Pseudo proof systems
and hard instances of SAT*

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Abstract

We link two concepts from the literature, namely hard sequences for the satisfiability problem \textsc{sat} and so-called pseudo proof systems proposed for study by Krajíček. Pseudo proof systems are elements of a particular nonstandard model constructed by forcing with random variables. Speaking in standard terms, pseudo proof systems are propositional proof systems that are unsound in the sense that they might prove some falsifiable propositional formulas but falsifying assignments are in a certain sense hard to find. A hard sequence for a \textsc{sat}-algorithm is, roughly, a feasibly computable sequence of satisfiable propositional formulas such that the algorithm needs superpolynomial time on them. We show that the existence of pseudo proof systems with a certain property that we call madness is equivalent to the existence of so-called probably hard sequences computable by certain randomized polynomial time algorithms. We discuss variants of hard sequences and survey the relevant literature.

1 Introduction

Pseudo proof systems It is a basic question of mathematical logic, unsettled to date, whether there exists a (propositional) proof system that has short proofs for all (propositional) tautologies. More formally, recall that abstractly a propositional proof system is a polynomial time function from the set of binary strings \(\{0, 1\}^*\) into the set \textsc{taut} of (binary strings coding) propositional tautologies. Often [19] it is additionally required, that the function is not only into \textsc{taut}, meaning soundness, but also onto, meaning completeness. Having short proofs means that the system is polynomially bounded: every tautology has a proof, i.e., preimage, of length polynomial in its length. Such proof systems exist if and

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only if \( NP = \text{coNP} \) [19]. Requiring additionally that short proofs can be computed in polynomial time characterizes \( P = \text{NP} \). It is not known whether the usual textbook systems, called Frege in this context, are polynomially bounded (see [10, 11] for discussions).

As is well known, “one can think of length-of-proofs lower bounds as about problems of how to construct suitable models of particular bounded arithmetic” [36, p.175]. A general method to construct such models is developed in [36] following Scott’s [53] forcing with random variables. In this context Krajíček suggests the study of so-called pseudo proof systems. These can be characterized in standard terms, i.e., without any mention of nonstandard models, and we include such a standard formulation in the statement of our main result (Theorem 2 below). Roughly, a pseudo proof system may have proofs of falsifiable formulas but these are hard to detect in that polynomial time algorithms succeed to witness falsifiability only for a vanishing fraction of proofs of a given length. We refer to Propositions 25 and 26 for precise statements. The model-theoretic context, however, is of independent interest.\(^1\)

Namely, an important instance of the method in [36] is the Boolean valued model \( K(F^n_{PV}) \). Its universe is given by the set of all polynomial time functions on binary strings of some fixed nonstandard length \( n \in M \), where \( M \) is some fixed large nonstandard model of true arithmetic. The Boolean valuation considers two such functions equal if they differ only on an infinitesimal fraction of input strings. The model interprets the language having symbols for all polynomial time functions and relations, and it turns out that in \( K(F^n_{PV}) \) all true universal statements in this language are valid. Intuitively, one can say that \( K(F^n_{PV}) \) models a significant amount of feasible reasoning. In particular and more precisely, all \( \forall \Sigma^b_1 \)-consequences of Buss’ \( S^1_2 \) are valid in \( K(F^n_{PV}) \) (see e.g. [9]). This together with its appealing and familiar definition makes \( K(F^n_{PV}) \) an object of interest. We shall mention some related constructions (cf. Remark 21) once we gave the precise definition in Section 3.2.

The objects of \( K(F^n_{PV}) \) “can be viewed from two different perspectives” [36, p.160], namely, first as elements of the universe of \( K(F^n_{PV}) \) and second as functions defined on binary strings \( \{0, 1\}^n \). For example, viewed as an element of \( K(F^n_{PV}) \) a propositional proof system is a tautology in the sense of \( K(F^n_{PV}) \). Conversely, a tautology in the sense of \( K(F^n_{PV}) \) is a pseudo proof system (cf. Definition 22). Viewed as a function on binary strings a pseudo proof system may be unsound. In fact, it is conceivable that \textit{mad} pseudo proof systems exist (cf. Definition 27). Viewed as elements of \( K(F^n_{PV}) \) these are tautologies in the sense of \( K(F^n_{PV}) \) but viewed as functions on binary strings they \textit{never} output a tautology.

In [36, Section 24.4] Krajíček asks for transfer principles concerning pseudo proof systems. Loosely speaking a \textit{transfer principle} is a statement that allows to infer properties of standard objects from properties of nonstandard objects, and vice-versa. Our main result (Theorem 2) is such a transfer principle that links the existence of mad pseudo proof systems to a hypothesis concerning the computational complexity of the satisfiability problem \( \text{SAT} \) of independent interest, explained next.

\(^1\)All relevant model-theoretic concepts will be explained, no knowledge of [36] is assumed.
Hard sequences  For an algorithm solving a hard computational task there exist instances of the problem witnessing that the algorithm is not feasible. For example, \( P \neq \text{NP} \) if and only if every \( \text{sat} \)-algorithm has a hard sequence:

**Definition 1.** Let \( Q \subseteq \{0,1\}^* \) and \( \mathcal{A} \) be a \( Q \)-algorithm, i.e., an algorithm deciding \( Q \), and let \( p \) be a polynomial. A sequence \( (x_n)_{n \in \mathbb{N}} \) is \( p \)-hard for \( \mathcal{A} \) if for infinitely many \( n \in \mathbb{N} \):

(H1) \( x_n \in Q \),

(H2) \( t_{\mathcal{A}}(x_n) > p(|x_n|,n) \).

Here, \( t_{\mathcal{A}}(x) \) denotes the running time of \( \mathcal{A} \) on input \( x \). Being hard for \( \mathcal{A} \) means being \( p \)-hard for \( \mathcal{A} \) for all polynomials \( p \).

It is a natural question to ask whether such a sequence could be computable in polynomial time. Here, we say that a sequence \( (x_n)_{n \in \mathbb{N}} \) of binary strings \( x_n \in \{0,1\}^* \) is polynomial time computable if so is the function that computes \( x_n \) from \( 1^n = 1 \cdots 1 \) (\( n \) times).\(^2\)

**Hard Sequence Hypothesis** For every \( \text{sat} \)-algorithm \( \mathcal{A} \) there exists a polynomial time computable sequence which is hard for \( \mathcal{A} \).

We are not aware of a place where this hypothesis has been formulated explicitly, but it is certainly implicit in many papers. We are also not aware of any well-established computational hardness hypothesis that would imply this hypothesis.

Hard sequences have been studied from at least two perspectives. The first is speed-up, going back at least to [54]: if \( \mathcal{A} \) has a hard sequence \( (x_n) \) with the additional property to be in \( Q \) (i.e., \( x_n \in Q \) for all \( n \in \mathbb{N} \)), then there is an algorithm \( \mathcal{B} \) that runs in polynomial time on \( \{x_n \mid n \in \mathbb{N}\} \) (see e.g. [17, Lemma 4.1]), so is superpolynomially faster than \( \mathcal{A} \).

The second perspective, more relevant to this paper, is to witness failure of feasible algorithms: equip a given \( \text{sat} \)-algorithm \( \mathcal{A} \) with a polynomial “clock” \( p \), that is, stop its computation on an input \( x \) after \( p(|x|) \) steps and reject if it did not halt. This yields an algorithm \( \mathcal{A}^p \) without false positive answers, and a \( p \)-hard sequence contains infinitely many false negative answers of \( \mathcal{A}^p \). Witnessing failure has been studied not only for deterministic algorithms but also for randomized [20, 55, 6] and non-uniform algorithms [41, 8, 2]. More recent discussions of witnessing failure include [48, 12] in the contexts of independence of \( S^1_2 \) and natural proofs, respectively.

The Hard Sequence Hypothesis has many natural variants. One can ask to produce hard sequences for larger or smaller sets of algorithms, or allow more or less computational power for their construction. Here we focus on weaker variants. The following section is intended both to discuss some of these variants and to survey the corresponding literature.

A natural (see e.g. [20]) first weakening of the Hard Sequence Hypothesis is by allowing randomness in the construction of hard sequences. One then asks for polynomial time samplable (as opposed to computable) probably hard sequences (cf. Definitions 7, 6).

\(^2\)Note that (H2) in the definition of a polynomial time computable hard sequence is equivalent to the statement that \( t_{\mathcal{A}}(x_n) \) is not \( n^{O(1)} \) (matching the definition in [17]).
We observe that \textsc{sat}-algorithms do have such sequences under cryptographic assumptions (cf. Proposition 9).

