Foundations of Probabilistic Proofs

A course by **Alessandro Chiesa**

Lecture 11

PCPs with Sublinear Verification

PCP for NEXP

Non-Deterministic Exponential Time has **Two-Prover Interactive Protocols**



László Babai Lance Fortnow



Carsten Lund



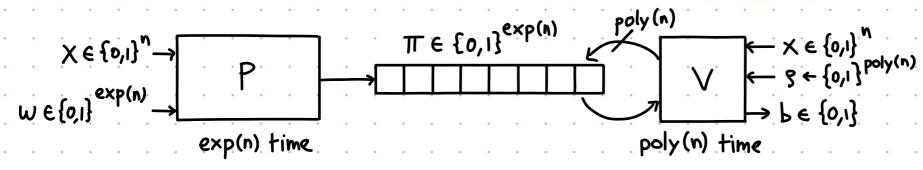
So far we constructed PCPs for NP:

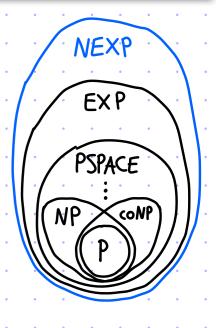
$$NP \subseteq PCP \left[\begin{array}{c} \mathcal{E}_{c} = 0, \mathcal{E}_{s} = \frac{1}{2}, \sum_{i=1}^{n} \mathcal{E}_{o,i} \right], \mathcal{L} = \exp(n), q = O(1), r = poly(n) \right]$$

$$NP \subseteq PCP \left[\begin{array}{c} \mathcal{E}_{c} = 0, \mathcal{E}_{s} = \frac{1}{2}, \sum_{i=1}^{n} \mathcal{E}_{o,i} \right], \mathcal{L} = poly(n), q = poly(logn), r = O(logn) \right]$$

Today we construct a PCP for NEXP:

theorem: NEXP \subseteq PCP[$\varepsilon_c=0$, $\varepsilon_s=\frac{1}{2}$, $\Sigma=\{0,1\}$, $\ell=\exp(n)$, $q=\operatorname{poly}(n)$, $r=\operatorname{poly}(n)$





In a prior lecture we proved that PCP = NEXP, so we conclude that PCP = NEXP.

- $\ell = \exp(n)$ is the correct regime since the witness and computation have size $\exp(n)$
- · 9 = poly(n) is exponentially smaller than witness and computation size
- · PCP verifier time is poly(n) (by definition), exponentially smaller than original computation

The first example of "VERIFICATION FASTER THAN COMPUTATION" that we see for PCPs.

To achieve sublinear verification we must:

- 1 consider a problem where | description | << | computation |
- 2 design a PCP verifier that only uses the description (does not "unroll" the computation)
- 1 We have seen examples when constructing IPs for "large classes":

Ex: in #SAT we are given a boolean formula $\varphi:\{0,1\}^n \to \{0,1\}$ and $v \in \mathbb{N}$, and must check $\left|\left\{\alpha \in \{0,1\}^n \mid \varphi(\alpha)=1\}\right|^2 \lor$

Ex: in TQBF we are given a boolean formula $\varphi: \{0,1\}^n \to \{0,1\}$ and must check $\forall x_1 \exists x_2 \forall x_3 \cdots \varphi(x_1,...,x_n) \stackrel{?}{=} 1$

In both cases the description has size 191 but the "computation" has size 2 191.

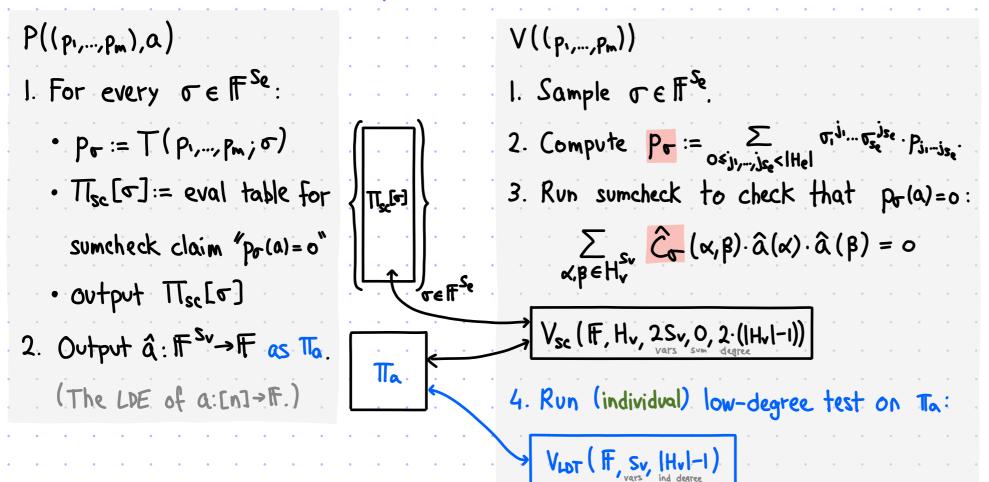
In our lectures on PCPs we have not yet considered such problems. We have built PCPs for NP-complete problems where $| description | \sim | computation |$:

