriction of  $f$  to level  $\ell$  is a normal realization. If  $v$  is in level  $\ell + 1$ , then both  $f[v \rightarrow b]$  and  $f[v \rightarrow \neg b]$  have semicompletions  $g$  and  $g'$  (respectively) which are defined on levels 0 through  $\ell + 1$  inclusive and are equal to funny realizations on level  $\ell + 1$ . In this situation, we have  $s(g) = s(g') = \ell + 1$ . If  $v$  is in level  $\ell + 2$  or a later level, then we can obtain semicompletions  $g$  and  $g'$  of  $f[v \rightarrow b]$  and  $f[v \rightarrow \neg b]$  (respectively) as follows. First, extend  $f$  to obtain an assignment that is equal to an arbitrary funny realization on level  $\ell + 1$ ; then, we may extend the result by reasoning as in the previous case (where  $f$  is a funny assignment) to obtain the desired semicompletions  $g$  and  $g'$ , which are funny assignments with  $s(g) = s(g') = \ell + 1$ .

Next, suppose that  $f$  is half-defined on level  $\ell$ .

- (a) If the variable  $v$  has the form  $x_{\ell,j,k}$ , then we extend  $f$  as follows: set  $y_\ell$  arbitrarily if it is not already

defined, and then extend the result so that it is either a normal realization or a funny realization at level  $\ell$ . The resulting assignment  $g$  is a semicompletion of  $f[v \rightarrow g(v)]$  where  $s(g) = s(f)$ .

- (b) If the variable  $v$  has the form  $x'_{\ell+1,j',k'}$ , then take the assignment from the previous item (a); for each value of  $b \in \{0, 1\}$ , this assignment can be extended to be defined on the variables  $x'_{\ell+1,j,k}$  so that it is equal to  $b$  on  $x'_{\ell+1,j',k'}$  and  $\sum_{j,k \in \{0,1\}} x'_{\ell+1,j,k} = 1$ . The resulting extensions are semicompletions of  $f[v \rightarrow b]$  and  $f[v \rightarrow \neg b]$  with score  $\ell + 1$ .
- (c) Otherwise, the variable  $v$  has the form  $x_{\ell+1,j',k'}$  or occurs at level  $\ell + 2$  or later. We first take the extension  $h$  of  $f$  that is described in item (a);  $h$  is defined on all variables in level  $\ell$ . If  $h$  is equal to a funny realization at level  $\ell$ , then pick  $b$  arbitrarily; it is straightforwardly verified that there is a funny assignment  $g$  that is a semicompletion of  $h[v \rightarrow b]$ ; this assignment  $g$  has  $s(g) = \ell = s(f)$ . If  $h$  is equal to a normal realization at level  $\ell$ , then one can straightforwardly verified that both  $h[v \rightarrow b]$  and  $h[v \rightarrow \neg b]$  have semicompletions  $g$  and  $g'$  (respectively) which are funny assignments having  $s(g) = s(g') = \ell + 1$ .

□

**Lemma 6.5** *Let  $d, n \in \mathbb{N}$  be such that  $2 \leq d \leq 2n$ . Each assignment  $f \in F_n \cap H(\Phi_n, d)$  has  $s(f) > n - \lfloor d/2 \rfloor$ .*

**Proof.** Suppose that  $f \in F_n \cap H(\Phi_n, d)$ . It cannot be that  $f$  is a funny assignment, as for any funny assignment  $f$ , the QBF  $\Phi_n[f]$  is true as a consequence of Proposition 6.3. Thus  $f$  is a normal assignment. Suppose, for a contradiction, that  $s(f) \leq n - \lfloor d/2 \rfloor$ . In this case,  $f$  is not defined on any of the  $\exists$ -variables in the last  $\lfloor d/2 \rfloor$  levels, that is,  $f$  is not defined on any of the  $\exists$ -variables in levels  $n - (\lfloor d/2 \rfloor + 1), \dots, n - 1, n$ . As a consequence, the prefix of  $\Phi_n[f]$  is not  $\Pi_d$ . Now, consider the relaxation  $\Phi' = \vec{P}' : \phi'$  of  $\Phi_n[f]$  witnessing that  $f \in H(\Phi_n, d)$ . Since  $\vec{P}'$  is  $\Pi_d$ , it must hold that, in  $\vec{P}'$ , there exists a level  $m \in \{n - (\lfloor d/2 \rfloor + 1), \dots, n - 1, n\}$  such that the variable  $y_i$  comes before the variables in  $X'_i$ .