Second, a natural subclass of \textsc{sat}-algorithms are \textsc{sat}-\textit{solvers}: \textsc{sat}-algorithms which upon accepting a satisfiable input formula $F$ also output a binary string of length $\leq |F|$ that satisfies $F$. We say that a binary string $x = x_1 \cdots x_n \in \{0,1\}^n$ satisfies $F$ if so does the truth assignment that maps the $i$-th variable of $F$ to $x_i$ if $i \leq n$ and to 0 otherwise. We observe that \textsc{sat}-\textit{solvers} do have polynomial time computable hard sequences under a well-established hypothesis (cf. Proposition 13).

\textbf{Transfer principle} Our transfer principle links the existence of mad pseudo proof systems with the existence of probably hard sequences that are samplable with a quite restrictive use of randomness that we call \textit{invertibility} (cf. Definition 15). Intuitively, the sampler is required to witness its outputs by publishing the random seed used.

\textbf{Theorem 2.} The following are equivalent:

1. There is a nonstandard $n \in M$ such that $K(F^n_{PV})$ contains mad pseudo proof systems.
2. Every \textsc{sat}-solver has an invertibly samplable probably hard sequence.
3. There is a polynomial time computable function $f$ such that for all $\epsilon > 0$ and all polynomial time computable functions $g$ there are infinitely many $n \in \mathbb{N}$ such that

   (i) for all $x \in \{0,1\}^n$: $f(x)$ is a falsifiable propositional formula;

   (ii) for at most an $\epsilon$-fraction of $x \in \{0,1\}^n$: $g(x)$ is a falsifying assignment of $f(x)$.

We bias our discussion of probably hard sequences in Section 2 and of pseudo proof systems with the existence of probably hard sequences that are samplable with a quite restrictive use of randomness that we call invertibility (cf. page 3): For \textsc{taut} the question whether hard sequences can be computed in polynomial time has gained a lot of attention, especially for sequences $(F_n)_n$ that are in \textsc{taut} (cf. page 3): $E$ and \textsc{ne} denote deterministic and nondeterministic simply exponential time $2^{O(n)}$, respectively.

\section{Hard sequences}

\subsection{Hard sequences for \textsc{taut}-algorithms}

For \textsc{taut} the question whether hard sequences can be computed in polynomial time has gained a lot of attention, especially for sequences $(F_n)_n$ that are in \textsc{taut} (cf. page 3):
Theorem 4 (Krajíček and Pudlák [38]). The following are equivalent.

1. **TAUT** does not have an almost optimal algorithm, i.e., an algorithm A deciding **TAUT** such that for every algorithm B deciding **TAUT** there is a polynomial p such that 
   \[ t_A(F) \leq p(t_B(F) + |F|) \]
   for all formulas \( F \in \text{TAUT} \).

2. There does not exist a p-optimal propositional proof system, i.e., a propositional proof system \( P^* \) such that for all propositional proof systems \( P \) there exists a polynomial time computable function t such that \( P = P^* \circ t \).

3. For every **TAUT**-algorithm A there is a polynomial time computable sequence in **TAUT** which is hard for A.

4. For every propositional proof system \( P \) there exists a polynomial time computable sequence \((F_n)_{n \in \mathbb{N}}\) in **TAUT** such that for every polynomial time computable sequence \((\pi_n)_{n \in \mathbb{N}}\) there are infinitely many \( n \) such that \( P(\pi_n) \neq F_n \).

We attribute this theorem to [38] where the crucial equivalence of (1) and (2) is proved. See [24] for a survey of variants for nondeterministic, nonuniform and heuristic algorithms. The equivalences to the hard sequences in (3) and (4) follow from well-known facts about propositional reflection principles (see e.g. [34, Chapter 14], or [5] for a survey). More direct and more general arguments can be found in [17, Theorems 4.3(a), 6.7(a)].

Since polynomial time algorithms are trivially almost optimal, the hypothesis that one of the statements of Theorem 4 is true implies \( \mathsf{P} \neq \mathsf{NP} \). In fact, it implies \( \mathsf{E} \neq \mathsf{NE} \) [38] and \( \mathsf{EE} \neq \mathsf{NEE} \) [32] and more [3]. We mention that the hypothesis and its variant for nondeterministic algorithms are deeply rooted in mathematical logic, linked to whether “one could realize the Hilbert program in a modified, finitistic sense” [38, p.1067], to finite model theory [14], to the complexity of Gödel’s proof predicate [13], and to consistency statements [16].

### 2.2 Hard sequences for SAT-algorithms

One might wonder what is special about **TAUT** or for which other problems \( Q \) do the equivalences in Theorem 4 hold true. The notion of a propositional proof system is straightforwardly generalized: a (complete) proof system for \( Q \) is a polynomial time computable surjection onto \( Q \). Almost optimality and p-optimality are explained as in Theorem 4 (1), (2).

Trivially, \( (1 \iff 2) \) holds true for any \( Q \) polynomially isomorphic to **TAUT**, and thus for all \( \text{coNP} \)-complete \( Q \) if one assumes the Berman-Hartmanis conjecture [4]. As shown in [17] this conjecture can be avoided. Sadowski [52] proved \( (1 \iff 2) \) for **sat** and Messner [46] for all paddable \( Q \). But, as shown in [17, Theorem 7.10], \( (1 \iff 3) \) breaks for some \( Q \) if one assumes the Measure Hypothesis (see e.g. [43]). It is unknown for **sat**. More precisely, consider the somewhat stronger version of the Hard Sequence Hypothesis that asks for sequences in **sat** (cf. page 3). This version implies but is not known to be equivalent to the hypothesis that **sat** does not have almost optimal algorithms.
Indeed, SAT and TAUT behave quite differently in our context. First of all, there is an obvious polynomially bounded proof system for SAT. It is, however, unlikely to be p-optimal [33]. Further, already in 1973 Levin [40] found an optimal SAT-solver (see Theorem 10). It is, however, unlikely to be almost optimal among general SAT-algorithms. This is proved in [15, Proposition 4.5], a survey of some recent applications of Levin’s result.

On the positive side, Gutfreund, Shaltiel and Ta-Shma showed:

**Theorem 5 ([20]).** If NP \( \not\subseteq \text{P} \), then for every polynomial \( p \) and every SAT-algorithm \( A \) there is a polynomial time computable sequence which is \( p \)-hard for \( A \).

A diagonalizing argument shows that one can compute hard sequences in slightly superpolynomial time (see [20, Theorem 1.6] for such a construction) but the construction of polynomial time computable hard sequences remains open.

Does randomness help? As for a notion of feasibility for sequences of random strings\(^4\) we borrow the following from average case complexity [7]:

**Definition 6.** A sequence of random strings \((X_n)_{n \in \mathbb{N}}\) is \((\text{polynomial time})\) samplable if there exists a polynomial time computable sampler for it, that is, a function \( D : \{0, 1\}^* \to \{0, 1\}^* \) such that \( D \circ U_n \) has the same distribution as \( X_n \) for all \( n \in \mathbb{N} \). Here, \( U_n \) denotes a random variable uniformly distributed in \( \{0, 1\}^n \).

The following definition is convenient. With suitable adjustments, it makes sense for randomized SAT-algorithms, and has been implicitly studied in [20, 55]. Here, we restrict attention to deterministic algorithms.

**Definition 7.** Let \( A \) be a \( Q \)-algorithm, \( p \) a polynomial and \( \delta, \epsilon > 0 \). A sequence \((X_n)_{n \in \mathbb{N}}\) of random strings is \((\delta, \epsilon)\)-probably \( p \)-hard for \( A \) if for infinitely many \( n \in \mathbb{N} \):

\[
\begin{align*}
(P1) \quad & \Pr(X_n \in Q) \geq 1 - \delta, \\
(P2) \quad & \Pr(t_A(X_n) > p(|X_n|, n)) \geq 1 - \epsilon.
\end{align*}
\]

The sequence is \((\delta, \epsilon)\)-probably hard for \( A \) if for all polynomials \( p \) it is \((\delta, \epsilon)\)-probably \( p \)-hard for \( A \). And we call it probably hard for \( A \) if for all \( \epsilon > 0 \) it is \((0, \epsilon)\)-probably hard for \( A \).

Note that a hard sequence is \((0, 0)\)-probably hard, and conversely, any sequence of realizations of a \((0, 0)\)-probably hard sequence is hard.

We now show that, using randomness, (superpolynomial) hardness is achievable under cryptographic assumptions.\(^5\) The proof below could be carried out with weak versions of such assumptions (e.g. “i.o.” versions [25]) but we prefer to stick with the standard definition (see e.g. [22]):

\(^4\)A random string is a random variable with values in \( \{0, 1\}^* \). Given any random variable we always use \( \Pr \) to denote the probability measure of the underlying probability space.

