Fast approximate PCPs *

Funda Ergün† Ravi Kumar‡ Ronitt Rubinfeld§

Abstract

We investigate the question of when a prover can aid a verifier to reliably compute a function *faster* than if the verifier were to compute the function on its own. Our focus is on the case when it is enough for the verifier to know that the answer is *close* to correct. The model of proof systems we use is based on variants of existing models of proof systems, such as IP and PCP. We develop protocols for several optimization problems, in which the running time of the verifier is significantly less than the size of the input. For example, we give polylogarithmic time protocols for showing the existence of a large cut, a large matching, and a small bin packing. In contrast, the protocols used to show that IP = PSPACE, MIP = NEXP, and NP = PCP($\lg n, 1$) [Sha90, BFL91, ALM+98, BFLS90] require a verifier that runs in $\Omega(n)$ time. In the process, we develop a set of tools for use in constructing these proof systems.

1 Introduction

Consider the following scenario: A client sends a computational request to a "consulting" company on the internet, by specifying an input and a computational problem to be solved. The company then computes the answer and sends it back to the client. This scenario is of interest whenever a prover can help a client reliably find the answer to a function faster than the client could compute the function on its own, or whenever the client does not possess the code required to solve the computational problem. An obvious issue that arises, especially in the case that the company does not have a well established reputation, is: why should the client believe the answer to be correct? Surprising results on proof systems show that there is a format in which the company (prover) can write a proof of correctness of the result such that the proof can be verified by a client (verifier) which looks at only a constant number of bits of the proof and runs in time nearly linear in the size of the theorem and logarithmic in the size of a proof written in standard form (cf. [ALM+98, PS]).

In this paper we study the setting in which the computations are performed on large data sets. In this setting, it is desired to find proof systems for extremely *fast* clients—ones that run in time sublinear in the size of the theorem. While this may at first seem to be an impossible task, we show that when it is enough for the client to know that the answer is *close* to correct, then in many cases it is possible to write the proof in a format where the verifier requires sublinear, in some cases even constant or polylogarithmic, time to verify the proof. To illustrate our notion of close, consider a proof that a graph has a cut of size at least k—the client may be willing to accept the proof if it is convinced that the size of the cut is at least $(1-\epsilon)k$.

RELATED WORK. It is known that IP = PSPACE, MIP = NEXP, NP = PCP($\lg n, 1$) [LFKN90, Sha90, BFL91, ALM+98]. From the work of [BFLS90] and [Spi96], it is possible to construct proof systems for any proof in a reasonable formal system with an $O(n + \lg \ell)$-time verifier, where n is the length of the

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†Case Western Reserve University, Cleveland, OH 44106. email: afe@ces.cwru.edu

‡IBM Almaden Research Center, 650 Harry Road, San Jose, CA 95120. email: ravi@almaden.ibm.com

§NECI, 4 Independence Way, Princeton, NJ 08540. email: ronitt@research.nj.neci.com

theorem and ℓ is the length of the proof[1]. Thus we have a good understanding of the set of problems for which it is feasible to find proof systems in which the verifier is efficient and the communication between the prover and verifier is limited. Note that the protocols in the aforementioned results all require that the verifier look at the whole input in order to choose the locations in the proof to query, and thus *do not give sublinear time protocols*.

The model we consider, described in Section 2, is based on the models of IP [GMR89], PCP [FRS94], and CS proofs [Mic94], with modifications borrowed from the models of program checking [BK95], approximate program checking [GLR+91], property testing [RS96, GGR98], and spot-checking [EKK+98].

OUR RESULTS. We begin by considering problems that return approximations of optimal solutions for combinatorial optimization problems. We give efficient proof systems for proving good lower bounds on the solution quality to constraint satisfaction problems, including Max Cut and Max SAT, to a polylogarithmic time verifier. We next show how to prove the existence of a near optimal solution of a sparse fractional packing problem to a polylogarithmic time verifier. The techniques behind our fractional packing protocol can be used for several other problems. For example, it is possible to prove the existence of a large flow, a large matching, or a small bin packing in such a way that the verifier need only spend time nearly linear in the number of vertices (which is sublinear for graphs that are not sparse) in the first case and polylogarithmic time in the latter cases. The size of the proof is nearly linear in the size of the solution to the corresponding search problem and can be computed efficiently by the prover. In all of the above protocols it is also possible to prove the existence of suboptimal solutions, i.e., if the prover knows of a solution of value v, it can prove the existence of a solution of value at least $(1-\epsilon)v$. We then investigate methods of proving additive approximations of bounds on the sizes of unions and intersections of several sets such that the verifier requires only logarithmic time. One application of such protocols is to estimating the size of unions or intersections of several database queries. Finally, we consider spot-checking and property testing and note that one can obtain more efficient results for testing closeness to having the properties of bipartiteness and element distinctness by allowing the aid of a prover.

We develop a new set of tools for use in constructing these proof systems. For example, we give a constant time protocol for estimating lower bounds on sums of n inputs. We develop a constraint enforcement protocol which allows the verifier to ensure that linear upper bound constraints are satisfied without looking at all of the variables involved.

SOME POSSIBLE APPLICATIONS. Let us mention two examples of properties of massive data sets to which our proof systems apply.

1. (Quality of service in networks) A company wants to convince a client that the company's network is capable of handling a large sample load provided by the client. The above techniques could be used to convince the client that at least $1-\epsilon$ fraction of the load can be routed, such that the running time of the client is $O(d \log n/\epsilon)$ where d is the diameter of the network (typically much smaller than the number of nodes in the network).