We prove that  $\Phi'$  is true (this suffices, as it contradicts  $f \in H(\Phi_n, d)$ ). We describe an  $\exists$ -winning strategy for  $\Phi'$ , as follows. After each level is set, the resulting assignment is in  $F_n$ . When it is time to set an  $\exists$ -variable in level  $i$ , first check if it holds that  $i = m$  and no previous level is set to a funny realization. If these two conditions hold, then level  $i = m$  is set to a funny realization. Otherwise, the variables at level  $i$  are set as follows.

- If a previous level is set to a funny realization, then the variables in  $X'_i \cup X_i$  are set so that the resulting assignment remains funny (this can in fact be done without looking at the value of  $y_i$ ).
- Otherwise, proceed as follows. The variables in  $X'_i$  are set so that the sum of their values is equal to 1. The variables in  $X_i$  are set so that, at level  $i$ , one obtains either a normal or funny realization.

This  $\exists$ -strategy is winning, as no matter how the universal player plays, the end assignment will be a funny assignment (defined on all variables), which satisfies all clauses (Proposition 6.3). □

By Theorem 6.4 and Lemma 6.5, in conjunction with Theorem 5.2 and Lemma 4.8, we obtain the following result.

**Theorem 6.6** *Tree-like relaxing QU-res requires proofs of size  $\Omega(2^n)$  on the sentences  $\{\Phi_n\}_{n \geq 1}$ .*



## 7 Lower bound for *relaxing QU-res*

We define a family of QBCs, to be studied in this section, as follows. Let  $n \geq 1$ . Define  $\vec{P}_n$  to be the quantifier prefix  $\exists x_1 \forall y_1 \dots \exists x_n \forall y_n$ . Define  $\phi_{n,j}$  to be true if and only if  $j + \sum_{i=1}^n (x_i + y_i) \not\equiv n \pmod{3}$ . Define  $\Phi_n$  to be the sentence  $\vec{P}_n : \phi_{n,0}$ ; these are the sentences that will be used to prove the lower bound. It is straightforward to verify that  $\phi_n$  can be represented as a circuit of size polynomial in  $n$ , and we assume that  $\phi_n$  is so represented. We will also make use of the QBCs defined by  $\Phi_{n,j} = \vec{P}_n : \phi_{n,j}$ .

**Proposition 7.1** *For each  $n \geq 1$ , the sentence  $\Phi_n$  is false.*

It is straightforward to verify that a winning  $\forall$ -strategy is to set the variable  $y_i$  to the value  $\neg x_i$ .

To obtain the lower bound, we show that for any proof  $\pi$ , the graph  $G(\pi)$  must have exponentially many sinks. We begin by showing that any assignment to an initial segment of the  $\exists$ -variables can be mapped naturally to a sink.

**Lemma 7.2** *Let  $\pi$  be a relaxing QU-res proof of  $\Phi_n$  from an axiom set, and suppose  $t \geq 1$ . Let  $f : \{x_1, \dots, x_{n-\lfloor t/2 \rfloor}\} \rightarrow \{0, 1\}$  be an assignment. There exists a sink of  $G(\pi)$  whose label agrees with  $f$ .*

We next show that each sink must be defined on a variable that occurs *towards the end* of the quantifier prefix, made precise as follows.