\(^5\)Such assumptions are prohibitive in the context of [20, 2, 6] who are concerned with the problem to reduce average-case hardness hypotheses to worst-case hardness hypotheses.
Definition 8. A cryptographic pseudo-random generator with stretch \( 2n \) is a polynomial time computable function \( G : \{0, 1\}^* \to \{0, 1\}^* \) such that \( |G(r)| = 2|r| \) for all \( r \in \{0, 1\}^* \) and for all positive polynomials \( p \) and all randomized polynomial time algorithms \( A \) we have for all sufficiently large \( n \):

\[
| \Pr(A \text{ accepts } G(U_n)) - \Pr(A \text{ accepts } U_{2n}) | \leq 1/p(n). \tag{1}
\]

Proposition 9. Assume cryptographic pseudo-random generators with stretch \( 2n \) exist. Then there is a samplable sequence which is probably hard for every \( \text{sat} \)-algorithm.

Proof. Let \( G \) be a generator as assumed to exist. Clearly, its image

\[
Q := \{ G(r) \mid r \in \{0, 1\}^* \}
\]

is in NP, so there is a polynomial time reduction \( f \) from \( Q \) to \( \text{sat} \). Define

\[
D(r) := f(G(r)),
\]

and note \( \Pr(D(U_n) \in \text{sat}) = 1 \) for all \( n \in \mathbb{N} \). Assume for the sake of contradiction, that \( (D(U_n))_n \) is not probably hard for some \( \text{sat} \)-algorithm \( \mathbb{B} \). Then there are a polynomial \( p \) and \( \epsilon > 0 \) such that \( \Pr(t_B(D(U_n)) \leq p(n)) \geq \epsilon \) for infinitely many good \( n \).

Let \( \mathbb{A} \) accept an input \( r \) if and only if \( \mathbb{B} \) accepts \( f(r) \) in at most \( p(|r|) \) steps. Then \( \Pr(\mathbb{A} \text{ accepts } G(U_n)) \geq \epsilon \) for all good \( n \). But the event that \( \mathbb{A} \) accepts \( U_{2n} \) implies the event that \( \mathbb{B} \) accepts \( f(U_{2n}) \), hence \( f(U_{2n}) \in \text{sat} \), hence \( U_{2n} \in Q \). The latter event has probability \( \leq 2^n/2^{2n} = 2^{-n} \). Thus, for all large enough good \( n \) the difference of the probabilities in (1) is at least \( \epsilon - 2^{-n} \geq \epsilon/2 \), a contradiction.

In [18] a similar sampler has been studied with the aim to speed-up randomized \( \text{sat} \)-algorithms in a certain weak sense.

2.3 Hard sequences for SAT-solvers

A natural weakening of the Hard Sequence Hypothesis is to ask for hard or probably hard sequences not for general \( \text{sat} \)-algorithms but only for \( \text{sat} \)-solvers. Note that it follows from the self-reducibility of \( \text{sat} \), that \( \mathsf{P} \neq \mathsf{NP} \) if and only if every \( \text{sat} \)-solver has a hard sequence. Krajiček constructs for every \( \text{sat} \)-solver \( \mathbb{A} \) and every polynomial \( p \) a polynomial time computable sequence \( p \)-hard for \( \mathbb{A} \). His construction works under the assumption of lower bounds for a propositional proof system proving the correctness of \( \mathbb{A} \) (see [37] for a precise statement). Following [20], Bogdanov et al. [6] construct \( p \)-hard sequences for \( \text{sat} \)-solvers under the assumption that \( \mathsf{NP} \nsubseteq \mathsf{P} \). For randomized \( \text{sat} \)-solvers they obtain \((0.1, 0.34)\)-probably \( p \)-hard sequences under the assumption that \( \mathsf{NP} \nsubseteq \mathsf{BPP} \). More importantly, Bogdanov et al. construct formulas together with their satisfying assignments (we refer to [6] for a precise statement). It is clear that these so-called dreambreakers cannot be (superpolynomially) hard for Levin’s optimal \( \text{sat} \)-solver \( \mathbb{L} \).
Theorem 10 (Levin [40]). There exists a SAT-solver $L$ such that for every SAT-solver $A$ there exists a polynomial $p_A$ such that $t_L(F) \leq p_A(t_A(F) + |F|)$ for every $F \in \text{SAT}$.

We shall use the following easy consequence mainly with $\delta = 0$ by referring to “the optimality of $L$”. Note the lemma applies to (deterministic) hard sequences because these are $(0,0)$-probably hard sequences.

Lemma 11. Let $(X_n)_{n \in \mathbb{N}}$ be a sequence of random strings and $\epsilon \geq \delta \geq 0$. If $(X_n)_{n \in \mathbb{N}}$ is $(\delta, \epsilon - \delta)$-probably hard for $L$, then it is $(\delta, \epsilon)$-probably hard for every SAT-solver.

Proof. Assume $(X_n)_{n \in \mathbb{N}}$ is $(\delta, \epsilon - \delta)$-probably hard for $L$. Let $A$ be a SAT-solver and $p$ a polynomial such that for almost all $n \in \mathbb{N}$:

$$\Pr(X_n \in \text{SAT}) \geq 1 - \delta \implies \Pr(t_A(X_n) \leq p(|X_n|, n)) \geq \epsilon. \tag{2}$$

Choose a nondecreasing polynomial $p_A$ for $A$ according to Theorem 10. Then (2) implies

$$\Pr(X_n \in \text{SAT}) \geq 1 - \delta \implies \Pr(t_L(X_n) \leq p_A(p(|X_n|, n)) \text{ or } X_n \notin \text{SAT}) \geq \epsilon,$$

and thus

$$\Pr(X_n \in \text{SAT}) \geq 1 - \delta \implies \Pr(t_L(X_n) \leq p_A(p(|X_n|, n))) \geq \epsilon - \delta.$$

Hence, $(X_n)_{n \in \mathbb{N}}$ is not $(\delta, \epsilon - \delta)$-probably hard for $L$. $\square$

In particular:

Proposition 12. The following are equivalent.

1. There exists a samplable sequence which is probably hard for $L$.
2. There exists a samplable sequence which is probably hard for all SAT-solvers.
3. For every SAT-solver $A$ there exists a samplable sequence which is probably hard for $A$.

Cryptographic assumptions are not needed to infer the existence of such sequences. Indeed, the following is essentially known.

Proposition 13. The following statements are equivalent, and implied by $\text{NE} \cap \text{coNE} \not\subseteq \text{E}$.

1. There exists a polynomial time computable sequence which is hard for $L$.
2. There exists a polynomial time computable sequence which is hard for all SAT-solvers.
3. For every SAT-solver $A$ there exists a polynomial time computable sequence which is hard for $A$.
4. For every SAT-solver $A$ there exists an injective polynomial time computable sequence $(F_n)_{n \in \mathbb{N}}$ which is hard for $A$ and such that $|F_n| \geq n$ for all $n \in \mathbb{N}$. 

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Proof. (1 \Rightarrow 2) follows from the optimality of \(L\) (Lemma 11). (2 \Rightarrow 3) and (4 \Rightarrow 1) are trivial. To prove (3 \Rightarrow 4) we proceed as in [17, Proposition 3.2] using a padding function: a polynomial time computable function \(pad\) that maps a formula \(F\) and a string \(y \in \{0,1\}^*\) to a formula \(pad(F,y)\) of length at least \(|F| + |y|\) that has the same satisfying assignments as \(F\), and such that there are two polynomial time functions mapping any input of the form \(pad(F,y)\) to \(F\) and \(y\), respectively.

Let \(\mathcal{A}\) be a sat-solver and assume (3). Define an algorithm \(\mathcal{B}\) as follows: given a formula \(F\), for \(t = 0,1,\ldots\) compute \(t\) steps of \(\mathcal{A}\) on each of \(pad(F,1^0),\ldots, pad(F,1^t)\); as soon as one of these computations halts, return the answer obtained.

Clearly, \(\mathcal{B}\) is a sat-solver and there is a polynomial \(p\) such that for every \(t \in \mathbb{N}\) and every formula \(F\) we have \(t_F(F) \leq p(t + t_F(pad(F,1^t)))\). By (3) there is a polynomial time computable sequence \((F_n)_n\) hard for \(\mathcal{B}\). Then \((pad(F_n,1^n))_n\) is polynomial time computable and hard for \(\mathcal{A}\). This sequence is injective and satisfies \(|pad(F_n,1^n)| \geq n\) for all \(n \in \mathbb{N}\).

We have proved that (1)-(4) are equivalent. We now derive (2) assuming there exists a problem \(Q \in \text{NE} \cap \text{coNE} \setminus \text{E}\). For a binary string \(x\) let \(\text{num}(x)\) be the natural number with binary expansion \(1x\). Then

\[
Q' := \{1^{\text{num}(x)} \mid x \in Q\} \in \text{NP} \cap \text{coNP} \setminus \text{P}.
\]

We now proceed as in [15, Proposition 4.5]. By the NP-completeness of sat, there are polynomial time reductions \(r_1\) and \(r_0\) from \(Q'\) and \(\{0,1\}^* \setminus Q'\) to sat. We can assume that \(r_1(1^n)\) and \(r_0(1^n)\) are propositional formulas. Then \(r_1(1^n) \lor r_0(1^n) \in \text{sat}\), and a satisfying assignment satisfies exactly one of \(r_1(1^n)\) and \(r_0(1^n)\), namely \(r_1(1^n)\) if \(1^n \in Q'\), and \(r_0(1^n)\) if \(1^n \notin Q'\). Since \(Q' \notin \text{P}\), there is no sat-solver \(\mathcal{A}\) such that \(t_F(r_1(1^n) \lor r_0(1^n)) \leq n^{O(1)}\). □

The reader might wonder whether the self-reducibility of sat allows to transform a somehow hard sequence for sat-solvers to a somehow hard sequence for sat-algorithms. We do not know how to preserve superpolynomial hardness in such a transformation. To point out the difficulty we include the following argument, similar to arguments in [20].

