

**On the consistency of circuit lower bounds
for nondeterministic time**

Moritz Müller

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joint work with Albert Atserias and Sam Buss

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Main result $\text{NEXP} \not\subseteq \text{P/poly}$ is consistent with V_2^0 .

Bounded arithmetics

Language PV : $<$ plus symbols for polynomial time functions

Theory $\forall PV$ (DeMillo, Lipton 1979)

universal sentences true in the standard model

Theory PV (Cook 1975) is an axiomatized fragment of $\forall PV$

Bounded arithmetics

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- PV eliminates **sharply bounded** quantifiers $\exists y < |t(\bar{x})|, \forall y < |t(\bar{x})|$
- sharply bounded formulas define precisely the sets in P
- Σ_1^b -formulas define precisely the sets in NP
i.e. form $\exists y < t \psi$ for ψ sharply bounded.
- PV proves induction for quantifier free formulas

$$\varphi(0) \wedge \neg\varphi(x) \rightarrow \exists y(\varphi(y) \wedge \neg\varphi(y+1))$$

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Herbrand

If $PV \vdash \exists y \varphi(y, \bar{x})$ and $\varphi(y, \bar{x})$ is quantifier free,

then $PV \vdash \varphi(f(\bar{x}), \bar{x})$ for some $f \in PV$.

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Intuition PV formalizes polynomial time reasoning.

Cook 1975

if one believes that feasibly constructive arguments can be formalized in PV , then it is worthwhile seeing which parts of mathematics can be so formalized.

Bounded arithmetics

Buss' hierarchy

$$PV \subseteq S_2^1 \subseteq T_2^1 \subseteq S_2^2 \subseteq T_2^2 \subseteq \cdots T_2$$

PV+ quantifier-free induction

P induction

PV+ bounded induction

PH induction

Bounded arithmetics

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PV + Σ_1^b length induction

$$\varphi(0) \wedge \forall y(\varphi(y) \rightarrow \varphi(y+1)) \rightarrow \varphi(|x|)$$

NP induction for small numbers

Σ_1^b -definable functions: P

Buss' Witnessing 1985

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Bounded arithmetics

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PV + Σ_1^b induction

$$\varphi(0) \wedge \forall y(\varphi(y) \rightarrow \varphi(y+1)) \rightarrow \varphi(x)$$

NP induction for **all** numbers

Σ_1^b -definable functions: **PLS**

Bounded arithmetics

Buss' hierarchy

$$PV \subseteq S_2^1 \subseteq T_2^1 \subseteq S_2^2 \subseteq T_2^2 \subseteq \cdots T_2$$

PV + Σ_2^b length induction

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NP^{NP} induction for small numbers

Σ_2^b -definable functions: P^{NP}

Buss' Witnessing 1985

If $S_2^2 \vdash \exists y \varphi(y, \bar{x})$ and $\varphi(y, \bar{x}) \in \Pi_1^b$,

then given \bar{x} a suitable y is computable in P^{NP} .

Bounded arithmetics

Buss' hierarchy

$$PV \subseteq S_2^1 \subseteq T_2^1 \subseteq S_2^2 \subseteq T_2^2 \subseteq \dots T_2$$

$PV + \Sigma_2^b$ length induction

$$\varphi(0) \wedge \forall y(\varphi(y) \rightarrow \varphi(y+1)) \rightarrow \varphi(|x|)$$

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Krajíček 1993 For S_2^1 , $O(\log n)$ many witness queries suffice.

Bounded arithmetics

Buss' hierarchy

$$PV \subseteq S_2^1 \subseteq T_2^1 \subseteq S_2^2 \subseteq T_2^2 \subseteq \dots T_2$$

Müller, Pich 2020

formalizes many known circuit lower bounds.