2. (Website hits) In order to prove the popularity of their website to advertisers, a company may present a list of machines that have accessed their website. The list may be made longer by either adding fake entries (machines that did not access the website or do not exist) or by duplicating the existing legal entries. Assuming that the advertisers have a way of detecting fake entries, standard sampling methods can be used to ensure that at most $\epsilon/2$ fraction of the entries are fake in $O(1/\epsilon)$ time. Methods given in Section 3.2 allow the advertisers to ensure that at most $\epsilon/2$ fraction of the entries are duplicates in $O(1/\epsilon)$ time.

[1]If the input is in a specially coded form, then the dependence on n can be dropped. However, encoding the input requires $\Omega(n)$ time.

2 The model

Interactive proof systems (IPS) [GMR89] and probabilistically checkable proof systems (PCPS) [FRS94] (equivalent in power to multiple prover proof systems [BGKW88], see also [FGL+96, AS98, BFLS90] and to *function restricted* IP [FRS94]) can be used to convince a polynomial time verifier of the correctness of a decision problem computation. Definitions of IP which parametrize the runtime of the verifier appear in [Con91, FL93]. CS proofs [Mic94] extend the model to apply to function computations as well as problems above NEXP, and to allow restrictions on the runtime of the prover.

Program result checking [BK95] and self-testing/correcting techniques [BLR93, Lip91] were introduced so that a client could ensure the correctness of a solution to a computation. Program result checkers can be viewed as a special type of proof system for function computations, in which the prover is restricted to answering other instances of the same computational problem. It is easy to see that all result checkers as well as result checkers in the library setting [BLR93] satisfy the requirements of the model used here.

Proving that results are approximately correct is also related to approximate checking [GLR+91], property testing [RS96, GGR98], and spot-checking [EKK+98], where the goal is to determine whether an answer is close to correct for various interesting notions of closeness. All approximate checkers satisfy the requirement of the model here. Conversely, all of our results can be restated as property testers or spot-checkers which use the additional aid of a prover.

The model we use is based on the above models and in particular: applies to function computations and decision, optimization, approximation, and search problems; allows the prover to prove only the weaker assertion that a solution is approximately correct; parametrizes the runtime of the verifier; and analyzes the runtime of the verifier implemented as a RAM machine in order to understand the exact asymptotic complexity of the verifier. We will not assume any bounds on the computation time of the prover.

Both the prover and verifier are interactive RAM machines that have read access to an input and an output tape, read/write access to communication tapes, read access to a public or private source of random bits, and read/write access to private computation tapes. We assume that the verifier can access any word in any tape in constant time.

We give definitions for both the approximate IP and PCP models at the same time. In the description of our protocols, we use the alternate characterization of PCP as function-restricted IP [FRS94], in which the prover is restricted to a function determined before the start of the interaction [FRS94].

Definition 1 (Approximate IP/PCP**)** *Let $\Delta(\cdot,\cdot)$ be a distance function. A function f is said to have an* $t(\epsilon,n)$-approximate interactive proof (probabilistically checkable proof) system *with distance function Δ if there is a randomized verifier $\mathcal{V}$ such that for all inputs ϵ and x of size n, the following holds. Let y be the contents of the output tape, then:*

1. *If $\Delta(y, f(x)) = 0$, there is a* (*function-restricted*) *prover $\mathcal{P}$, such that $\mathcal{V}$ outputs pass with probability at least 3/4* (*over the internal coin tosses of $\mathcal{V}$*)*;*
2. *If $\Delta(y, f(x)) > \epsilon$, for all* (*function-restricted*) *provers $\mathcal{P}'$, $\mathcal{V}$ outputs fail with probability at least 3/4* (*over the internal coin tosses of $\mathcal{V}$*)*; and*
3. *$\mathcal{V}$ runs in $O(t(\epsilon,n))$ time.*

REMARKS. (i) The interactive (probabilistically checkable) proof protocol can be repeated $O(\lg 1/\delta)$ times to get confidence $\geq 1-\delta$. We omit all dependence on δ from our protocols throughout this paper.

(ii) The choice of the distance function Δ is problem-specific, and determines the ability to construct a proof system, as well as determining how interesting the proof system is. The usual definitions of interactive proof systems for decision problems require that when $y = f(x)$, an honest prover can convince the verifier

of that fact, and when $y \neq f(x)$, no prover can convince the verifier of that. In our model, this is achieved by choosing $\Delta(\cdot,\cdot)$ such that $\Delta(y,y') > \epsilon$ whenever $y \neq y'$ and $\Delta(y,y) = 0$. Note that the output of $\mathcal{V}$ is not specified when $0 < \Delta(y, f(x)) \leq \epsilon$. In Definitions 2 and 3, we define approximate lower and upper bound protocols in the multiplicative and additive case and give the corresponding Δ functions.

(iii) Note also that Δ can be set to 0 for many of the inputs and Δ need not be computable by the verifier, so that this definition allows interactive proofs for promise problems. Independently of this work, Szegedy [Sze99] has given a related formulation in terms of three-valued logic which also applies to promise problems.

We now give specific definitions for approximate upper and lower protocols. Most of the results in this paper gives such protocols. All of these definitions are special cases of Definition 1.