**Proposition 14.** Let \(\epsilon \geq \delta \geq 0\). Assume there exists a samplable \((\delta,\epsilon - \delta)\)-probably hard sequence for \(L\). Then for every sat-algorithm \(\mathcal{A}\) and every polynomial \(p\) there exists a samplable sequence which is \((1/2 + \delta/2,\epsilon)\)-probably \(p\)-hard for \(\mathcal{A}\).

**Proof.** Let \(D'\) be a polynomial time sampler for a sequence which is \((\delta,\epsilon - \delta)\)-probably hard for \(L\). Let a sat-algorithm \(\mathcal{A}\) and a polynomial \(p\) be given.

For a formula \(F\) with at least \(n\) variables and a string \(x = x_1 \ldots x_n \in \{0,1\}^n\) let \(F^x\) be obtained from \(F\) by substituting for each \(1 \leq i \leq n\) the Boolean value \(x_i\) for the \(i\)-th variable in \(F\). Define a sat-solver \(\mathcal{B}\) as follows. On an input formula \(F\), initialize \(x \leftarrow \lambda\) to the empty string \(\lambda\); while \(F^x\) has a free variable, run \(\mathcal{A}\) in parallel on \(F^{x0}\) and \(F^{x1}\); let \(b \in \{0,1\}\) be such that \(\mathcal{A}\) on \(F^{xb}\) halted first; if \(\mathcal{A}\) accepted, then update \(x \leftarrow xb\); else update \(x \leftarrow xb'\) for \(b' := 1 - b\). Upon leaving the while loop, accept with output \(x\) if \(F^x\) is true (this is a Boolean formula without variables); else reject.

Observe that there is a polynomial \(q\) such that for all formulas \(F\) and all \(n \in \mathbb{N}\), \(t_{\mathcal{B}}(F) \leq q(|F|,n)\) or \(\mathcal{B}\) enters the while loop for a value of \(x\) that is \(n\)-critical for \(F\) in that
both \( t_\lambda(F^{x_0}) > p(|F^{x_0}|, n) \) and \( t_\lambda(F^{x_1}) > p(|F^{x_1}|, n) \). Further note that, if \( F \in \text{SAT} \), then at least one of these two formulas is satisfiable.

We define a sampler \( D \): given \( \lambda \), output some fixed satisfiable formula \( F_0 \); given \( rb \) with \( r \in \{0, 1\}^n \) and \( b \in \{0, 1\} \), run \( B \) on \( D'(r) \) until the while loop is called for an \( n \)-critical \( x \); then output \( F^{xb} \); if this never happens, output \( F_0 \).

By Lemma 11, \( (D' \circ U_n)_n \) is \((\delta, \epsilon)\)-probably hard for \( B \), so \( \Pr(D'(U_n) \in \text{SAT}) \geq 1 - \delta \) and \( \Pr(r_B(D'(U_n)) > q(|D'(U_n)|, n)) \geq 1 - \epsilon \) for infinitely many good \( n \).

Suppose \( n \) is good. For every \( r \in \{0, 1\}^n \) such that \( F := D'(r) \) is satisfiable, \( D(rb) \) is unsatisfiable only if it equals \( F^{xb} \) for some \( x \) with \( F^{x(1-b)} \) satisfiable. Hence we have

\[
\Pr(D(U_{n+1}) \in \text{SAT} | D'(U_n) \in \text{SAT}) \geq 1/2, \quad \text{and thus}
\]

\[
\Pr(D(U_{n+1}) \in \text{SAT}) \geq 1/2 \cdot \Pr(D'(U_n) \in \text{SAT}) \geq 1/2 - \delta/2.
\]

For every \( r \in \{0, 1\}^n \) with \( r_B(D'(r)) > q(|D'(r)|, n) \) we have \( D(rb) = F^{xb} \) for some \( x \) which is \( n \)-critical for \( F \), so in particular \( t_\lambda(D(rb)) > p(|D(rb)|, n) \). Thus

\[
\Pr(t_\lambda(D(U_{n+1})) > p(|D(U_{n+1})|, n)) \geq \Pr(r_B(D'(U_n)) > q(|D'(U_n)|, n)) \geq 1 - \epsilon.
\]

Thus, \((D \circ U_n)_n\) is \((1/2 + \delta/2, \epsilon)\)-probably \( p \)-hard for \( A \).

We now consider sequences sampled with some restricted use of randomness, as announced in the Introduction.\(^6\)

**Definition 15.** A sequence of random strings \((X_n)_{n \in \mathbb{N}}\) is **invertibly samplable** if it has a polynomial time sampler \( D \) which is invertible, i.e., \( D \) is injective and the partial function \( D^{-1} \) is computable in polynomial time.

The sampler defined in the proof of Proposition 9 is not invertible. For invertible samplers, hardness has the following handy reformulation.

**Lemma 16.** Let \( D \) be an invertible polynomial time sampler for \((X_n)_{n \in \mathbb{N}}\). Then the following are equivalent.

1. \((X_n)_{n \in \mathbb{N}}\) is probably hard for \( \mathbb{L} \).
2. For every polynomial time function \( g \) and for all \( \epsilon > 0 \) there are infinitely many \( n \) such that \( \Pr(X_n \in \text{SAT}) = 1 \) and

\[
\Pr\left(|g(U_n)| \leq |D(U_n)| \text{ and } g(U_n) \text{ satisfies } D(U_n)\right) \leq \epsilon. \tag{3}
\]

**Proof.** \((1 \Rightarrow 2)\) Assume \((2)\) fails and choose \( g \) and \( \epsilon \) witnessing this. Define the following algorithm \( A \): given as input a formula \( F \), compute the string \( y := g(D^{-1}(F)) \) and check whether it has length \( \leq |F| \) and satisfies \( F \); if so, then accept with output \( y \), else reject.

\(^6\)Our notion of invertibility is more restrictive than the one considered in [56].
Further, define the algorithm $B$ to run $A$ in parallel with an arbitrary $\text{sat}$-solver. If one of the two procedures halts accepting, then $B$ accepts with the corresponding output. If both procedures reject, so does $B$.

Since $A$ is polynomial time bounded, there is a polynomial $p$ such that $t_B(F) \leq p(|F|)$ for every formula $F$ accepted by $A$. Since $B$ is a $\text{sat}$-solver, there exists a polynomial $p_B$ such that then $t_L(F) \leq p_B(p(|F|))$ (Theorem 10). Thus

\[
\Pr \left( t_L(X_n) \leq p_B(p(|X_n|)) \right) \geq \Pr \left( A \text{ accepts } X_n \right)
\]

\[
= \Pr \left( |g(D^{-1}(X_n))| \leq |X_n| \text{ and } g(D^{-1}(X_n)) \text{ satisfies } X_n \right).
\]

Note this last probability equals the probability in (3). By our assumption that (2) fails this probability is $> \epsilon$ or $\Pr(X_n \in \text{sat}) < 1$ for almost all $n$. Hence, $(X_n)_{n \in \mathbb{N}}$ is not $(0, \epsilon)$-probably ($p_B \circ p$)-hard for $L$.

$(2 \Rightarrow 1)$ If (1) fails, there is a polynomial $p$ and an $\epsilon > 0$ such that for almost all $n$, $\Pr(X_n \in \text{sat}) < 1$ or $\Pr \left( t_L(X_n) \leq p(|X_n|, n) \right) > \epsilon$.

Define a polynomial time function $g$ as follows. On input $r$ run $L$ on $D(r)$ for at most $p(|D(r)|, |r|)$ steps. If this computation does not halt accepting, then return the empty string; else return $L$’s output. Then $|g(r)| \leq |D(r)|$ for all $r$, and the probability in (3) equals the probability of the event that $g(U_n)$ satisfies $D(U_n)$. For $n$ with $\Pr(X_n \in \text{sat}) = 1$, this event is implied by the event that $t_L(X_n) \leq p(|X_n|, n)$, so has probability $> \epsilon$. Thus statement (2) fails. \hfill $\square$

We show how to get invertibility using pseudo-random generators (of the Nisan-Wigderson type). This is a standard application of the “general framework for derandomization” of [31]. For definiteness we use the parameter setting from the standard textbook [1].