Furst-Saxe-Sipser on AC_0

Razborov-Smolensky on $AC_0[p]$ (almost)

Razborov on monotone circuits

Krajíček, Oliveira 2017

PV or its mild extensions seem to formalize most of contemporary complexity theory

Formalizations

- Direct formalization for a Σ_1^b -formula $\varphi(x)$:

$\exists N \ 1 < n = |N|$

$$\alpha_\varphi^c := \forall n \in \text{Log}_{>1} \exists C < 2^{n^c} \forall x < 2^n (C(x) = 1 \leftrightarrow \varphi(x))$$

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- Direct formalization for an NP-machine M :

$$\alpha_M^c := \forall n \in \text{Log}_{>1} \exists C < 2^{n^c} \forall x < 2^n \\ (C(x) = 1 \leftrightarrow \exists y < 2^{n^d} \text{ "y is an accepting computation of } M \text{ on } x\text{"})$$

Formalizations

- Direct formalization for a Σ_1^b -formula $\varphi(x)$:

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- These are $\forall \Sigma_3^b$. Can get a $\forall \Sigma_2^b$ -formula

$$\beta_M^c := \forall n \in \text{Log}_{>1} \exists C, D < 2^{n^c} \forall x < 2^n \forall y < 2^{n^d}$$

$$(C(x) = 0 \rightarrow \neg \text{ “}y \text{ is an accepting computation of } M \text{ on } x\text{”}) \wedge$$

$$(C(x) = 1 \rightarrow \text{ “}D(x) \text{ is an accepting computation of } M \text{ on } x\text{”})$$

“NP $\not\subseteq$ P/poly” := $\{\neg \beta_{M_0}^c \mid c \in \mathbb{N}\}$ for a universal NP-machine M_0 .

The consistency question

$$\begin{aligned}\alpha_M^c &= \forall n \in \text{Log}_{>1} \exists C < 2^{n^c} \forall x < 2^n \\ &\quad (C(x) = 1 \leftrightarrow \exists y < 2^{n^d} \text{“}y \text{ is an accepting computation of } M \text{ on } x\text{”}) \\ \beta_M^c &= \forall n \in \text{Log}_{>1} \exists C, D < 2^{n^c} \forall x < 2^n \forall y < 2^{n^d} \\ &\quad (C(x) = 0 \rightarrow \neg \text{“}y \text{ is an accepting computation of } M \text{ on } x\text{”}) \wedge \\ &\quad (C(x) = 1 \rightarrow \text{“}D(x) \text{ is an accepting computation of } M \text{ on } x\text{”})\end{aligned}$$

Central question Is “NP $\not\subseteq$ P/poly” consistent with PV?

Krajíček 1995 / 2019

[Such models are] not ridiculously pathological structures, and a part of the difficulty in constructing them stems exactly from the fact that it is hard to distinguish these structures, by the studied properties, from natural numbers

The consistency counts towards the validity of H: it is true in a model of the theory, a structure very close to the standard model from the point of view of complexity theory.

Earlier consistency results

$$\begin{aligned}\alpha_M^c &= \forall n \in \text{Log}_{>1} \exists C < 2^{n^c} \forall x < 2^n \\ &\quad (C(x) = 1 \leftrightarrow \exists y < 2^{n^d} \text{“}y \text{ is an accepting computation of } M \text{ on } x\text{”}) \\ \beta_M^c &= \forall n \in \text{Log}_{>1} \exists C, D < 2^{n^c} \forall x < 2^n \forall y < 2^{n^d} \\ &\quad (C(x) = 0 \rightarrow \neg \text{“}y \text{ is an accepting computation of } M \text{ on } x\text{”}) \wedge \\ &\quad (C(x) = 1 \rightarrow \text{“}D(x) \text{ is an accepting computation of } M \text{ on } x\text{”})\end{aligned}$$

Cook, Krajíček 2007

“NP $\not\subseteq$ P/poly” is consistent with S_2^1 if $\text{PH} \neq \text{P}_{tt}^{\text{NP}}$.

“NP $\not\subseteq$ P/poly” is consistent with S_2^2 if $\text{PH} \neq \text{P}^{\text{NP}}$.

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“NP $\not\subseteq$ P/poly” is consistent with S_2^2 if $\text{PH} \neq \text{P}^{\text{NP}}$.

Bydžovský, Krajíček, Oliveira 2020 Let $c \in \mathbb{N}$.

$\neg \alpha_M^c$ is consistent with S_2^1 for some NP-machine M .

$\neg \alpha_M^c$ is consistent with S_2^2 for some P^{NP} -machine M .

Two sorted theories

Add **set sort** variables X, Y, \dots and atoms $x \in X$.

$\Sigma_0^{1,b}$: bounded number sort quantifiers, no set sort quantifiers.