**Lemma 7.3** *Let  $\pi$  be a relaxing QU-res proof of  $\Phi_n$  from axiom set  $H(\Phi, \Pi_t)$ , where  $t \geq 2$  and  $n \geq \lfloor t/2 \rfloor$ . Each sink of  $G(\pi)$  has a label  $a$  that is defined on one of the following variables:*

$$x_{n-\lfloor t/2 \rfloor-1}, y_{n-\lfloor t/2 \rfloor-1}, \dots, x_{n-1}, y_{n-1}, x_n, y_n.$$

**Proof.** Suppose that there exists a sink of  $G(\pi)$  with label  $a$  that is not defined on one of the specified variables. We show that any  $\Pi_t$ -relaxation of  $\Phi_n[a]$  is true, to obtain a contradiction. It suffices to prove that, for *any* assignment  $f : \{x_1, y_1, \dots, x_{n-\lfloor t/2 \rfloor}, y_{n-\lfloor t/2 \rfloor}\} \rightarrow \{0, 1\}$ , any  $\Pi_t$ -relaxation of  $\Phi_n[f]$  is true. The sentence  $\Phi_n[f]$  is truth-equivalent to a sentence of the form  $\Phi_{\lfloor t/2 \rfloor, j}$ . This latter sentence has an even number of variables which number is greater than or equal to  $t$ , and is not  $\Pi_t$ . Now consider a  $\Pi_t$ -relaxation  $\vec{P} : \phi_{\lfloor t/2 \rfloor, j}$  of  $\Phi_{\lfloor t/2 \rfloor, j}$ . We claim that this relaxation  $\vec{P} : \phi_{\lfloor t/2 \rfloor, j}$  is true. Since  $\vec{P}$  is a  $\Pi_t$ -relaxation of the prefix of  $\Phi_{\lfloor t/2 \rfloor, j}$ , there exists a variable  $x_k$  such that  $y_k$  appears to its left in  $\vec{P}$ . We describe a winning  $\exists$ -strategy that witnesses the truth of the relaxation. First, consider the case that  $k = 1$ . In this case, the variables  $x_1$  and  $x_2$  can be set so that  $y_1 + x_1 + x_2 \equiv -j \pmod{3}$ , and each other variable  $x_i$  can be set to be not equal to  $y_{i-1}$ . Then, no matter how the universal variables are set, the sum of all of the variables excluding  $y_n$  will be  $y_1 + x_1 + x_2 + (y_2 + x_3) + \dots + (y_{n-1} + x_n) \equiv y_1 + x_1 + x_2 + (n-2) \equiv n+1-j \pmod{3}$ . Then, no matter how  $y_n$  is set, the final sum  $S$  of the variables will have  $S \not\equiv n-j \pmod{3}$ . In the case that  $k \neq 1$ , the variable  $x_1$  is set arbitrarily, and the variables  $x_k$  and  $x_{k+1}$  are set so that  $x_1 + y_{k-1} + y_k + x_k + x_{k+1} \equiv 1-j \pmod{3}$ . Each other variable  $x_i$  is set to be not equal to  $y_{i-1}$ . No matter how the universal variables are set, the sum of all of the variables excluding  $y_n$  will be  $x_1 + y_{k-1} + y_k + x_k + x_{k+1} + (n-3) \equiv n+1-j \pmod{3}$ , which is sufficient as in the previous case.  $\square$

When  $f$  is a partial assignment of  $\Phi_n$ , we refer to the elements of  $\{v \mid v \leq \text{last}(f)\} \setminus \text{dom}(f)$  as *holes*.

**Lemma 7.4** *Let  $\pi$  be a relaxing QU-res proof of  $\Phi_n$  from an axiom set of the form  $H(\Phi_n, \Pi_t)$ . Each sink of  $G(\pi)$  has a label  $f$  having at most one hole.*

**Proof.** Suppose that  $f$  has 2 or more holes. There exist extensions  $f_0, f_1$ , and  $f_2$  defined on  $V = \{v \mid v \leq \text{last}(f)\}$  such that  $\sum_{v \in V} f_i(v) \equiv i \pmod{3}$  for each  $i = 0, 1, 2$ . It is straightforward to verify that one of the QBCs  $\Phi_n[f_0], \Phi_n[f_1], \Phi_n[f_2]$  is true, implying the truth of  $\Phi_n[f]$  and contradicting that  $\text{clause}(f)$  is an axiom in  $H(\Phi_n, \Pi_t)$ .  $\square$