**Definition 17.** Let $S : \mathbb{N} \rightarrow \mathbb{N}$. A function $G : \{0, 1\}^* \rightarrow \{0, 1\}^*$ is an $S(\ell)$-pseudo-random generator if $G(r)$ is computable in time $2^{O(|r|)}$, has length $S(|r|)$ and for all $\ell \in \mathbb{N}$ and all Boolean circuits $C$ with at most $S(\ell)^3$ gates and at most $S(\ell)$ inputs

\[
| \Pr \left( C(G(U_\ell)) = 1 \right) - \Pr \left( C(U_{S(\ell)}) = 1 \right) | < 0.1. \tag{4}
\]

We say pseudo-random generators exist if there is $\delta > 0$ such that $2^{[\delta \ell]}$-pseudo-random generators exist.

**Proposition 18.** Assume pseudo-random generators exist. If there exists a polynomial time computable hard sequence for $L$, then there exists an invertibly samplable probably hard sequence for $L$.

**Proof.** Let $(F_n)_n$ be polynomial time computable and hard for $L$. By Proposition 13 we can assume that the sequence is injective and $|F_n| \geq n$ for all $n$. Using the padding function $\text{pad}$ from the proof of this proposition, define a sampler

\[ D(r) := \text{pad}(F_{|r|}, r), \]
Clearly, $D$ is polynomial time computable and invertible. Assume for the sake of contradiction that $(D(U_n))_n$ is not probably hard for $\mathbb{L}$. Applying Lemma 16 we get a polynomial time function $g$ and $\epsilon > 0$ and $n_0 \in \mathbb{N}$ such that for all $n > n_0$:

$$\Pr(D(U_n) \in \text{sat}) = 1 \implies \Pr(|g(U_n)| \leq |D(U_n)|) \text{ and } g(U_n) \text{ satisfies } D(U_n)) > \epsilon. \quad (5)$$

Note $\Pr(D(U_n) \in \text{sat})$ is 1 or 0 depending on whether $F_n \in \text{sat}$ or not. Further note that a string satisfies $D(U_n)$ if and only if it satisfies $F_n$. Hence (5) implies

$$F_n \in \text{sat} \implies \Pr(g(U_n) \text{ satisfies } F_n) > \epsilon. \quad (6)$$

Call $n \in \mathbb{N}$ good if $n > n_0$ and $F_n \in \text{sat}$. We claim there is a sat-solver $A$ such that $t_A(F_n) \leq n^{O(1)}$ for all good $n$. This implies that $(F_n)_n$ is not hard for $A$ and thus also not for $\mathbb{L}$ (Lemma 11), a contradiction.

Let $c \in \mathbb{N}$ be such that $(1 - \epsilon)^c \leq 0.9$. Let $C_n$ be a size $n^{O(1)}$ circuit with $c \cdot n$ inputs that accepts $r_1 \cdots r_c$ with $r_i \in \{0,1\}^n$ if and only if at least one of $g(r_1), \ldots, g(r_c)$ satisfies $F_n$. If $n$ is good, then $\Pr(C_n(U_{cn}) = 1) > 0.1$ by choice of $c$ and (6). For every $m \geq cn$ we can view $C_n$ as a circuit $C'_m$ on $m$ inputs. Further, there is a polynomial time function $g$ such that $g(n,r)$ satisfies $F_n$ whenever $r \in \{0,1\}^m$ is such that $C'_m(r) = 1$.

If we set $m_n := 2^{[\delta \ell_n]}$ where $\ell_n := [d \log n]$ for a sufficiently large constant $d \in \mathbb{N}$, then $m_n \geq cn$ and $C'_m$ has size $\leq m_n^3$. Here, $\delta > 0$ witnesses that there exists a pseudo-random generator $G$. For all good $n$ we have $\Pr(C'_m(U_{m_n}) = 1) > 0.1$, so $\Pr(C'_m(G(U_{cn})) = 1) \neq 0$ by (4). Hence, for good $n$, $g(n,G(r))$ satisfies $F_n$ for at least one $r \in \{0,1\}^{\ell_n}$.

Define the sat-solver $A$ as follows. Given a formula $F$ it runs some arbitrary sat-solver and in parallel does the following: compute $F_0, \ldots, F_{|F|}$; unless there is $n_0 < n \leq |F|$ such that $F_n = F$, reject; otherwise compute the strings $g(n,G(r))$ for all $\leq n^d$ many $r \in \{0,1\}^{\ell_n}$; if one of them satisfies $F = F_n$, then output it and accept; else reject.

It is easy to see that $A$ is polynomially time bounded on $F_n$ for good $n$, as desired. □

3 Mad pseudo proof systems

3.1 Preliminaries: language $L_{PV}$ and model $M$

So far we considered polynomial time on the set of binary strings $\{0,1\}^*$. To view polynomial time on $\mathbb{N}$, we view every $n \in \mathbb{N}$ as a binary string, say, by taking the binary expansion of $n$ and deleting the most significant bit. Then $\{0,1\}^n$ corresponds to the numbers between $2^n$ and $2^{n+1} - 1$, and we continue to write $\{0,1\}^n$ for this interval.

We consider every $r$-ary polynomial time computable function $f : \mathbb{N}^r \to \mathbb{N}$ as an $r$-ary function symbol and every $r$-ary polynomial time decidable relation $R \subseteq \mathbb{N}^r$ as an $r$-ary relation symbol. Constants are nullary function symbols. Let $L_{PV}$ denote the resulting first-order language. The standard $L_{PV}$-structure has as universe $\mathbb{N}$ and interprets all function and relation symbols from $L_{PV}$ by themselves. We denote this structure also by $\mathbb{N}$ and in general do not distinguish structures from their universes notionally. The theory $\text{Th}_{\mathbb{N}}(L_{PV})$ is the set of universal sentences true in $\mathbb{N}$.
To fix some notation we list some symbols of the language $L_{PV}$. It contains a unary function $|n|$ denoting the length of $n$ as a binary string; the $\{0,1\}$-valued binary function $\text{bit}(i,n)$ gives the $i$-th bit of this string, and $0$ if $i > |n|$. We say $n$ codes the set $\langle n \rangle := \{i \in \mathbb{N} \mid \text{bit}(i,n) = 1\}$. For a set $A \subseteq \mathbb{N}$ coded in $\mathbb{N}$ let $\langle A \rangle$ denote its code. A finite function $\alpha$ is coded by $m$ if $m$ codes the set of $\langle i, \alpha(i) \rangle$ for $i$ in the domain of $\alpha$; here, $\langle i, j \rangle$ is a bijection from $\mathbb{N}^2$ onto $\mathbb{N}$. For readability we write $i \in A$ for $\text{bit}(i,\langle A \rangle) = 1$, and $\alpha(i)$ for a suitable $L_{PV}$-term applied to $i$ and the code of $\alpha$.

Positive rationals are coded by pairs $\langle n, m \rangle$ written $n/m$ with $m \neq 0$ and ambiguously we use the symbol $\leq$ also with its meaning in the rationals. There is a unary function $\text{card}(n)$ in $L_{PV}$ giving the cardinality of $\langle n \rangle$. Further, $L_{PV}$ contains a unary function mapping $\langle 0 \rangle$ to $0$, and $\langle A \rangle$ to the rational $\text{card}(\langle A \rangle)/2^n = \text{Pr}(U_n \in A)$ for every nonempty $A \subseteq \{0,1\}^n$. We also write $\text{Pr}$ for this function.

We fix an $N_1$-saturated elementary extension $M$ of $\mathbb{N}$. This means $M$ is an extension of $\mathbb{N}$ with the property that every countable family of definable subsets of $M$ with the finite intersection property has non-empty intersection. By definable we mean definable by formulas with parameters from $M$. Elements of $M \setminus \mathbb{N}$ are nonstandard.

We speak of sets and functions coded in $M$ in the same sense as explained above, in particular, we have the notations $\langle a \rangle$ and $\langle A \rangle$ for elements $a$ of $M$ and coded subsets $A$ of $M$. The interpretation of a symbol $\sigma \in L_{PV}$ in $M$ is denoted $\sigma^M$ but we shall often omit the superscript $M$. Pairs $\langle a, b \rangle = \langle a, b \rangle^M$ written $a/b$ with $b \neq 0$ are $M$-rationals. E.g. the values of $\text{Pr}^M$ are $M$-rationals. Note that every (code of a) rational is an $M$-rational.

We use the following notions from nonstandard analysis (see e.g. [30]). The standard part of an $M$-rational $a/b$ is the real

$$\left(\frac{a}{b}\right)^* := \inf\{q \in \mathbb{Q} \mid a/b \leq q\},$$

provided the set on the r.h.s. is non-empty; it is undefined otherwise. An $M$-rational with standard part $0$ is infinitesimal.