QESAT(F)= {
$$(p_1,...,p_m) \mid \exists a \in F^n \text{ s.t. } p_1(a)=...=p_m(a)=0$$
 }

Towards Sublinear Verification

- To achieve sublinear verification we must:
- (1) consider a problem where | description | << | computation |
- @ design a PCP verifier that only uses the description (does not "unroll" the computation)
- 2 The PCPs that we designed operate on the computation, not its description:

PCP for QESAT (F)



computing Po and evaluating \hat{c}_{σ} takes time poly (m,n) even if (p1,..., Pm) has "structure"

Interlude: Cook-Levin Theorem

We review the ideas that underlie the Cook-Levin theorem:

theorem: SAT is NP-hard $(\forall L \in NP, L \text{ is polynomial-time reducible to SAT})$

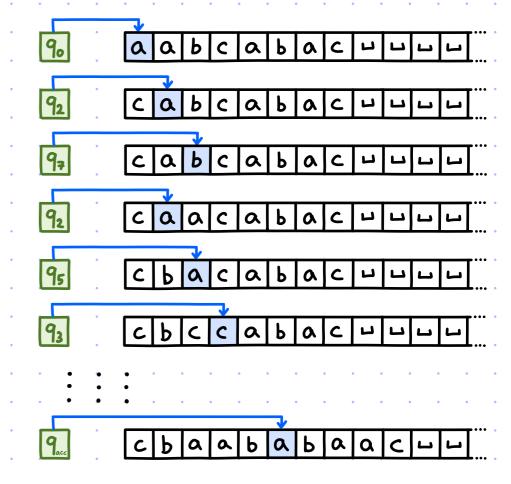
Fix LENP and let ML be a nondeterministic Turing machine that decides L. For an instance x, M_L(x) accepts if and only if x ∈ L.

The proof expresses a valid (and accepting) execution of $M_L(x)$ as a SAT instance φ .

So let us review nondeterministic Turing machines.

A nondeterministic Turing machine M is specified by:

A configuration of M is (9, j, 5). We encode the configuration as a string #0,902# where j is the first symbol of σ_2 in $\sigma = \sigma_1 \sigma_2$.



Interlude: Cook-Levin Theorem

[2/2]

A computation trace of M(x) is a valid list of configurations starting from (90,1, X LLL...).

We design φ s.t. $\varphi(z)=1 \leftrightarrow z$ is a (boolean encoding of) computation trace of M(x) that accepts.

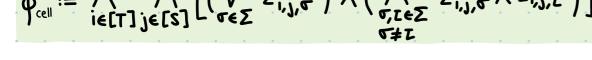
Suppose M(x) runs in time T (# of configurations) and space S (longest encoded configuration).

The variables are {Zij,σ}ie[T] where Σ = Qu[v{#}].

The SAT formula φ has 4 parts: $\varphi = \varphi_{cell} \wedge \varphi_{start} \wedge \varphi_{move} \wedge \varphi_{accept}$.