Definition 2 (Approximate lower/upper bound IP/PCP**)** *A function f is said to have an $t(\epsilon,n)$-*approximate lower (*resp.* upper) bound IP (PCP) *if there is a randomized verifier $\mathcal{V}$ such that for all inputs ϵ and x of size n, the following holds. Let y be the contents of the output tape, then:*

1. *If $y = f(x)$, there is a (function-restricted) prover $\mathcal{P}$, such that $\mathcal{V}$ outputs pass with probability at least 3/4 (over the internal coin tosses of $\mathcal{V}$);*
2. *If $y < (1-\epsilon)f(x)$ (resp. $y > (1+\epsilon)f(x)$), for all (function-restricted) provers $\mathcal{P}'$, $\mathcal{V}$ outputs fail with probability at least 3/4 (over the internal coin tosses of $\mathcal{V}$); and*
3. *$\mathcal{V}$ runs in $O(t(\epsilon,n))$ time.*

REMARK. (iv) The approximate lower and upper bound definitions correspond to setting $\Delta(y,y') = \max\{0, 1 - y/y'\}$ and $\Delta(y,y') = \max\{0, y/y' - 1\}$ respectively in Definition 1.

Definition 3 (Approximate additive lower/upper bound IP/PCP**)** *A function f is said to have an $t(\epsilon,n)$-*approximate additive lower (*resp.* upper) bound IP/PCP *if there is a randomized verifier $\mathcal{V}$ such that for all inputs ϵ and x of size n, the following holds. Let y be the contents of the output tape, then:*

1. *If $y = f(x)$, there is a (function-restricted) prover $\mathcal{P}$, such that $\mathcal{V}$ outputs pass with probability at least 3/4 (over the internal coin tosses of $\mathcal{V}$);*
2. *If $y < f(x) - \epsilon$ (resp. $y > f(x) + \epsilon$), for all (function-restricted) provers $\mathcal{P}'$, $\mathcal{V}$ outputs fail with probability at least 3/4 (over the internal coin tosses of $\mathcal{V}$); and*
3. *$\mathcal{V}$ runs in $O(t(\epsilon,n))$ time.*

REMARK. (v) The additive approximate lower and upper bound definitions correspond to setting $\Delta(y,y') = \max\{0, y' - y\}$ and $\Delta(y,y') = \max\{0, y - y'\}$ respectively in Definition 1.

INTERACTIVE SPOT-CHECKING MODEL. We give a more general definition of IPS/PCPS which applies to distance functions that correspond to property testing and spot-checking. We define an *interactive-spot-checker*, which is essentially a spot-checker [EKK+98] that is allowed the assistance of a prover.

Definition 4 *Let $\Delta(\cdot,\cdot)$ be a distance function. We say that $\mathcal{V}$ is an $t(\epsilon,n)$-*interactive-spot-checker (*ISC*) *for f with distance function Δ if, given any input x, claim y for the value of $f(x)$, and ϵ,*

1. *If $\Delta(\langle x,y\rangle, \langle x, f(x)\rangle) = 0$, then there is a function-restricted prover $\mathcal{P}$, such that $\mathcal{V}$ outputs pass with probability at least 3/4 (over the internal coin tosses of $\mathcal{V}$);*
2. *If for all inputs x', $\Delta(\langle x,y\rangle, \langle x', f(x')\rangle) > \epsilon$, then for all function-restricted provers $\mathcal{P}'$, $\mathcal{V}$ outputs fail with probability at least 3/4 (over the internal coin tosses of $\mathcal{V}$); and*

3. *$\mathcal{V}$ runs in $O(t(\epsilon, n))$ time.*

The condition on the runtime of the spot-checker enforces the "little-oh" property of [BK95], i.e., as long as f depends on all bits of the input, the condition on the runtime of the spot-checker forces the spot-checker to run faster than any correct algorithm for f, which in turn forces the spot-checker to be different than any algorithm for f.

USING PCPS OVER A COMMUNICATION CHANNEL. When interacting over a communication channel (like the internet), the verifier may want some assurance that $\mathcal{P}$ is function-restricted, without resorting to having the prover transmit the whole proof in advance of the verification process. One possibility is to use a trusted third party: $\mathcal{P}$ transmits the proof to the third party, and the verifier interacts with the third party assuming that it has no reason to change pieces of the proof. Alternatively, if one assumes a bound on the running time of $\mathcal{P}$, then it is possible to force the prover to commit to the proof in such a way that only provers that are computationally more powerful than the allowed bound are able to change the proof in a convincing way. One can use commitment methods [Mer90] in this setting [Kil92, Mic94, Kil94].

RELATED MODELS. Several other works have looked at IPS/PCPS with resource limited verifiers, especially verifiers using logarithmic space. In [Con91, FL93, DS92, FS88], the question of classifying the languages that have interactive proofs with various models of space-bounded verifiers is studied. The work of [DS92, Kil] consider the issue of when zero-knowledge interactive proof systems exist for systems with space bounded verifiers. The work of [CLSY90] considers the problem of designing untamperable benchmarks for other computers to follow. Their model considers the scenario of a resource-limited computer, which would like to ensure that a (very fast) computer has correctly computed benchmarks without taking any shortcuts. The main difference from this work is that in our model the verifier does not care how the prover computed the answer, only that the answer is correct.

NOTATION. We use $x \in_R S$ to denote that x is chosen uniformly at random from S. We use b to denote the number of bits in a word and we assume all integer variables fit in a word.

For notational convenience, we often mix notions of interactive and probabilistically checkable proofs by using both within the same protocol, referring to a prover sending information as well as permanently writing down information before the start of the protocol (which corresponds to committing to a set of responses to queries that will be made later in the protocol). These systems can clearly be simulated by a function-restricted prover, since $\mathcal{P}$ can decide on all of its responses before the start of the protocol. All protocols in this paper are described within the PCP model.