### 3.2 Krajíček’s model $K(F^n_{PV})$

The model $K(F^n_{PV})$ is Boolean valued with values in the Boolean algebra $\mathcal{B}_n$, defined below.

The function $n \mapsto \langle \{0,1\}^n \rangle$ is definable in the standard model $\mathbb{N}$. Since $M$ is an elementary extension of $\mathbb{N}$, this function extends to a function on $M$. Evaluating it on $n \in M$ gives the code of a subset of $M$ that we denote by $\{0,1\}^n$. Let $\mathcal{A}_n$ be the set of subsets of $\{0,1\}^n$ that are coded in $M$. Then $\mathcal{A}_n$ is a Boolean algebra and $\{\langle A \rangle \mid A \in \mathcal{A}_n\}$ is coded in $M$. Note that for every $L_{PV}$-formula $\varphi(x)$ (even with parameters from $M$) we have $\{\omega \in \{0,1\}^n \mid M \models \varphi(\omega)\} \in \mathcal{A}_n$.

Let $n \in M$ be nonstandard. The set

$$\text{Inf}_n := \{A \in \mathcal{A}_n \mid \text{Pr}^M(\langle A \rangle) \text{ is infinitesimal}\}$$

is an ideal in $\mathcal{A}_n$ (and not coded in $M$). Call $A, A'$ equivalent if their symmetric difference is in $\text{Inf}_n$. The equivalence class of $A \in \mathcal{A}_n$ is denoted $A/\text{Inf}_n$. These classes form the
Boolean algebra $\mathcal{B}_n$, defined as the factor

$$\mathcal{B}_n := \mathcal{A}_n/\text{Inf}_n.$$  

Using the assumption that $M$ is $\aleph_1$-saturated one can show [36, Lemma 1.2.1]:

**Lemma 19.** For every nonstandard $n \in M$, the Boolean algebra $\mathcal{B}_n$ is complete.

We now describe the model $K(F^n_{PV})$. Its universe is $F^n_{PV}$, the set of all restrictions $f^M|\{0,1\}^n$ of $f^M$ to $\{0,1\}^n$ where $f \in L_{PV}$ is a unary function symbol (and $f^M$ its interpretation in $M$). We use $\alpha, \beta, \ldots$ to range over $F^n_{PV}$. Observe that every $\alpha \in F^n_{PV}$ is coded in $M$ (but not the set $F^n_{PV}$, viewed as a set of codes). Further observe that for every $r$-ary relation symbol $f \in L_{PV}$ and every $r$-tuple $(\alpha_1, \ldots, \alpha_r)$ the function

$$\omega \mapsto f^M(\alpha_1(\omega), \ldots, \alpha_r(\omega))$$

defined on $\omega \in \{0,1\}^n$ is in $F^n_{PV}$. We interpret the function symbols of $L_{PV}$ in this way over $F^n_{PV}$. Then every closed $L_{PV}$-term $t$ with parameters from $F^n_{PV}$ denotes an element $t^{K(F^n_{PV})}$ of $F^n_{PV}$. The Boolean valuation maps every $L_{PV}$-sentence $\varphi$ with parameters from $F^n_{PV}$ to a Boolean value $[\varphi] \in \mathcal{B}_n$. For atomic $\varphi$ this Boolean value is defined setting:

$$[R(t_1, \ldots, t_r)] := \{ \omega \in \{0,1\}^n \mid (t_1^{K(F^n_{PV})}(\omega), \ldots, t_r^{K(F^n_{PV})}(\omega)) \in R^M \}/\text{Inf}_n,$n

$$[t = s] := \{ \omega \in \{0,1\}^n \mid s^{K(F^n_{PV})}(\omega) = t^{K(F^n_{PV})}(\omega) \}/\text{Inf}_n,$$

where $t, s, t_1, \ldots, t_r$ are closed $L_{PV}$-terms with parameters from $F^n_{PV}$ and $R \in L_{PV}$ is an $r$-ary relation symbol. For arbitrary sentences with parameters in $F^n_{PV}$ the Boolean value is then determined via the usual recurrence: $[\neg \varphi] := \sim [\varphi]$, $[(\varphi \lor \psi)] := [\varphi] \cup [\psi]$, $[\exists x \varphi(x)] := \sup_{\alpha} [\varphi(\alpha)]$ where $\sim, \cup, \sup$ denote the obvious operations of $\mathcal{B}_n$ as a complete Boolean algebra. The minimal and maximal elements of $\mathcal{B}_n$ are respectively $0_{\mathcal{B}_n} := 0/\text{Inf}_n$ and $1_{\mathcal{B}_n} := \{0,1\}^n/\text{Inf}_n$.

A sentence $\varphi$ is valid in $K(F^n_{PV})$ if $[\varphi] = 1_{\mathcal{B}_n}$. One straightforwardly verifies [36, Lemma 1.4.2]:

**Lemma 20.** Let $n \in M$ be nonstandard. If $\varphi(x, y, \ldots)$ is a quantifier-free $L_{PV}$-formula and $\alpha, \beta, \ldots \in F^n_{PV}$, then

$$[\varphi(\alpha, \beta, \ldots)] = \{ \omega \in \{0,1\}^n \mid M \models \varphi(\alpha(\omega), \beta(\omega), \ldots) \}/\text{Inf}_n.$$  

In particular, every sentence in $\text{Th}_v(L_{PV})$ is valid in $K(F^n_{PV})$.

We close this subsection with some historical notes meant to back up our claim from the Introduction that the definition of $K(F^n_{PV})$ follows natural and familiar lines.

**Remark 21** (Historical notes). Boolean valued models date back to the work of Rasiowa and Sikorski [51], and became popular when it was realized that Cohen’s method of forcing can be viewed as a method to construct Boolean valued models of set theory. We refer to
[27, Chapter 14] and the references therein. In [53] Scott explained this view by constructing a model based on random variables of a higher-order theory of the reals as an ordered field. Such so-called Boolean powers are studied in more generality in [45, 50].

The book [36] develops Scott's [53] forcing with random variables as a method to build models $K(F)$ (and two-sorted extensions thereof) of bounded arithmetics. Instead of $F^n_{PV}$ these use suitable families $F \subseteq M^\Omega$ for $\Omega$ coded in $M$, together with an analogously defined complete Boolean algebra $B$. The crucial move being to restrict the construction to families $F$ of random variables samplable with limited computational complexity. Technically, fullness ([27, p.208],[45, Theorem 1.4]) of the model is lost and much of the theory develops around finding conditions ensuring partial fullness for certain classes of formulas.

The models $K(F)$ can be seen as partial randomizations of $M$ in the sense of Keisler [29]: the triple $(F, Pr^M, B)$ satisfies only a fragment of Keisler’s randomization theory. In particular, $K(F)$ satisfies Keisler’s “Fullness Axiom” [29, p.128] only for very special $F$ (see [36, Theorem 3.5.2]), and $K(F^n_{PV})$ does not.

As remarked in [36, footnote 2, p.3] one can collapse $K(F^n_{PV})$ to a usual two-valued model by factoring $B_n$ with a suitable ultrafilter (see [51, Lemma 9.1]). The result is a restricted ultrapower of $M$. These have been studied for fragments of arithmetic [39, 26, 44, 35, 49, 21] ever since Skolem’s definable ultrapower (see [23, IV.1.(b)]).

### 3.3 Pseudo proof systems

Let $Fml$ be the set of naturals which (viewed as binary strings) code propositional formulas, and $Sat$ contain the pairs $(\ell, m)$ such that $m \in Fml$ and $\ell$ (as a binary string) satisfies the formula coded by $m$. Then $Fml$ and $Sat$ are relation symbols in $L_{PV}$. The formula

$$\text{Taut}(x) := \forall y(|y| \leq |x| \rightarrow Sat(y, x))$$

defines TAUT, viewed as a set of naturals. It follows from Lemma 20 that, if $f \in L_{PV}$ is a proof system (i.e., $\forall x \text{Taut}(f(x)) \in \text{Th}_{\forall}(L_{PV})$), then $f^M \upharpoonright \{0, 1\}^n \in F^n_{PV}$ is a pseudo proof system as defined in [36, p.162]:

**Definition 22.** Let $n \in M$ be nonstandard. An element $\alpha \in F^n_{PV}$ is a pseudo proof system in $K(F^n_{PV})$ if $\text{Taut}(\alpha)$ is valid in $K(F^n_{PV})$.

**Remark 23.** Hirsch et al. [25] study so-called heuristic proof systems. These are randomized proof systems that are allowed to prove non-tautologies (with constant probability) but only few of them with respect to some distribution. Pseudo proof systems are conceptually different. First, they are not randomized. More importantly, the point of a pseudo proof system is that erroneous outputs (non-tautologies) are hard to detect as such, and not that there are few of them. In fact, as we shall see in the next section, it is conceivable that there are mad pseudo proof systems, pseudo proof systems all of whose outputs are erroneous. The notion of a pseudo proof system is more akin to Kabanets’ pseudo-p-classes [28].