**Theorem 7.5** *Suppose that  $t \geq 2$  and that  $n \geq \lceil t/2 \rceil$ . Let  $\pi$  be a QU resolution proof of  $\Phi_n$  from the axiom set  $H(\Phi_n, \Pi_t)$ . The graph  $G(\pi)$  has at least  $2^{n - \lceil t/2 \rceil - 1}$  sinks.*

**Proof.** By Lemma 7.2, for each assignment  $f : \{x_1, \dots, x_{n - \lceil t/2 \rceil}\} \rightarrow \{0, 1\}$ , there exists a sink  $v_f$  of  $G(\pi)$  whose label agrees with  $f$ . For each label  $g$  of each sink, any variable in  $\{x_1, \dots, x_{n - \lceil t/2 \rceil}\}$  on which  $g$  is not defined must be a hole of  $g$ , by Lemma 7.3.

Fix a mapping taking each such assignment  $f$  to such a sink  $v_f$ . Since the label of each sink has at most 1 hole (by Lemma 7.4), each sink is mapped to by at most two assignments. Hence the number of sinks must be at least the number of assignments of the form  $f : \{x_1, \dots, x_{n - \lceil t/2 \rceil}\} \rightarrow \{0, 1\}$  divided by two.  $\square$

From the previous theorem, we immediately obtain the following.

**Theorem 7.6** *Relaxing QU-res requires proofs of size  $\Omega(2^n)$  on the sentences  $\{\Phi_n\}_{n \geq 1}$ .*

## 8 Discussion

Beyond the proof systems discussed already in the paper, another natural way to certify the falsity of a QBF is by explicitly representing a winning  $\forall$ -strategy. Sometimes, the QBF literature refers to methods for extracting strategies from falsity proofs or by outfitting a solver; this notion is often called *strategy extraction*.

We can formalize a proof system ensemble based on explicit representation of  $\forall$ -strategies, as follows. We use the notation in Section 2. Let  $\Phi$  be a QBC, and let  $H$  be an axiom set of  $\Phi$ . Let us define a *circuit  $\forall$ -strategy* to be a sequence of circuits  $(C_y)_{y \in Y}$  where each  $C_y$  has  $|X_{<y}|$  input gates, which are labelled with the elements of  $X_{<y}$ . Such a sequence  $(C_y)_{y \in Y}$  naturally induces a  $\forall$ -strategy  $(\tau_y)_{y \in Y}$  for  $\Phi$ . We say that  $(C_y)_{y \in Y}$  is a *winning circuit  $\forall$ -strategy with respect to  $H$*  if for every assignment  $\sigma : X \rightarrow \{0, 1\}$ , it holds that  $\langle \tau, \sigma \rangle$  falsifies a clause in  $H$ . This naturally yields a proof system ensemble  $(A, r)$ , where  $r(k) = k + 4$  and  $A$  accepts  $(k, (\Phi, \pi))$  when the following condition holds:  $\pi$  is a winning circuit  $\forall$ -strategy for  $\Phi$  with respect to  $H(\Phi, \Pi_{k+2})$ , that is, if for each assignment  $\sigma : X \rightarrow \{0, 1\}$ , there exists a clause  $C \in H(\Phi, \Pi_{k+2})$  such that  $\langle \tau, \sigma \rangle$  falsifies  $C$ . The latter formulation of the condition can be checked with access to a  $\Pi_{k+4}^p$  oracle (equivalently, a  $\Sigma_{k+4}^p$  oracle). We call this proof system ensemble *relaxing stratex*.

From a result appearing in previous work [19, Section 3.1], it can be shown that winning circuit  $\forall$ -strategies can be efficiently computed from QU-resolution proofs. This implies the following.