3 Some basic building blocks

3.1 Multiset equality (Permutation enforcement)

Given an input list $X = \langle x_1, \ldots, x_n \rangle$, many of our protocols require that the prover rewrite the list in a different order $Y = \langle y_1, \ldots, y_n \rangle$ (for example, the sorted order). We would like the verifier to be able to ensure that $|X \cap Y| \geq (1 - \epsilon)n$. In particular, the verifier should be able to access elements from Y while ensuring that each accessed element corresponds to a unique location in X. The difficulty comes from the possibility that neither list is necessarily distinct. One would like to prevent the possibility that an x_i from X was duplicated more than once in Y, or that two equivalent elements $x_i = x_j$ in X are replaced by only one element in Y. Without the aid of a prover, $\mathcal{V}$ requires $\tilde{\Theta}(\sqrt{n})$ time to ensure that $|X \cap Y| \geq (1 - \epsilon)n$ [EKK+98]. Here we show that it can be done in $O(1/\epsilon)$ time.

The *permutation enforcer* consists of two arrays T_1, T_2 of length n, where the contents of location i in T_1 contains a pointer to the location of x_i in Y. Similarly, the contents of location i in T_2 contains a pointer to the location of y_i in X.

Let i be *good* if $T_1[T_2[i]] = i$ and $x_i = y_{T_1[i]}$. Then it is easy to see that:

Lemma 5 $|X \cap Y| \geq |\{i \mid i \text{ is good}\}|$.

Thus, to verify that $|X \cap Y| \geq (1-\epsilon)n$, the verifier should choose $O(1/\epsilon)$ random i's and output fail if it ever finds an i that is not good. If $X = Y$, the correctly written permutation enforcer will always cause $\mathcal{V}$ to pass, and if $|X \cap Y| \leq (1-\epsilon)n$, no matter what $\mathcal{P}$ writes in place of the permutation enforcer, $\mathcal{V}$ will fail with probability at least $3/4$.

Let $f(X,Y) = 1$ if $X = Y$ and 0 otherwise. Given two multisets X, Y, let $\rho(X,Y)$ be the minimum number of elements that need to be inserted to or deleted from X in order to obtain Y. Then $\Delta(\langle(X,Y),Z\rangle, \langle(X',Y'),f(X',Y')\rangle)$ is infinite if either $X \neq X'$ or $Z \neq f(X',Y')$, and otherwise is $\rho(Y,Y')/|Y|$. One can see that this definition of Δ is small only for multisets X and Y that are at least close to equal.

Theorem 6 *Given two multisets of size n and constant ϵ, there is an $(1/\epsilon)$-ISC for multiset equality with distance function Δ.*

3.2 Element distinctness

Given an input list $X = \langle x_1, \ldots, x_n\rangle$, it is often useful for the verifier to ensure that the x_i's are distinct. Here we give a $O(1/\epsilon)$ time protocol by which the verifier can ensure that the number of distinct elements in X is at least $(1-\epsilon)n$. Without the aid of the prover, $\mathcal{V}$ requires $\Omega(\sqrt{n})$ time to determine the same [EKK+98]. The protocol we use can be viewed as a simplification of the protocols given by [GMW, For89]. The protocol of [For89] allows a prover to convince a verifier of an upper bound on the size of a set. Interestingly, we use the same technique here to give a lower bound on the size of a set.

```
Repeat O(1/ε) times:
  V chooses i ∈_R [1...n]
  V sends x_i to P
  P returns j to V
  V fails if i ≠ j
```

If X is distinct, then $\mathcal{P}$ can answer so that $\mathcal{V}$ always passes. If the number of distinct elements in X is less than $(1-\epsilon)n$, then for all provers $\mathcal{P}'$, $\mathcal{V}$ fails with probability at least $3/4$. More formally, let $f(X) = 1$ if X is distinct and 0 otherwise. Define $\Delta(\langle X,Y\rangle, \langle X', f(X')\rangle)$ to be infinite if $Y \neq f(X')$, and $\rho(X,X')/|X|$ otherwise (ρ is as defined previously). Note that it is important for the correctness of the protocol that $\mathcal{P}$ is restricted to a function determined before the start of the interaction.

Theorem 7 *Given a multiset of size n and constant ϵ, there is an $(1/\epsilon)$-ISC for element distinctness with distance function Δ.*

Proof: If the multiset X is distinct, $\mathcal{P}$ can always uniquely determine $j = i$. If the number of distinct elements in X is less than $(1-\epsilon)n$, the probability that $\mathcal{V}$ chooses an i corresponding to a nondistinct element is at least ϵ, and if x_i is not distinct, the probability that $j = i$ is at most $1/2$. Thus, there is a constant c such that after c/ϵ trials, $\mathcal{V}$ will fail with probability at least $3/4$. □

A SPACE EFFICIENT PROOF. If the function-restricted $\mathcal{P}$ in the previous protocol is implemented by having $\mathcal{P}$ write down the answers to all queries of $\mathcal{P}$ in advance of the conversation, $\mathcal{P}$ writes a table of size proportional to a bound on the maximum value of x_i. It is possible to save space, by using an algorithm in which $\mathcal{V}$ runs in $O((1/\epsilon)\cdot \lg n)$ time: $\mathcal{P}$ writes a list of ordered pairs containing each input element and its location in the input list (x_i, j) in order sorted by the value of x_i. $\mathcal{V}$ then performs a binary search to find (x_i, j) based on the keyword x_i and checks that $j = i$.