Let $\neg \in L_{PV}$ map every $n \in Fml$ to its negation (to the number coding the negation of the formula coded by $n$).
Lemma 24. Let \( n \in M \) be nonstandard and \( f \in L_{PV} \). The following are equivalent.

1. \( f^M \rceil \{0,1\}^n \) is a pseudo proof system in \( K(F^n_{PV}) \).
2. For all \( g \in L_{PV} \):
\[
\{ \omega \in \{0,1\}^n \mid M \models |g(\omega)| \leq |f(\omega)| \land \neg \text{Sat}(g(\omega), f(\omega)) \} \in \text{Inf}_n.
\]

If \( M \models \forall x \in \{0,1\}^n \ Fml(f(x)) \), then these statements are equivalent to

3. For all \( g \in L_{PV} \):
\[
\{ \omega \in \{0,1\}^n \mid M \models \text{Sat}(g(\omega), \neg \text{Sat}(f(\omega))) \} \in \text{Inf}_n.
\]

Proof. Write \( \alpha := f^M \rceil \{0,1\}^n \). Let \( \beta \) range over \( F^n_{PV} \). Statement (1) means
\[
0_{\text{Inf}} = \sup_{\beta} \{ \beta \models |\beta| \leq |\alpha| \rightarrow \text{Sat}(\beta, \alpha) \}
= \sup_{\beta} \{ \omega \in \{0,1\}^n \mid M \models |\beta(\omega)| \leq |\alpha(\omega)| \rightarrow \text{Sat}(\beta(\omega), \alpha(\omega)) \}/\text{Inf}_n,
\]
using Lemma 20. Equivalently, for all \( \beta \):
\[
\{ \omega \in \{0,1\}^n \mid M \models |\beta(\omega)| \leq |f(\omega)| \land \neg \text{Sat}(\beta(\omega), f(\omega)) \} \in \text{Inf}_n.
\]

This is equivalent to (2) because the \( \beta \in F^n_{PV} \) are precisely the functions of the form \( g \rceil \{0,1\}^n \) for \( g \in L_{PV} \).

Suppose \( M \models \forall x \in \{0,1\}^n \ Fml(f(x)) \). Then for all \( g \in L_{PV} \), \( \text{Sat}(g(x), \neg \text{Sat}(f(x))) \) is equivalent to \( \neg \text{Sat}(g(\omega), f(\omega)) \) in \( M \), so (3) implies (2). Conversely, given \( g \in L_{PV} \) there is \( g' \in L_{PV} \) such that the set in (3) for \( g \) equals the set in (2) for \( g' \): if \( |g(\omega)| > |f(\omega)| \), then \( g'(\omega) \) deletes the last \( |g(\omega)| - |f(\omega)| \) many bits; this truncation does not change how the variables of the formula \( f(\omega) \) are evaluated.

Whether or not a polynomial time function \( f \) gives rise to a pseudo proof system does not so much depend on the choice of the model \( M \) but it does depend on the choice of the nonstandard length \( n \). The notions obtained by quantifying \( n \) either universally or existentially can be characterized in purely standard terms, i.e., without any mention of nonstandard models.

Proposition 25. Let \( f \in L_{PV} \). The following are equivalent.

1. For all nonstandard \( n \in M \):
\[ f^M \rceil \{0,1\}^n \text{ is a pseudo proof system in } K(F^n_{PV}). \]
2. For all \( g \in L_{PV} \):
\[
\limsup_{m \in \mathbb{N}} \Pr \left( |g(U_m)| \leq |f(U_m)| \text{ and } (g(U_m), f(U_m)) \notin \text{Sat} \right) = 0.
\]
Proof. For \( g \in L_{PV} \) let \( A_{g,f} : \mathbb{N} \to \mathbb{N} \) map \( m \in \mathbb{N} \) to
\[
A_{g,f}(m) := \{ \omega \in \{0, 1\}^m \mid \mathbb{N} \models |g(\omega)| \leq |f(\omega)| \land \neg \text{Sat}(g(\omega), f(\omega)) \}^\downarrow. \tag{8}
\]
This function is definable in the standard model \( \mathbb{N} \), so extends to a function \( A^M_{g,f} \) on \( M \).
We have for all \( n \in M \):
\[
\downarrow A^M_{g,f}(n) := \{ \omega \in \{0, 1\}^n \mid M \models |g(\omega)| \leq |f(\omega)| \land \neg \text{Sat}(g(\omega), f(\omega)) \} \in \mathcal{A}_n.
\]

\((1 \Rightarrow 2)\). If \((2)\) fails, there are \( g \in L_{PV} \) and \( \ell \in \mathbb{N} \) such that
\[
\mathbb{N} \models \forall x \exists y > x \Pr(A_{g,f}(y)) \geq 1/\ell.
\]
By elementary equivalence, this sentence holds in \( M \). Plug some nonstandard \( a \in M \) for \( x \) and choose \( n \in M \) witnessing \( y \). Then \( n \) is nonstandard, and \( M \models \Pr(A_{g,f}(n)) \geq 1/\ell \).
Thus \((\Pr^M(A^M_{g,f}(n))^* \geq 1/\ell > 0, \) so \( \downarrow A^M_{g,f}(n) \uparrow \notin \text{Inf}_n \). But this is the set in Lemma 24 (2).
Hence \( f^M \downarrow \{0, 1\}^n \) is not a pseudo proof system in \( K(F^n_{PV}) \).

\((2 \Rightarrow 1)\). Let \( n \in M \) be nonstandard. We verify Lemma 24 (2). So let \( g \in L_{PV} \). We show that \( M \models \Pr(A_{g,f}(n)) \leq 1/\ell \) for all \( \ell \in \mathbb{N} \). Given \( \ell \in \mathbb{N} \), \((2)\) gives \( t \in \mathbb{N} \) such that
\[
\mathbb{N} \models \forall y > t \Pr(A_{g,f}(y)) < 1/\ell.
\]
By elementary equivalence, this sentence holds in \( M \). Since \( n \) is nonstandard, we have \( t <^M n \). Plugging \( n \) for \( y \) gives \( M \models \Pr(A_{g,f}(n)) < 1/\ell \), as desired. \( \square \)

Our proof of the dual statement is less straightforward. For later use, we give a slightly more general statement involving an arbitrary \( L_{PV} \)-formula \( \psi(x) \):

**Proposition 26.** Let \( f \in L_{PV} \) and \( \psi(x) \) be an \( L_{PV} \)-formula. The following are equivalent.

1. For some nonstandard \( n \in M \) with \( M \models \psi(n) \):
\[
f^M \downarrow \{0, 1\}^n \text{ is a pseudo proof system in } K(F^n_{PV}).
\]

2. For all \( g \in L_{PV} \):
\[
\liminf_{m \in \mathbb{N}} \Pr \left( \text{if } \mathbb{N} \models \psi(m), \text{ then } |g(U_m)| \leq |f(U_m)| \text{ and } (g(U_m), f(U_m)) \notin \text{Sat} \right) = 0.
\]

Note the probability in statement (2) equals 1 if \( \mathbb{N} \not\models \psi(m) \), and otherwise it equals the probability in the previous Proposition 25 (2).

**Proof.** We use the notation \( A_{g,f}(y) \) from the proof of the previous proposition (cf. \((8)\)).

\((1 \Rightarrow 2)\). If \((2)\) fails, there are \( g \in L_{PV} \) and \( \ell, t \in \mathbb{N} \), such that
\[
\mathbb{N} \models \forall y > t (\psi(y) \to \Pr(A_{g,f}(y)) \geq 1/\ell).
\]
Then, being an elementary extension, $M$ satisfies this sentence. Thus, for every nonstandard $n \in M$ with $M \models \psi(n)$ we have $(\Pr(A^{M}_{g,f}(n)))^{*} \geq 1/\ell$, so $\cup A^{M}_{g,f}(n) \notin \Inf_{n}$, i.e., Lemma 24 (2) fails.

$(2 \Rightarrow 1)$. For $g \in L_{PV}$ and standard $\ell > 0$ let $\varphi_{g,f,\ell}(x)$ be the formula

$$x \geq \ell \land \psi(x) \land \Pr(A_{g,f}(x)) < 1/\ell. \quad (9)$$

Given finitely many such formulas $\varphi_{g_{0},f,\ell_{0}}, \ldots, \varphi_{g_{k},f,\ell_{k}}$ set $\ell := \max_{i \leq k} \ell_{i}$ and let $g \in L_{PV}$ be computed by the following polynomial time algorithm: on input $\omega$, compute $f(\omega), g_{0}(\omega), \ldots, g_{k}(\omega)$; if there is $i \leq k$ such that $|g_{i}(\omega)| \leq |f(\omega)|$ and $(g_{i}(\omega), f(\omega)) \notin \Sat$, then output such $g_{i}(\omega)$ (say for the least such $i \leq k$); otherwise output 0.