$\Sigma_1^{1,b}$: form $\exists X \psi$ for $\psi \in \Sigma_0^{1,b}$. Define the problems in **NEXP**.

$$PV \subseteq S_2^1 \subseteq T_2^1 \subseteq \dots T_2 \subseteq V_2^0 \subseteq V_2^1$$

$T_2 + \Sigma_0^{1,b}$ **comprehension**

$$\exists Y \forall y (y \in Y \leftrightarrow y \leq z \wedge \varphi(\bar{X}, \bar{x}, y))$$

Set boundedness $\exists y \forall x (x \in X \rightarrow x \leq y)$

Extensionality $\forall x (x \in X \leftrightarrow x \in Y) \rightarrow X = Y$

Same number sort consequences as T_2

Two sorted theories

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$T_2 + \Sigma_1^{1,b}$ comprehension

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Set boundedness $\exists y \forall x (x \in X \rightarrow x \leq y)$

Extensionality $\forall x (x \in X \leftrightarrow x \in Y) \rightarrow X = Y$

$\Sigma_1^{1,b}$ -definable functions: **EXP**.

Core idea

Direct formalization:

$$\alpha_\varphi^c := \forall n \in \text{Log}_{>1} \exists C < 2^{n^c} \forall x < 2^n (C(x) = 1 \leftrightarrow \varphi(x)).$$

Proposition

$\{\neg\alpha_\varphi^c \mid c \in \mathbb{N}\}$ is consistent with V_2^0 for some $\Sigma_1^{1,b}$ -formula $\varphi(x)$.

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$$\alpha_\varphi^c := \forall n \in \text{Log}_{>1} \exists C < 2^{n^c} \forall x < 2^n (C(x) = 1 \leftrightarrow \varphi(x)).$$

Proposition

$\{\neg \alpha_\varphi^c \mid c \in \mathbb{N}\}$ is consistent with V_2^0 for some strict $\Sigma_1^{1,b}$ -formula $\varphi(x)$.

Proof sketch Let $\text{PHP}(x)$ be

$$\neg \exists X \text{ “}X \text{ codes a bijection from } x + 1 \text{ onto } x\text{”}.$$

V_2^0 proves $\text{PHP}(x)$ is inductive: $\text{PHP}(0) \wedge (\text{PHP}(u) \rightarrow \text{PHP}(u + 1))$.

Assume $V_2^0 \vdash \alpha_{\neg \text{PHP}}^c$.

Then $\text{PHP}(u)$ is equivalent to $C(u) = 0$ for some circuit C .

Quantifier free induction gives $\text{PHP}(x)$. Contradiction. □

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Faithful?

is there an NEXP-machine not simulated by small circuits in this model?

$$\alpha_M^c := \forall n \in \text{Log}_{>1} \exists C < 2^{n^c} \forall x < 2^n (C(x) = 1 \leftrightarrow \exists Y \text{ "Y is an accepting computation of } M \text{ on } x")$$

Core idea

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Surprising?

α_φ^c has existential set quantifiers. Intuitively, V_2^0 only knows trivial sets.

Want

Set-universal formalization for machines.

Easy witness lemma

$$\beta_M^c := \forall n \in \text{Log}_{>1} \exists C, D < 2^{n^c} \forall x < 2^n \forall Y$$

$(C(x) = 0 \rightarrow \neg \text{“}Y \text{ is an accepting computation of } M \text{ on } x\text{”}) \wedge$
 $(C(x) = 1 \rightarrow \text{“} \text{tt}(D_x) \text{ is an accepting computation of } M \text{ on } x\text{”})$

Easy witness lemma

$$\beta_M^c := \forall n \in \text{Log}_{>1} \exists C, D < 2^{n^c} \forall x < 2^n \forall Y \\ (C(x) = 0 \rightarrow \neg \text{"}Y \text{ is an accepting computation of } M \text{ on } x\text{"}) \wedge \\ (C(x) = 1 \rightarrow \text{"} \text{tt}(D_x) \text{ is an accepting computation of } M \text{ on } x\text{"})$$

Impagliazzo, Kabanets, Wigderson 2002

The following are equivalent

$\text{NEXP} \not\subseteq \text{P/poly}$

$\{\neg \alpha_\varphi^c \mid c \in \mathbb{N}\}$ is true for some $\Sigma_1^{1,b}$ -formula $\varphi(x)$