3.3 Lower bounds on the size of a set

Given a set S represented by a list enumerating its elements, it is nontrivial to deduce the size of S from the size of the list, since it is not known whether the elements in the list are distinct. Given a method by which $\mathcal{V}$ can determine whether a b-bit element x is in S (for example, if S is in fact represented by a list, $\mathcal{V}$ could be convinced in constant time that $x \in S$ if $\mathcal{P}$ sends $\mathcal{V}$ a pointer to the location of x in S), $\mathcal{V}$ could estimate $|S|/2^b$ to within a multiplicative error of ϵ by sampling: $\mathcal{V}$ chooses a random b-bit element x and if $x \in S$, then $\mathcal{P}$ proves it to $\mathcal{V}$. This requires $\Omega(2^b/(\epsilon|S|))$ samples [DKLR95, CEG95]. The method given here is significantly more efficient with the running times described in terms of γ, an upper bound on an IP (or a PCP) protocol by which $\mathcal{P}$ can convince $\mathcal{V}$ that $x \in S$. Our protocol is simple, fast, and has one-sided error. We note that there are protocols for lower bounding set size due to [GS86] and [FGM+89] which can be performed directly in an IP setting (the former protocol has 2-sided error and the latter is slightly less efficient than the one given here). In our applications for these protocols, any one of the three can be used interchangeably.

The following protocol allows $\mathcal{P}$ to convince $\mathcal{V}$ that the size of S is at least $(1-\epsilon)|S|$ for any $\epsilon > 0$. In particular, let p be $\mathcal{P}$'s claimed size of S, then if $|S| > p$ the protocol always passes and if $|S| \leq (1-\epsilon)p$ the protocol fails with probability at least $3/4$.

We use the protocols of the previous sections such that each has probability of error at most $1/8$. An auxiliary array A will be used to refer to both an array used to represent the set and the multiset which is defined by its contents.

```
P sends p to V
P writes the elements of S
  to an array A of size p
Perform element distinctness protocol
  on A with parameter ε/2
Repeat O(1/ε) times:
  V sends i ∈_R [1,...,p] to P
  P sends V a proof that A[i] ∈ S
```

Clearly if $|S| > p$, there $\mathcal{V}$ will pass. Conversely, $\mathcal{V}$ ensures that the fraction of distinct elements in A is at least $(1-\epsilon/2)$ and that at most $\epsilon/2$ fraction of the elements are not in S. Thus, $|A \cap S| \geq (1-\epsilon)p$.

Theorem 8 *There is an (γ/ϵ)-approximate lower bound* PCP *for the size of a set.*

3.4 Lower bounds on sums

Given positive integers $x_1, \ldots, x_n$, we show how $\mathcal{P}$ can convince $\mathcal{V}$ of a good approximation to a lower bound on $\sum_{i=1}^{n} x_i$. Without aid of a prover, $\mathcal{V}$ requires $\Omega(n)$ time to estimate the lower bound, since it is possible that all but one of the x_i's are 0. We give two methods by which the prover can convince the verifier that the sum is at least $1-\epsilon$ times the claimed value. The first requires only that $\mathcal{V}$ use constant time but requires a very large proof size (proportional to the magnitude of the sum). The latter requires that $\mathcal{V}$ spend $O(\lg B)$ time, where B is an upper bound on the x_i's (since we assume x_i fits in a word, $B < 2^b$) but only requires a proof whose size is $O(n)$ words.

USING LOWER BOUND PROTOCOLS. Consider the set $S = \{(i,j) \mid 1 \leq i \leq n,\ 1 \leq j \leq x_i\}$ (if $x_i = 0$ then there will be no j such that $(i,j) \in S$) whose cardinality is $\sum_{i=1}^{n} x_i$. Note that given (i,j), $\mathcal{V}$ can determine membership in S in constant time: first verify that $1 \leq i \leq n$ and then that $1 \leq j \leq x_i$. The lower bound protocols of the previous section may be used to estimate a lower bound on $|S|$ such that $\mathcal{V}$'s

running time is $O(1/\epsilon)$. If the weights are too large to fit in a word, then it is enough to work with only the $O(1/\epsilon)$ most significant bits of the weights.

Theorem 9 *There is an* $(1/\epsilon)$*-approximate lower bound* PCP *for the sum of* n *integers.*

GROUPING ELEMENTS BY SIZE. In the second protocol, $\mathcal{V}$ uses random sampling to estimate the sum. Since the number of samples required to get good estimates depends on the variance of the sample, $\mathcal{P}$ helps $\mathcal{V}$ by putting the x_i's in groups for which the variance is small: $\mathcal{P}$ groups the x_i's such that the i-th group contains all x_i whose weights are between $B/2^i$ and $B/2^{i+1}$ and writes down the contents of each group in a separate array (along with the size). Since we assume integer weights, there are at most $\lg B$ such groups. $\mathcal{P}$ could try to make the sum look larger than it is by inserting new large elements when it rewrites the x_i's into the arrays. In order to protect against this, $\mathcal{V}$ must ensure, using the permutation enforcer, that in fact each element sampled comes from the original set of x_i's. Suppose $\mathcal{V}$ chooses element y_j in one of the groups. Say that y_j is *good* if y_j's weight is consistent with its group and the permutation enforcer is consistent, i.e., $T_1[T_2[j]] = j$ and $x_i = y_{T_1[i]}$. Let $G = \{j \mid y_j \text{ is good}\}$. Then $\sum_{j \in G} y_j \leq \sum_i x_i$. $\mathcal{V}$ uses sampling to lower bound $\sum_{j \in G} y_j$. To do this, suppose the i-th group has n_i elements. Then $\mathcal{V}$ picks $O(1/\epsilon)$ elements from the i-th group, checks that they are good, and sets S_i to be their average multiplied by n_i. This gives an ϵ-approximation for a lower bound on the sum of the elements in the i-th group (cf. [DKLR95]). Finally, $\mathcal{V}$ outputs $\sum S_i$, the total sum, which lower bounds $\sum x_i$ to within a multiplicative factor of $1 - \epsilon$. The total running time is $O((1/\epsilon) \lg B)$.