**Proposition 8.1** *(derivable from [19, Section 3.1]) Relaxing stratex effectively simulates relaxing QU-res.*

The QBC family studied in the previous section had very simple winning  $\forall$ -strategies which can clearly be represented by polynomial-size circuits. We can thus conclude from Theorem 7.6 that relaxing QU-res does not simulate relaxing stratex. The separation between tree-like relaxing QU-res and (general) relaxing QU-res (Proposition 6.1 and Theorem 6.6) implies that tree-like relaxing QU-res does not simulate relaxing QU-res, while it is clear that relaxing QU-res simulates tree-like relaxing QU-res. The technical results under discussion can thus be summarized via a small hierarchy of proof system ensembles: tree-like relaxing QU-res is simulable by relaxing QU-res, but not the other way around; and, relaxing QU-res is simulable by relaxing stratex, but not the other way around.

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## A Proof of Proposition 3.4

**Proof.** For the forward direction, let  $(A, r)$  be a polynomially bounded proof system ensemble for  $L$ . Let  $k$  and  $f$  be as in Definition 3.3. Fix  $k' = r(k)$ . Let  $q$  be a polynomially such that for each string  $x$ , it holds that  $|f(x)| \leq q(|x|)$ . Membership of a given string  $x$  in  $L$  can be decided by nondeterministically guessing a string  $\pi$  of length less than or equal to  $q(|x|)$ , and then checking if  $A^{S(k')}$  accepts; this places  $L$  in the polynomial hierarchy.

For the backward direction, suppose that  $L$  is in the PH. Then, there exists a  $k' \in \mathbb{N}$  and a polynomial time algorithm  $B$  which may make oracle calls to  $S(k')$  such that  $B^{S(k')}$  accepts a string  $(x, \pi)$  if and only if  $x \in L$ . Define  $r$  to map each  $n \in \mathbb{N}$  to  $k'$ . The pair  $(B, r)$  is readily verified to be a proof system ensemble which is polynomially bounded (indeed, with respect to the constant polynomial equal everywhere to 1).  $\square$

## B Proof of Proposition 4.7

**Proof.** Suppose first that  $(k, (\Phi, \pi))$  is accepted by  $A$ . Then,  $\pi$  is a QU-resolution falsity proof of  $\Phi$  from axioms in  $H(\Phi, \Pi_{k+2})$ ; by Proposition 4.5,  $H(\Phi, \Pi_{k+2})$  is an axiom set of  $\Phi$ , so it follows from Proposition 4.2 that the QBC  $\Phi$  is false.

Suppose that  $\Phi = \vec{P} : \phi$  is a false QBC; let  $V$  denote its variables. Let  $F$  be the set that contains each assignment  $f : V \rightarrow \{0, 1\}$  that falsifies  $\phi$ . We have that  $\phi$  has the same satisfying assignments as  $\phi' = \bigwedge_{f \in F} \text{clause}(f)$ . Hence the QBC  $\Phi' = \vec{P} : \phi'$  is also false. It is known that there exists a QU-resolution proof  $\pi$  of  $\Phi'$  ending with the empty clause, from axiom set  $H_F = \{\text{clause}(f) \mid f \in F\}$ ; this follows from the *completeness* of Q-resolution on clausal QBF. Since  $H_F \subseteq H(\Phi, \Pi_{k+2})$  for each  $k$ , it holds that  $A$  accepts  $(k, (\Phi, \pi))$ .  $\square$

## C Proof of Lemma 4.8

**Proof.** Suppose that  $f \in H(\Phi, \Pi_m)$  and that  $g$  is a semicompletion of  $f$ . Suppose that  $v \in \text{dom}(g) \setminus \text{dom}(f)$ . Assume that  $\text{dom}(f)$  is non-empty. If  $\text{last}(f)$  is a  $\forall$ -variable, then by definition of semicompletion, either  $v \preceq \text{last}(f)$ ; or, each variable of the quantifier block of  $\text{last}(f)$  is in  $\text{dom}(f)$  and  $v$  occurs in the quantifier block (of  $\exists$ -variables) immediately following the block of  $\text{last}(f)$ . If  $\text{last}(f)$  is an  $\exists$ -variable, then by definition of semicompletion, it holds that  $v \leq \text{last}(f)$ . In each of these cases and also when  $\text{dom}(f) = \emptyset$ , it holds that  $v$  is in the first quantifier block of  $\Phi[f]$ , which block is existentially quantified.