· each cell contains exactly one symbol:

$$\Phi_{cell} := \bigwedge_{i \in [T]} \bigwedge_{j \in [S]} \left[\left(\bigvee_{\sigma \in \Sigma} z_{i,j,\sigma} \right) \wedge \left(\bigwedge_{\sigma, \tau \in \Sigma} \overline{z_{i,j,\sigma} \wedge z_{i,j,\tau}} \right) \right]$$



• starting configuration is (90,1, x בועייי):

$$\Phi_{\text{start}} := \exists_{i,i,\#} \land \exists_{i,2,q_0} \land \left(\bigwedge_{j=1}^{n} \exists_{i,2+j,X_j} \right) \land \left(\bigwedge_{j=n+3}^{s-1} \exists_{i,j,L} \right) \land \exists_{i,s,\#}$$

· ending configuration contains q accept:

· each 2x3 window is legal:

$$\Phi_{\text{move}} := \bigwedge_{1 \leq i \leq T} \bigwedge_{\substack{\text{c} \in \mathbb{N} \\ \text{def}}} \bigvee_{\substack{\text{c} \in \mathbb{N} \\ \text{def}}} \left(\begin{array}{c} \Xi_{i,j-1,\alpha} \land \Xi_{i,j,b} \land \Xi_{i,j+1,c} \\ \land \Xi_{i+1,j-1,d} \land \Xi_{i+1,j,e} \land \Xi_{i+1,j+1,e} \end{array} \right)$$

where W is the set of legal windows.

A NEXP-Complete Problem

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\frac{\text{def:}}{\text{def:}} \text{ OSAT} := \left\{ (m, n, \varphi) \middle| \begin{array}{l} m, n \in \mathbb{N}, \ \varphi \colon \{0, I\}^{m+3n+3} \to \{0, I\} \text{ boolean formula} \\ \exists \ A \colon \{0, I\}^{n} \to \{0, I\} \end{array} \middle| \ \forall \ v_{1}, v_{2}, v_{3} \in \{0, I\}^{n} \ \varphi (w_{1}, v_{1}, v_{2}, v_{3}, A(v_{1}), A(v_{2}), A(v_{3})) = 0 \end{array} \right\}.
```

claim: OSAT is NEXP-complete

<u>proof:</u> Suppose that LENEXP and let M be a NEXP machine deciding L. Let x be an input to M.

By the Cook-Levin Theorem (8 sat-3sat reduction), can reduce (M,x) to a 3CNF $\overline{\Phi}_x$ s.t.

- Φ_{x} has $N_{v} = 2^{\text{poly(IxI)}}$ variables (and $N_{c} = 2^{\text{poly(IxI)}}$ clauses),
- $M(x)=1 \leftrightarrow \exists A: [N_v] \rightarrow \{0,1\} \quad \Phi_x(A)=1$.

Set $n = \log N_v = poly(ixi)$, and relabel $[N_v]$ as $\{0,1\}^n$.

Moreover, \exists poly($|\times|$)-size circuit $\mathbb{Q}:\{0,1\}^{3n+3} \to \{0,1\}$ that specifies Φ_x 's clauses: $\mathbb{Q}_x(v_1,v_2,v_3,c_1,c_2,c_3)=1 \leftrightarrow \Phi_x$ contains clause $V_{i=1}^3$ $(X_{v_i} \oplus c_i)$

Therefore $M(x)=1 \leftrightarrow \exists A: \{0,1\}^n \to \{0,1\} \text{ s.t.}$ $\forall V_1, V_2, V_3 \in \{0,1\}^n \ \ \forall C_1, C_2, C_3 \in \{0,1\} \ \ D_x(V_1, V_2, V_3, C_1, C_2, C_3) \land \left(\bigvee_{i=1}^3 A(V_i) \oplus C_i \right) = 0$

A NEXP-Complete Problem