$\{\neg \alpha_M^c \mid c \in \mathbb{N}\}$ is true for some NEXP-machine M

$\{\neg \alpha_{M_0}^c \mid c \in \mathbb{N}\}$ is true

$\{\neg \beta_M^c \mid c \in \mathbb{N}\}$ is true for some NEXP-machine M

$\{\neg \beta_{M_0}^c \mid c \in \mathbb{N}\}$ is true

Main result

$$\beta_M^c := \forall n \in \text{Log}_{>1} \exists C, D < 2^{n^c} \forall x < 2^n \forall Y \\ (C(x) = 0 \rightarrow \neg \text{“}Y \text{ is an accepting computation of } M \text{ on } x\text{”}) \wedge \\ (C(x) = 1 \rightarrow \text{“} \text{tt}(D_x) \text{ is an accepting computation of } M \text{ on } x\text{”})$$

Theorem

V_2^0 is consistent with

$\{\neg \alpha_\varphi^c \mid c \in \mathbb{N}\}$ for some $\Sigma_1^{1,b}$ -formula $\varphi(x)$

$\{\neg \alpha_M^c \mid c \in \mathbb{N}\}$ for some NEXP-machine M

$\{\neg \alpha_{M_0}^c \mid c \in \mathbb{N}\}$

$\{\neg \beta_M^c \mid c \in \mathbb{N}\}$ for some NEXP-machine M

$\{\neg \beta_{M_0}^c \mid c \in \mathbb{N}\} =: \text{“NEXP } \not\subseteq \text{P/poly”}$

Proof sketch For all c, φ there are d, e, M such that V_2^0 proves:

$$(\beta_{M_0}^c \rightarrow \beta_M^d) \quad (\beta_M^d \rightarrow \alpha_M^d) \quad (\alpha_M^d \rightarrow \alpha_\varphi^e) \quad \dots \quad \square$$

Slightly superpolynomial time

Theorem

“ $\text{NTIME}[n^{O(\log \log \log n)}] \not\subseteq \text{P/poly}$ ” is consistent with V_2^0 .

Set-universal formalization based on:

Murray, Williams 2018

$t(n)$ increasing, time-constructible, superpolynomial.

If $\text{NTIME}(t(n)^{O(1)}) \subseteq \text{P/poly}$,

then $\text{NTIME}(t(n)^{O(1)})$ -machines have poly-size witness circuits.

Almost settles the central question on the consistency of “ $\text{NP} \not\subseteq \text{P/poly}$ ”.

General consistency and magnification

Lemma Let $(M, \mathcal{X}) \models S_2^1(\alpha) + \beta_{M_0}^c$ for some $c \in \mathbb{N}$.

There is $\mathcal{Y} \subseteq \mathcal{X}$ such that $(M, \mathcal{Y}) \models V_2^1$.

General consistency and magnification

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Proof idea

Consider a **weak** theory plus $\beta_{M_0}^c$

$\beta_{M_0}^c$ implies that **many** sets are coded by small circuits

The **weak** theory can quantify over and reason with these circuits

The **weak** theory can implicitly reason with **many** sets

The **weak** theory can simulate a **strong** theory

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Proof sketch

$\mathcal{Y} :=$ sets represented by circuits in M

Then $(M, \mathcal{Y}) \models \beta_{M_0}^c$ since $\beta_{M_0}^c$ is set-universal.

And $(M, \mathcal{Y}) \models S_2^1(\alpha)$.

Suffices to show the existence of sets defined by $\exists X \psi(x, \bar{y}, X, \bar{Y})$ for $\psi \in \Pi_1^b$

Key: set parameters \bar{Y} from \mathcal{Y} can be replaced by circuits: number sort!

Then $\beta_{M_0}^c$ implies the the set is given by a circuit. □

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There is $\mathcal{Y} \subseteq \mathcal{X}$ such that $(M, \mathcal{Y}) \models V_2^1$.

Theorem

Let $S_2^1(\alpha) \subseteq T$. Assume T does not prove all number-sort consequences of V_2^1 .

Then “NEXP $\not\subseteq$ P/poly” is consistent with T .

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Proof

Else $T \vdash \beta_{M_0}^c$ for some $c \in \mathbb{N}$.

Let $V_2^1 \vdash \psi$ number sort. Let $(M, \mathcal{X}) \models T$.