Then we have for all $m \in \mathbb{N}$ that $\bigcup_{i \leq k} \cup A_{g_{i},f}(m) \subseteq \cup A_{g,f}(m)$ and thus for all $i \leq k$:

$$\Pr(A_{g_{i},f}(m)) \leq \Pr(A_{g,f}(m)). \quad (10)$$

Now, $(2)$ gives for $g$ and $\ell$ infinitely many $m \in \mathbb{N}$ such that the probability in $(2)$ is smaller $1/\ell$. Choose such $m \geq \ell$. Then $\mathbb{N} \models \psi(m)$ and $\Pr(A_{g,f}(m)) < 1/\ell$. By choice of $\ell$ and $(10)$ we get $\Pr(A_{g_{i},f}(m)) < 1/\ell < 1/\ell_{i}$ for all $i \leq k$. That is, $m \geq \ell \geq \ell_{i}$ satisfies $\varphi_{g_{i},\ell_{i}}(x)$ for all $i \leq k$.

Hence, any finitely many of the formulas $\varphi_{g_{i},f,\ell}(x)$ for $g \in L_{PV}$ and standard $\ell > 0$ are jointly satisfiable in $\mathbb{N}$ and hence in $M$. In other words, the family of subsets of $M$ defined by these formulas has the finite intersection property. Since $M$ is $\aleph_{1}$-saturated, there is $n \in M$ satisfying all these formulas. This $n$ is nonstandard and satisfies $M \models \psi(n)$ and $\Pr(A_{g,f}(n)) < 1/\ell$ for all standard $\ell > 0$ and all $g \in L_{PV}$. Hence, $\cup A_{g,f}(n) \notin \Inf_{n}$ for all $g \in L_{PV}$. This is Lemma 24 (2), so $f^{M}|\{0,1\}^{n}$ is a pseudo proof system in $K(F^{n}_{PV})$. \qed

### 3.4 Madness

**Definition 27.** Let $n \in M$ be nonstandard. A pseudo proof system $f^{M}|\{0,1\}^{n}$ in $K(F^{n}_{PV})$ is **mad** if

$$M \models \forall x \in \{0,1\}^{n}(Fml(f(x)) \land \neg \Taut(f(x))). \quad (11)$$

Putting everything together yields the statements announced in the Introduction.

**Proof of Theorem 2.** Statements (1) and (3) of the theorem are equivalent to statements (1) and (2) of Proposition 26 respectively, taking the formula in (11) as $\psi(n)$.

We prove the equivalence of (1) and (2).

$(1 \Rightarrow 2)$ Suppose there are $n \in M \setminus \mathbb{N}$ and $f \in L_{PV}$ such that $f^{M}|\{0,1\}^{n}$ is a mad pseudo proof system. Define

$$D(r) := \text{pad}(\text{neg}(f(r)), r)$$

where $\text{pad}$ is the padding function from the proof of Proposition 13. Then $D$ is in $L_{PV}$ and invertible. By Lemma 11 it suffices to show that $D$ samples a sequence that is probably hard for Levin’s $\mathbb{L}$.
By (11) we have $M \models \psi(n)$ where $\psi(x)$ is the $L_{PV}$-formula
\[ \forall y \in \{0,1\}^x \exists z \text{ Sat}(z, \text{neg}(f(y))). \quad (12) \]
Since $M \models \forall x \in \{0,1\}^n \text{Fml}(f(x))$ by (11), we get Lemma 24 (3). Note $\text{Sat}(y, \text{neg}(f(x)))$ is equivalent to $\text{Sat}(y, D(x))$ in $M$, so for all $g \in L_{PV}$:
\[ \{ \omega \in \{0,1\}^n \mid M \models |g(\omega)| \leq |D(\omega)| \land \text{Sat}(g(\omega), D(\omega)) \} \in \text{Inf}_n. \]
This set equals $\land B_{g,D}^M(n)_\omega$, where $B_{g,D}(x)$ is the function, definable in $\mathbb{N}$, mapping $m$ to the code of $\{ \omega \in \{0,1\}^m \mid \mathbb{N} \models |g(\omega)| \leq |D(\omega)| \land \text{Sat}(g(\omega), D(\omega)) \}$. This implies for all $g \in L_{PV}$ and all standard $\ell > 0$ that $M$ and hence $\mathbb{N}$ models
\[ \exists x \geq \ell \left( \psi(x) \land \text{Pr}(B_{g,D}(x)) < 1/\ell \right). \]
This implies Lemma 16 (2), so $(D(U_n))_n$ is probably hard for $\mathbb{L}$.

$(2 \Rightarrow 1)$ Suppose $D \in L_{PV}$ is an invertible sampler of a sequence probably hard for $\mathbb{L}$, or equivalently, suppose Lemma 16 (2) holds. We can assume that $D$ only outputs formulas, i.e., its range is included in $\text{Fml}$. Define the function
\[ f(r) := \text{neg}(D(r)). \]
Then $f \in L_{PV}$ and we claim that there is a nonstandard $n \in M$ such that $f^M \upharpoonright \{0,1\}^n$ is a mad pseudo proof system in $K(F^n_{PV})$.

Note $\forall y \text{Fml}(f(y))$ holds in $\mathbb{N}$ and hence in $M$. So to get (11) it suffices to get $M \models \psi(n)$ for the formula $\psi(x)$ defined in (12). Hence, we are left to verify Proposition 26 (2):
\[ \liminf_m \text{ Pr}\left( \text{if } \mathbb{N} \models \psi(m), \text{ then } |g(U_m)| \leq |\text{neg}(D(U_m))| \right. \]
\[ \text{ and } (g(U_m), \text{neg}(D(U_m))) \notin \text{Sat} \right) = 0, \]
for all $g \in L_{PV}$. Observe $(x, \text{neg}(D(y))) \notin \text{Sat}$ and $(x, D(y)) \in \text{Sat}$ are equivalent. Further, $\mathbb{N} \models \psi(m)$ means $\text{Pr}(D(U_m) \in \text{SAT}) = 1$. Thus we have to show that for all $g \in L_{PV}$ and all $\epsilon > 0$ there are infinitely many $m \in \mathbb{N}$ such that $\text{Pr}(D(U_m) \in \text{SAT}) = 1$ and
\[ \text{Pr}\left( |g(U_m)| \leq |\text{neg}(D(U_m))| \right. \text{ and } (g(U_m), D(U_m)) \in \text{Sat} \right) \leq \epsilon. \]
This follows from Lemma 16 (2).

Proof of Corollary 3. By assumption $\text{NE} \cap \text{coNE} \not\subseteq \text{E}$ and Proposition 13, there exist polynomial time computable hard sequences for $\mathbb{L}$. By the assumption that pseudo-random generators exist and Proposition 18, there exists an invertibly samplable probably hard sequence for $\mathbb{L}$. By optimality of $\mathbb{L}$, this sequence is probably hard for every $\text{SAT}$-solver. Now apply Theorem 2.
4 Discussion

4.1 Standard definitions of pseudo proof systems

It is not entirely straightforward to give a definition of pseudo proof systems in standard terms. Informally, one would define a polynomial time computable function $f$ mapping binary strings to propositional formulas to be a pseudo proof system if for all polynomial time functions $g$ the probability

$$\Pr(g(U_n) \text{ is a falsifying assignment of } f(U_n))$$

is “small” (as a function of $n$); see statement (3) in Theorem 2. We avoided such a definition because the right notion of “small” likely depends on context. Propositions 25 and 26 respectively motivate to take “small” to mean $o(1)$ and “not $\Omega(1)$”. Further, from a purely\(^7\) complexity theoretic perspective, “negligible” suggests itself.

4.2 Hypotheses concerning hard sequences

Consider the following three statements:

(i) Every sat-solver has a polynomial time computable hard sequence.

(ii) Every sat-solver has an invertibly samplable probably hard sequence.

(iii) Every sat-solver has a samplable probably hard sequence.

Each of these statements is equivalent to the assertion that there exists a sequence of the respective type for Levin’s optimal sat-solver $L$ (Lemma 11). Trivially, (i) implies (iii), and (ii) implies (iii). By Proposition 18, (i) implies (ii) if pseudo-random generators exist. By Proposition 13, (i) holds if $\text{NE} \cap \text{coNE} \not\subseteq \text{E}$. By Theorem 2, (ii) is equivalent to the existence of mad pseudo proof systems.

We do not know a well-established hypothesis implying (i) for general sat-algorithms instead sat-solvers, that is, the Hard Sequence Hypothesis. In particular, we do not know whether this hypothesis is implied by the hypothesis that sat does not have optimal algorithms, or equivalently [52], p-optimal proof systems. By Proposition 9, (iii) for sat-algorithms holds under cryptographic assumptions.

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\(^7\)See, however, the remark in [36, p.15] on probability amplification in the model-theoretic setting.
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