```
\frac{\text{def:}}{\text{def:}} \text{ OSAT := } \left\{ (m,n,\phi) \left| \begin{array}{l} m,n \in \mathbb{N} \ , \ \phi \colon \{0,l\}^{m+3n+3} \to \{0,l\} \text{ boolean formula} \\ \exists \ A \colon \{0,l\}^n \to \{0,l\} \text{ } \forall \ \forall \ v_1,v_2,v_3 \in \{0,l\}^n \ \phi \left(W,V_1,V_2,V_3,A(V_1),A(V_2),A(V_3)\right) = 0 \end{array} \right\}.
```

claim: OSAT is NEXP-complete

proof: [continued]

Therefore $M(x)=1 \leftrightarrow \exists A:\{0,1\}^n \rightarrow \{0,1\}$ s.t.

$$\forall \ V_{1}, V_{2}, V_{3} \in \{0,1\}^{n} \ \ \forall \ C_{1}, C_{2}, C_{3} \in \{0,1\} \ \ D_{x}(V_{1}, V_{2}, V_{3}, C_{1}, C_{2}, C_{3}) \land \left(\bigvee_{i=1}^{3} \ A(V_{i}) \oplus C_{i} \right) = 0 \ .$$

Reduce the boolean circuit D_x to a boolean formula Ψ_x : {0,1}^{m'+3n+3} \rightarrow {0,1} with m'= $O(|D_x|)$ = poly(|x|) and $|\Psi_x|$ = $O(|D_x|)$ = poly(|x|) s.t.

$$\forall \ \forall_{1}, \forall_{2}, \forall_{3} \in \{0,1\}^{n} \ \forall \ C_{1}, C_{2}, C_{3} \in \{0,1\} \ D_{x}(\forall_{1}, \forall_{2}, \forall_{3}, C_{1}, C_{2}, C_{3}) = 1 \ \longleftrightarrow \ \exists \ w' \in \{0,1\}^{m'} \ \forall_{x}(\forall_{1}, \forall_{2}, \forall_{3}, C_{1}, C_{2}, C_{3}, w') = 1$$

Define
$$\Phi(W, V_1, V_2, V_3, a_1, a_2, a_3) := \frac{V_1}{V_1, V_2, V_3} C_1, C_2, C_3, W') \wedge (\frac{3}{V_1} a_1 \oplus c_1)$$

where $W = (C_1, C_2, C_3, W') \in \{0, 1\}^m$ and $M = 3 + m'$.

In sum,
$$M(x) = 1 \iff \exists A : \{0,1\}^n \to \{0,1\} \text{ s.t.}$$

$$\forall w \in \{0,1\}^m \ \forall v_1, v_2, v_3 \in \{0,1\}^n \ \phi(w, v_1, v_2, v_3, A(v_1), A(v_2), A(v_3)) = 0.$$

Part 1: Arithmetization of OSAT

claim: There is a polynomial-time transformation T s.t.

- T(F, (m,n,φ)) outputs a circuit φ: F^{m+3n+3}→F s.t. |φ| ε|φ| and deg₊₀₊(φ) ε|φ|
- 2 $(m,n,\varphi) \in OSAT \leftrightarrow \exists multilinear <math>\hat{A}: \mathbb{F}^n \rightarrow \mathbb{F} \text{ s.t.}$
 - booleanity: A is boolean on {0,1}
 - Zero on subcube: $\forall w \in \{0,1\}^m \ \forall \ V_1, V_2, V_3 \in \{0,1\}^n \ \widehat{\Phi}(W, V_1, V_2, V_3, \widehat{A}(V_1), \widehat{A}(V_2), \widehat{A}(V_3)) = 0$

proof:

The transformation T outputs $\hat{\varphi} := \operatorname{arithmetize}(\mathbb{F}, \varphi)$.