Theorem 10 *There is an* $((1/\epsilon) \lg B)$*-approximate lower bound* PCP *for the sum of* n *integers, where the proof size is* $O(n)$.

4 PCPS for optimization and graph problems

4.1 Constraint satisfaction problems

A WARMUP: LOWER BOUNDS ON THE CUT SIZE. We give a protocol by which $\mathcal{V}$ can be quickly convinced by $\mathcal{P}$ that a given graph $G = (V, E)$ has a large cut. In this warmup case, the PCP is especially straightforward. The main idea is to use the lower bound protocol described in the previous section to allow $\mathcal{P}$ to convince $\mathcal{V}$ that the cut is at least a certain size.

We first describe the protocol for proving a lower bound on the cut size in an unweighted graph. Given a cut $[S, T]$, for each vertex v, let $A_v = 1$ if $v \in S$ and $A_v = 0$ if $v \in T$.

```
P writes down A_v for each vertex v
V and P perform the lower bound on set
  size protocol for the set
  C ≡ E ∩ {(u,v) | A_u ≠ A_v}
```

Note that $\mathcal{V}$ can determine membership in C in constant time. The weighted case may be treated by performing a lower bound protocol on $\sum_{(u,v) \in C} w(u, v)$, where $w(u, v)$ is the weight of edge (u, v).

Obtaining a sublinear protocol in which $\mathcal{P}$ can convince $\mathcal{V}$ of a multiplicative approximation which upper bounds the size of a given cut is not possible: $\mathcal{V}$ requires $\Omega(n^2)$ time to distinguish between a cut size of 0 and 1, assuming the input graph is given in terms of its adjacency matrix.

MAXIMUM CONSTRAINT SATISFACTION PROBLEMS. Constraint satisfaction problems (CSP) [Sch78, KST97] refer to a class of problems that can be represented as follows: Define a set of *constraint functions* $f_1, \ldots f_\ell : \{0,1\}^k \to \{0,1\}$ such that f_i is satisfied by $x \in \{0,1\}^k$ if $f_i(x) = 1$. A *constraint*

application of f_i to boolean variables $x_1, ..., x_n$ is an ordered pair $\langle f_i, (a_1, \ldots, a_k)\rangle$, which is satisfied if $f_i(x_{a_1}, \ldots, x_{a_k}) = 1$. We assume constraints can be evaluated in $O(k)$ time. On input a collection of constraint applications on boolean variables $x_1, \ldots, x_n$, the *Max CSP* problem is to find a boolean setting of the x_i's such that the number of satisfied constraints is maximized. In the case that the input also includes weights on the constraint applications, the *Weighted Max CSP* problem involves finding a setting of the x_i's which maximizes the sum of the weights of the satisfied constraints. The Max SAT problem and the Max Cut problem can both be cast as constraint satisfaction problems.

If $\mathcal{P}$ knows a solution of value v to the weighted Max CSP problem, then $\mathcal{P}$ can convince a verifier $\mathcal{V}$ that the solution to the weighted Max CSP problem is at least $(1-\epsilon)v$ as follows: $\mathcal{P}$ initially writes down the $0/1$ settings of the x_i's. Then, using one of the protocols for showing approximate lower bounds on sums from the previous section, $\mathcal{P}$ convinces $\mathcal{V}$ that the sum of the weights of the satisfied constraints is at least $(1-\epsilon)v$. During the protocol, whenever $\mathcal{P}$ sends $\mathcal{V}$ pointers to constraints that are purportedly satisfied, $\mathcal{V}$ checks that the settings of the x_i's initially written by $\mathcal{P}$ satisfy those constraints.

Theorem 11 *Let n be the number of variables and let k be the maximum size of constraints for a Weighted Max CSP problem Π. Then there is a (k/ϵ)-approximate lower bound* PCPS *for Π.*

MIN ONES CSPS. The *Min Ones CSP* problem involves finding a setting of the x_i's which minimizes the number of x_i's set to 1 and satisfies all of the constraints. It is easy to see that:

Theorem 12 *There is a (k/ϵ)-approximate lower bound protocol in which $\mathcal{P}$ can convince $\mathcal{V}$ that there exists a setting of the x_i's which sets at most B of the x_i's to 1 and satisfies at least $1-\epsilon$ fraction of the constraints.*

We present the example of vertex cover of a graph with maximum degree d. This problem is NP-complete for any $d \geq 3$. Given graph $G = (V, E)$ of degree at most d with $|V| = n$, $|E| = m$, and a bound B, is there a set $C \subseteq V$ which is a vertex cover and $|C| \leq B$. If there is such a vertex cover, then there is a protocol by which $\mathcal{P}$ can convince $\mathcal{V}$ that there is a vertex cover of size at most $B(1+d\epsilon)$: $\mathcal{P}$ writes down an array of size at most B containing the vertex cover C. $\mathcal{V}$ chooses $O(1/\epsilon)$ edges and sends them to $\mathcal{P}$. $\mathcal{P}$ returns pointers to vertices in C which cover each of the edges. and $\mathcal{V}$ fails if some edge is not covered.