To show: $M \models \psi$.

Clear by lemma. □

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Let $S_2^1(\alpha) \subseteq T$. Assume T does not prove all number-sort consequences of V_2^1 .

Then “NEXP $\not\subseteq$ P/poly” is consistent with T .

Magnification

If $S_2^1(\alpha) \not\vdash$ “NEXP $\not\subseteq$ P/poly”, then $V_2^1 \not\vdash$ “NEXP $\not\subseteq$ P/poly”.

General consistency and magnification

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If $S_2^1(\alpha) \not\vdash$ “NEXP $\not\subseteq$ P/poly”, then $V_2^1 \not\vdash$ “NEXP $\not\subseteq$ P/poly”.

Proof

Say $(M, \mathcal{X}) \models S_2^1(\alpha) + \beta_{M_0}^c$

Lemma: $(M, \mathcal{Y}) \models V_2^1$ for some $\mathcal{Y} \subseteq \mathcal{X}$.

But $(M, \mathcal{Y}) \models \beta_{M_0}^c$ since $\beta_{M_0}^c$ is set-universal. □

General consistency and magnification

Lemma Let $(M, \mathcal{X}) \models S_2^1(\alpha) + \beta_{M_0}^c$ for some $c \in \mathbb{N}$.

There is $\mathcal{Y} \subseteq \mathcal{X}$ such that $(M, \mathcal{Y}) \models V_2^1$.

Theorem

Let $S_2^1(\alpha) \subseteq T$. Assume T does not prove all number-sort consequences of V_2^1 .

Then “NEXP $\not\subseteq$ P/poly” is consistent with T .

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If $S_2^1(\alpha) \not\vdash$ “NEXP $\not\subseteq$ P/poly”, then $V_2^1 \not\vdash$ “NEXP $\not\subseteq$ P/poly”.

Hope to complete Razborov's program.

Question: deterministic computations ?

Open Is “EXP $\not\subseteq$ P/poly” consistent with V_2^0 ?

Formalization

Let M_1 be a suitable EXP-universal machine.

$$\beta_{M_1}^c := \forall n \in \text{Log}_{>1} \exists C, D < 2^{n^c} \forall x < 2^n \forall Y \\ (C(x) = 0 \rightarrow \neg \text{“}Y \text{ is an accepting computation of } M_1 \text{ on } x\text{”}) \wedge \\ (C(x) = 1 \rightarrow \text{“} \text{tt}(D_x) \text{ is an accepting computation of } M_1 \text{ on } x\text{”})$$

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$$\gamma_{M_1}^c := \forall n \in \text{Log}_{>1} \exists D < 2^{n^c} \forall x < 2^n \quad \text{number sort} \\ \text{“} \text{tt}(D_x) \text{ is a halting computation of } M_1 \text{ on } x\text{”} \quad \forall \Sigma_2^b$$

Proposition The following are equivalent.

$\text{EXP} \not\subseteq \text{P/poly}$

$\{\neg \beta_{M_1}^c \mid c \in \mathbb{N}\}$ is true

$\{\neg \gamma_{M_1}^c \mid c \in \mathbb{N}\}$ is true

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Let M_1 be a suitable EXP-universal machine.

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$$\gamma_{M_1}^c := \forall n \in \text{Log}_{>1} \exists D < 2^{n^c} \forall x < 2^n \quad \text{number sort} \\ \text{“} \text{tt}(D_x) \text{ is a halting computation of } M_1 \text{ on } x\text{”} \quad \forall \Sigma_2^b$$

Theorem The following are equivalent for $T \supseteq T_2^1(\alpha)$:

$\{\neg \beta_{M_1}^c \mid c \in \mathbb{N}\}$ is consistent with T

$\{\neg \gamma_{M_1}^c \mid c \in \mathbb{N}\}$ is consistent with T

Question: deterministic computations ?

Open Is “ $\text{EXP} \not\subseteq \text{P/poly}$ ” consistent with V_2^0 ?

Formalization

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Witnessing

Proposition “ $\text{EXP} \not\subseteq \text{P/poly}$ ” is consistent

with S_2^{17} if $\text{EXP} \not\subseteq \Delta_{17}^P$

with S_2^1 if $\text{EXP} \not\subseteq P_{tt}^{\text{NP}}$

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