[Recall: $x \wedge y \mapsto x \cdot y$, $x \vee y \mapsto 1 - (1-x) \cdot (1-y)$, $\overline{x} \mapsto 1 - x$.]

This ensures that $|\hat{\varphi}| \le |\varphi|$ and $\deg_{tot}(\hat{\varphi}) \le |\varphi|$ and $\hat{\varphi} = \varphi$ on every boolean input.

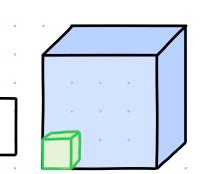
COMPLETENESS: if $A:\{0,1\}^n \rightarrow \{0,1\}$ is a witness for $(m,n,P) \in OSAT$ then

 $\hat{A} = \text{multilinear extension of } A''$ satisfies the booleanity and the zero-on-subcube conditions. $\hat{A}(x) = \sum_{u \in fo(i)^n} A(u) \cdot \prod_{i=1}^n (u_i x_i + (1-u_i)(1-x_i))$

SOUNDNESS: if $(m, n, \varphi) \not\in OSAT$ then \forall multilinear $\widehat{A}: F^n \rightarrow F$

either is not boolean on {0,1}"

Given oracle access to $f: \mathbb{F}^n \to \mathbb{F}$ that is δ -close to \hat{f} of individual degree d check that $\hat{f}|_{H^n} \equiv 0$.



Idea #1: query f at every point in H and check if 0

Problem: if even 1 corruption is in H^n Hen test may accept w.p. 1 even if $\widehat{f}|_{H^n} \neq 0$ \rightarrow test is not sound

Idea#2: locally correct the value of f at every point in Hn (and check if o)

Problem: IHI is too many queries

Idea#3: run sumcheck protocol on sum of squares $\sum_{a \in H^n} \hat{f}(a)^2 = 0$

Problem: for every finite field \mathbb{F} , $\sum_{i}c_{i}^{2}=0 \iff \forall i c_{i}=0$ over \mathbb{F} .

If $char(\mathbb{F}) > 0$ (e.g. \mathbb{F} is finite) then the implication does not hold over \mathbb{F} .

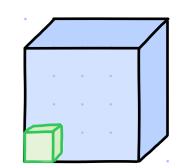
The implication holds for some fields with $char(\mathbb{F}) = 0$ (e.g. \mathbb{R} and \mathbb{Q} but not \mathbb{C}).

Part 2: Zero-on-Subcube Test

[2/3]

Given oracle access to f: FDF that is 8-close to f of individual degree d check that $|\hat{f}|_{H^n} \equiv 0$. f: F"→F

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Final Idea: randomized reduction to sumcheck

Let int: $H \rightarrow \{0,1,...,|H|-1\}$ be an efficiently computable bijection.

Consider the polynomial
$$g(x_1,...,x_n) := \sum_{\substack{\alpha_1,...,\alpha_n \in H}} \hat{f}(\alpha_1,...,\alpha_n) \times_{i} \inf(\alpha_i) ... \times_{i} X_n$$

If
$$\hat{f}|_{H^n} \equiv 0$$