If C covers less than $(1-\epsilon)m$ edges, $\mathcal{V}$ is likely to fail. Otherwise, at most ϵm additional vertices will be required to cover the remaining ones. The claim follows since $m/d \leq B \leq m$.

A similar approach can be used for dominating set with a degree bound and set cover with bounded subset size, which are also NP-complete when the degree or cardinality of the subset is at least 3.

4.2 Constraint enforcement protocols

We have seen that designing protocols for proving lower bounds seems to be much easier than proving upper bounds. We, however, show that a prover can convince a verifier that a good solution to an optimization problem satisfies certain types of upper bound constraints. We first apply our technique to approximations for *t-sparse fractional packing problems* and then show how the technique can be used for other approximation problems.

FRACTIONAL PACKING PROBLEMS. Fractional packing problems are a class of linear programming problems defined by [PST95]. We consider a *sparse* version of the problem where we are given $a_1, \ldots, a_n \geq 0$ and $b_{11}, \ldots, b_{nm} \geq 0$, such that for each i, at most t of the b_{ij}'s are nonzero (we refer to t as the *sparsity* of the problem). Let OPT be the solution to the following maximization problem: $\max\{\sum_{i=1}^{n} a_i x_i\}$ subject to $x_i \geq 0$ and the m constraints $\forall j \in [m], \sum_i b_{ij} x_i \leq c_j$. Since the b_{ij}'s are sparse, we assume that for each variable x_i, there is a list S_i of j such that $b_{ij} > 0$. (We assume this for convenience in presenting our protocols. As long as there is an easy way to find all nonzero b_{ij} for any given i, other ways to represent

the sparse data can be used.) We assume that all a_i's, b_{ij}'s, c_j's, and x_i's can be represented in a word in memory.

Now, $\mathcal{P}$ has a solution of value OPT in hand and wishes to convince $\mathcal{V}$ of the existence of a solution with value $\geq (1-\epsilon)\text{OPT}$ which satisfies all of the constraints. To this end, we give a *constraint enforcement protocol*. All our results apply to the case when $\mathcal{P}$ has a solution of value v (not necessarily optimal) and would like to prove to $\mathcal{V}$ that the solution is of value at least $(1-\epsilon)v$.

4.2.1 Constraint enforcement: unweighted version

In order to describe the constraint enforcement protocol, we begin with the simpler case of *unweighted fractional packing problems*, in which all the a_i's and b_{ij}'s are 1 or 0, and each x_i is further constrained to be either 1 or 0. Note that $b_{ij}x_i \in \{0,1\}$. $\mathcal{V}$ must ensure that there are a large number of x_i's that are set to 1, such that they do not violate any of the constraints. $\mathcal{P}$ writes down the following *constraint enforcement structure* which consists of three parts: (i) An array I of length n such that the i-th entry is the value of x_i. (ii) For each constraint j, a list of the x_i's that are allocated "space" in constraint j (i.e., $b_{ij}x_i = 1$). More specifically, $\mathcal{P}$ writes *constraint arrays* $C_1, \ldots, C_m$, where C_j is of length c_j. For every x_i such that $b_{ij} > 0$ and such that x_i is set to 1 in the optimal solution, there is a location ℓ such that $C_j[\ell] = i$. If space is allocated in C_j for each x_i such that $b_{ij}x_i = 1$, then the capacity constraints are not violated. (iii) For each i, pointers to the locations in the constraint arrays in which x_i is allocated space, so that for each x_i set to 1, $\mathcal{V}$ can ensure that it is allocated space in each constraint j for which $b_{ij} > 0$. More specifically, a modification of permutation enforcement is used: $\mathcal{P}$ writes an array T of size at most n, such that $T[i] = \langle\langle j_1, \ell_1\rangle, \ldots, \langle j_t, \ell_t\rangle\rangle$ where $\langle j_a, \ell_a\rangle \in T[i]$ whenever x_i is present in constraint j_a and ℓ_a is that location in C_{j_a} such that $C_{j_a}[\ell_a] = i$.

Figure 1 shows the unweighted constraint enforcement protocol used for the following problem: Maximize $x_1 + x_2 + x_3 + x_4$ subject to $C_0 : x_1, x_2, x_3, x_4 \in \{0,1\}$, $C_1 : x_1 + x_2 \leq 1$, $C_2 : x_2 + x_3 + x_4 \leq 2$, and $C_3 : x_1 + x_3 \leq 1$. The solution setting $x_1 = x_4 = 1$ and $x_2 = x_3 = 0$ has value 2.

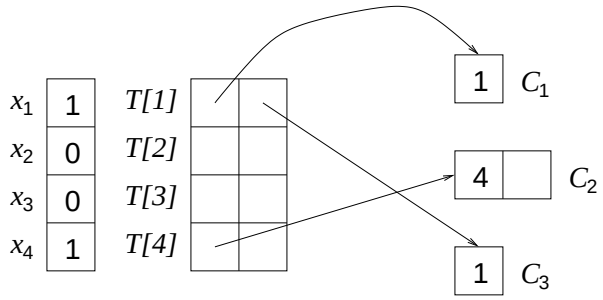

Figure 1: The unweighted case.