We have thus established that each variable in  $\text{dom}(g) \setminus \text{dom}(f)$  is existentially quantified in  $\Phi[f]$ . Let  $\Phi' = \vec{P}' : \phi'$  be a false  $\Pi_m$ -relaxation of  $\Phi[f]$ . Let  $\Phi''$  be the sentence obtained from  $\Phi$  by replacing each variable  $v \in \text{dom}(g) \setminus \text{dom}(f)$  with the constant  $g(v)$  in  $\phi'$ , and removing each such  $v$  (and its accompanying quantifier) from  $\vec{P}'$ . We have that  $\Pi''$  is a  $\Pi_m$ -relaxation of  $\Phi[g]$ , and that the falsity of  $\Phi'$  implies the falsity of  $\Phi''$ .  $\square$

## D Proof of Proposition 6.1

**Proof.** We prove, by induction, that for  $c = 0, \dots, n$ , it holds that, for each  $j \in \{0, 1\}$ , the clause  $x_{n-c,j,0} \vee x_{n-c,j,1}$  is derivable from  $\Phi_n$  by QU-resolution. For  $c = 0$ , we have that the two clauses of concern are contained in  $B$ . Suppose that  $c \in [n]$  and that the claim is true for  $c - 1$ . By induction, we have that

the two clauses  $D_0 = x_{n-(c-1),0,0} \vee x_{n-(c-1),0,1}$  and  $D_1 = x_{n-(c-1),1,0} \vee x_{n-(c-1),1,1}$  are derivable by QU-resolution. By resolving the clause  $D_0$  with the two clauses in

$$\{\neg x_{n-(c-1),0,k} \vee \neg y_i \vee x'_{n-(c-1),0,k} \mid k \in \{0,1\}\} \subseteq T_{n-(c-1)}$$

we derive the clause  $\neg y_i \vee x'_{n-(c-1),0,0} \vee x'_{n-(c-1),0,1}$ ; by applying  $\forall$ -elimination, we derive the clause  $E_0 = x'_{n-(c-1),0,0} \vee x'_{n-(c-1),0,1}$ . Similarly, by resolving the clause  $D_1$  with the two clauses in

$$\{\neg x_{n-(c-1),1,k} \vee y_i \vee x'_{n-(c-1),1,k} \mid k \in \{0,1\}\} \subseteq T_{n-(c-1)}$$

we derive the clause  $y_i \vee x'_{n-(c-1),1,0} \vee x'_{n-(c-1),1,1}$ ; by applying  $\forall$ -elimination, we derive the clause  $E_1 = x'_{n-(c-1),1,0} \vee x'_{n-(c-1),1,1}$ . By resolving  $E_0$  and  $E_1$  with the clauses in  $H_{n-(c-1),0}$ , we derive the clause  $x_{n-c,0,0} \vee x_{n-c,0,1}$ . Similarly, by resolving  $E_0$  and  $E_1$  with the clauses in  $H_{n-(c-1),1}$ , we derive the clause  $x_{n-c,1,0} \vee x_{n-c,1,1}$ . This concludes the proof of the claim.

The empty clause is obtained by resolving the unit clauses  $\{\neg x_{0,j,k} \mid j, k \in \{0,1\}\} \subseteq B$  with the clause  $x_{0,0,0} \vee x_{0,0,1}$ , or with the clause  $x_{0,1,0} \vee x_{0,1,1}$ . The resulting proof has linear size, since each step of the induction requires a constant amount of size.  $\square$

## E Proof of Lemma 7.2

**Proof.** Fix such an assignment  $f$ . Since the empty assignment, the label of the root, agrees with  $f$ , it suffices to show the following: each non-leaf node  $u$  whose label agrees with  $f$ , has an edge to a node which agrees with  $f$ . If  $u$  has one outgoing edge, then this is clear by the description in Proposition 4.9. If  $u$  has two outgoing edges, let  $v$  be the variable described in Proposition 4.9. If  $v$  is universally quantified, then both of its children agree with  $f$ ; if  $v$  is existentially quantified, then one of the children must have label  $a$  where  $a(v) = f(v)$ ; this child's label  $a$  then agrees with  $f$ .  $\square$