 then $g \equiv 0$.
If $\hat{f}|_{H^n} \not\equiv 0$ then $g \not\equiv 0$, so $P_F \left[g(\sigma_1,...,\sigma_n) = 0\right] \leq \frac{n \cdot (|H|-1)}{|F|}$.

Hence it suffices to check that $\sum_{\alpha_1,...,\alpha_n \in H} \widehat{f}(\alpha_1,...,\alpha_n) \sigma_1^{\inf(\alpha_1)} = \sigma_1^{\inf(\alpha_1)} for random \sigma_1,...,\sigma_n \in \mathbb{F}$.

To make the addend a polynomial: $\forall \tau \in \mathbb{F}$ define $\widehat{\sigma}(x) := \sum_{\alpha \in \mathbb{F}} \underline{\sigma}^{int(\alpha)} L_{\alpha,H}(x)$

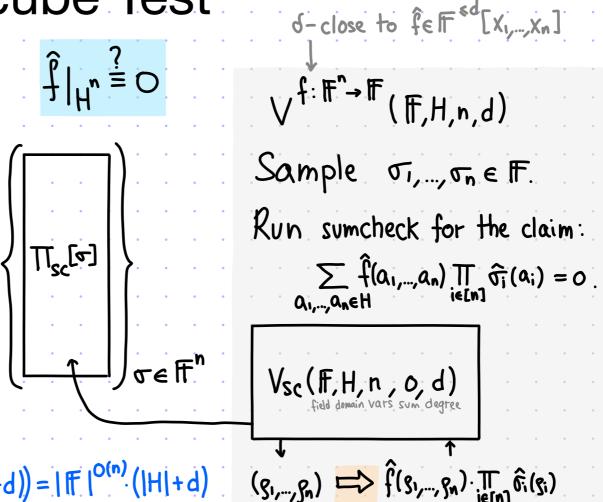
$$\widehat{\sigma}(x) := \sum_{\alpha \in H} \sigma^{int(\alpha)} L_{\alpha,H}(x)$$

In sum it suffices to run sumcheck on this claim:

$$\sum_{\alpha_1,\dots,\alpha_n\in H} \widehat{f}(\alpha_1,\dots,\alpha_n) \widehat{\sigma}(\alpha_1) \cdots \widehat{\sigma}_n(\alpha_n) \quad \text{for random} \quad \sigma_1,\dots,\sigma_n\in \mathbb{F}.$$

Part 2: Zero-on-Subcube Test

P(F, H, n, f)
For every
$$\sigma_{i,...,\sigma_n} \in \mathbb{F}$$
:
output eval table $T_{sc}[\sigma_{i,...,\sigma_n}]$ of IP prover for sumcheck claim
$$\sum_{i \in [n]} \hat{\sigma}_i(\alpha_i) = 0$$
 $\alpha_{i,...,\alpha_n \in H}$



1. Query f at (g1,...,gn).

2. For every ie[n]: evaluate oi at gi.

Proof length: ITIscl = IFI O(IFI (IHI+d)) = IFI O(n) (IHI+d) query complexity:

- n queries to Tisc (each retrieving 1H1+d elts)
 1 random query to f

<u>Verifier time</u>: poly (n, |H|, d) for Vsc + n. poly (|H|) to evaluate {ô;} iEEn]

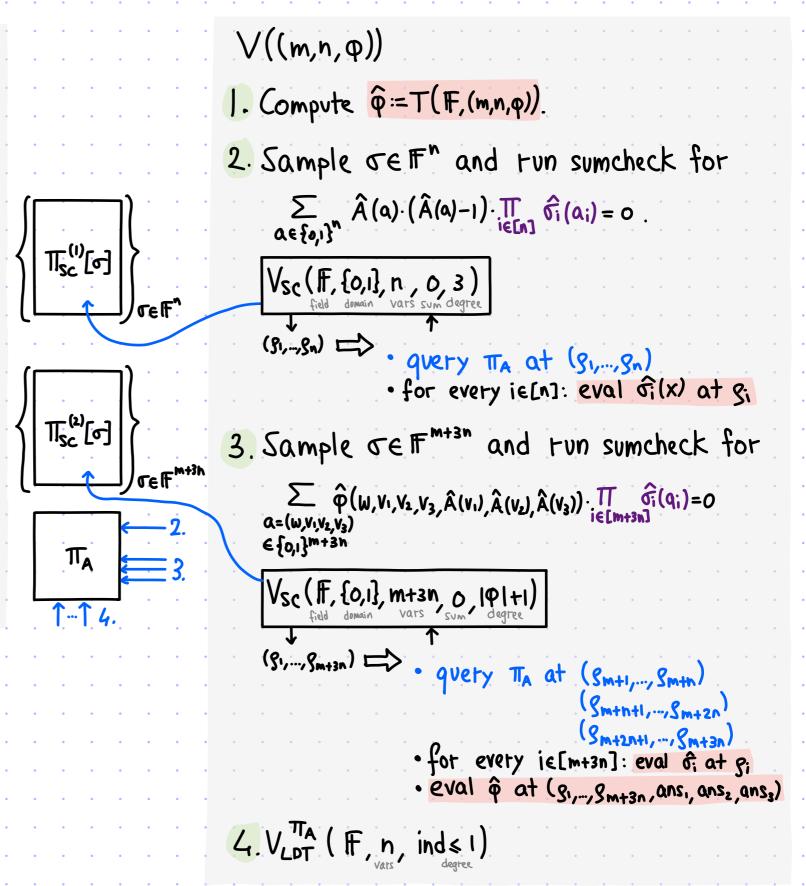
COMPLETENESS: if $f = \hat{f} \wedge \hat{f}|_{H^n} = 0$ then $\forall \sigma_{i,...,\sigma_n} \in \mathbb{F}$ $\sum_{a_1,...,a_n \in H} \hat{f}(a_1,...,a_n) \prod_{i \in [n]} \hat{\sigma}_i(a_i) = 0$ so V_{SC} accepts wp. 1

SOUNDNESS: if $\Delta(f,\hat{f}) \leqslant \delta \wedge \hat{f}|_{H^n} \neq 0$ then, except w.p. $\leqslant \frac{n \cdot (|H|-1)}{|F|}$ over $\sigma_{1,...,\sigma_n} \in F$, $\sum_{\substack{a_1,...,a_n \in H\\ |F|}} \hat{f}(a_1,...,a_n) \text{ Tr} \hat{\sigma}_{i}(a_i) \neq 0$, so V_{sc} accepts w.p. $\leqslant \frac{n \cdot (|H|-1+d)}{|F|} + \delta$ (regardless of PCP string $\widetilde{\pi}$).

Putting the Two Parts Together

```
P((m,n,q),A)
 1. Compute φ=T(F,(m,n,φ)).
 2. For every JEF":
      output sumcheck proof Tsc [0] for
        \sum_{\alpha \in \{0,1\}^n} \widehat{A}(\alpha) \cdot (\widehat{A}(\alpha) - 1) \cdot \prod_{i \in [n]} \widehat{\sigma_i}(\alpha_i) = 0
 3. For every of # # **
      output sumcheck proof Tisc [0] for
\sum_{\substack{\alpha = (\omega, v_1, v_2, v_3) \\ \in \{o, i\}^{m+3n}}} \widehat{\phi}(\omega, v_1, v_2, v_3, \widehat{A}(v_1), \widehat{A}(v_2), \widehat{A}(v_3)) \cdot \prod_{i \in [m+3n]} \widehat{\sigma_i}(q_i) = 0
 4 Output Â: F^>F as TA.
```

(The multilinear extension of A: {0,1}→{0,1}.)



Analysis

P((m,n,φ), A)

1. Compute φ:=T(F,(m,n,φ)).

2. For every σ∈Fⁿ:

Output sumcheck proof T_{Sc}⁽¹⁾[σ] for

∑ Â(a)·(Â(a)-1)·T Φ̂;(a;)= ο.

3. For every σ∈ F^{m+3n}:

Output sumcheck proof T_{Sc}⁽²⁾[σ] for

∑ φ(ω,ν₁,ν₂,ν₃,Â(ν₁),Â(ν₂),Â(ν₃))· T Φ̂;(q₁)= ο

a=(ω,ν₁,ν₂,ν₃)
∈{ο,1}^{m+3n}

4. Output Â:Fⁿ→F as T_A.

(The multilinear extension of A:{ο,1}ⁿ→{0,1}.)

- $\bigvee((m,n,\phi))$
- 1. Compute $\widehat{\varphi} := T(F, (m,n,\varphi))$.
- 2. Sample $\sigma \in \mathbb{F}^n$ and tun sumcheck for $\sum_{a \in \{a_i\}^n} \hat{A}(a) \cdot (\hat{A}(a)-1) \cdot \prod_{i \in [n]} \hat{\sigma_i}(a_i) = 0$.

(\$i,...,\$n) ⇒ • query The at (\$i,...,\$n) • for every ie[n]: eval \$\hat{g}_i(x)\$ at \$g_i

3. Sample $\sigma \in \mathbb{F}^{m+3n}$ and tun sumcheck for $\sum_{\substack{\alpha=(\omega,v_1,v_2,v_3)\\ \in \{o,i\}^{m+3n}}} \widehat{\phi}(\omega,v_1,v_2,v_3,\hat{A}(v_1),\hat{A}(v_2),\hat{A}(v_3)) \cdot \prod_{\substack{i\in [m+3n]\\ i\in \{m+3n\}}} \widehat{\phi}_i(q_i) = 0$

 $(S_1,...,S_{m+3n}) \Longrightarrow \text{quety } \pi_A \text{ at } (S_{m+1},...,S_{m+2n})$ $(S_{m+2n+1},...,S_{m+3n}) = (S_{m+2n+1},...,S_{m+3n})$

• for every ie[m+3n]: eval of at g; • eval of at (g1,...,gm+3n,ans1,ans2,ans3)

4. VLDT (F, n, ind & 1)

$$\max \left\{ \mathcal{E}_{LDT}(S), 4S + O\left(\frac{n \cdot 3}{|F|}\right) + O\left(\frac{(m+3n) \cdot (|\varphi| + 1)}{|F|}\right) \right\} = O(1)$$

· proof length (in field elements)

$$|T_{A}| + |T_{SC}^{(i)}| + |T_{SC}^{(2)}| = |F|^{n} + |F|^{n} \cdot O(|F|^{n+3}) + |F|^{m+3n} \cdot O(|F|^{m+3n} \cdot |\varphi|) = |F|^{poly(m,n)} = 2^{poly(m,n,\log|\varphi|)}$$

· query complexity

$$(1+3+9_{LDT})+h\cdot O(1)+(m+3n)\cdot |\Phi| = poly(n)+poly(|\Phi|) = poly(|\Phi|)$$

· <u>verifier time</u> (in field operations)

Bibliography

PCP for NEXP

In MIP model, uses arithmetization and zero check over ${\mathbb Q}$

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Alternative zerochecks