We say that element x_i is *good* if: (i) $x_i = 1$ (i.e., $I(i) = 1$), (ii) for all $j \in S_i$ (S_i is given as input), there is a pair $\langle j, \ell\rangle \in T[i]$ such that $C_j[\ell] = i$. Let $G = \{i \mid x_i \text{ is good}\}$ be the set of good elements. Testing that i is good can be done in $O(t)$ time.

We do not want the verifier to check the entire structure or even an entire constraint; our gain comes from the fact that: (i) the constraint enforcement structure ensures $\forall j \in [m], \sum_{i \in G} b_{ij}x_i \leq c_j$ and (ii) the value of the solution is at least the number of good elements. Setting $\hat{x}_i \leftarrow x_i$ for all $i \in G$ and $\hat{x}_i \leftarrow 0$ for all other i, we have:

Lemma 13 *$(\hat{x_1}, \ldots, \hat{x_2})$ is a feasible solution of value at least $|G|$.*

Thus the protocol is simply for $\mathcal{V}$ and $\mathcal{P}$ to run the protocol in Section 3.3 for showing that the size of the set $G = \{i \mid i \text{ is good}\}$ is at least $(1-\epsilon)\text{OPT}$, which in turn requires that $\mathcal{V}$ is able to check that a given i is good. The total runtime of $\mathcal{V}$ is $O(t/\epsilon)$.

Theorem 14 *There is a (t/ϵ)-approximate lower bound* PCPS *for unweighted fractional packing problems.*

4.2.2 Constraint enforcement: weighted version

We now consider the problem in the general form described above. We modify the previous protocol in two ways: (i) We modify the notion of *good* so that it is still the case that a solution $\hat{x}_1, ..., \hat{x}_n$ to the fractional packing problem that sets $\hat{x}_i$ to x_i when i is good and 0 otherwise satisfies all constraints and has value $\sum_{x_i \in G} a_i x_i$. $\mathcal{V}$ can test whether i is good in $\text{polylog}(n)$ time. (ii) We use the protocols from Section 3.4 so that $\mathcal{V}$ can guarantee that $\sum_i a_i \hat{x}_i \geq (1-\epsilon)\text{OPT}$.

Since the values of the x_i's and their b_{ik} multipliers are no longer constrained to be either 0 or 1, we need to modify our method of keeping track of the "space" taken up by each nonzero $b_{ik}x_i$ in each constraint. A first idea would be to write down the name of the i-th variable in $b_{ik}x_i$ consecutive locations in the constraint array C_k. However, testing that a variable was allocated enough space in a constraint array would then take $O(b_{ik}x_i)$ time. Since the "resources" allocated to each variable within a constraint can be very different, we essentially keep track of the range of space taken by each variable in each constraint. For each constraint j, we maintain an array of length n, where the i-th entry records the running total of space taken up by the first i variables (we imagine the set to be a physical space of size c_j): the array C_j is $[r_1, r_2, r_3, \ldots, r_n]$ where $r_i = \sum_{k=1}^{i} b_{k,j} \cdot x_k$ represents the space taken up by the first i objects, $r_i - r_{i-1}$ represents the space taken up by object i (and should be $b_{ij}x_i$), r_0 is assumed to be 0, and r_n should be $\leq c_j$. Note that since the b_{ik}'s and x_i's are positive, if the r_j's are given correctly, they will form a monotone sequence.

Figure 2 shows the weighted constraint enforcement protocol used for the following problem: Maximize $x_1 + 2x_2 + 3x_3 + x_4$ subject to $C_0 : x_1, x_2, x_3, x_4 \geq 0$, $C_1 : x_1 + x_2 \leq 2$, $C_2 : x_2 + x_3 + x_4 \leq 4$, and $C_3 : x_1 + 2x_3 \leq 2$. The solution setting $x_1 = 0, x_2 = x_3 = 1, x_4 = 2$ has value 7.

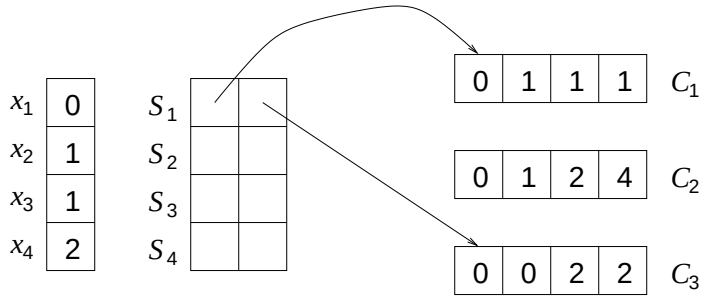

Figure 2: The weighted case.

In order to ensure that each constraint is satisfied, we need a definition of a *good* element which is strong enough so that: (i) the sum of all good elements do not violate any constraints and (ii) $\mathcal{V}$ can efficiently determine whether an element is good (in particular, $\mathcal{V}$ does not have to look at many variables in the constraint). $\mathcal{P}$ could try to cheat $\mathcal{V}$ by giving a list of r_i's which is not monotone. However, if $r_{i_1-1} \leq r_{i_1} \leq r_{i_2-1} \leq r_{i_2} \cdots$ form a monotone increasing subsequence, then it is easy to see that objects $i_1, i_2, ...$ can be simultaneously placed into the constraint without violating the capacity constraint. Our new definition of good borrows from the sorting spot-checker in [EKK+98]. For the purpose of the following definition, if $i > m$ then r_i is assumed to be infinite, and if $i \leq 0$, r_i is assumed to be 0.

Definition 15 (Heavy element) *An element r_i in a list of length m is said to be* heavy *if for all k, $0 \leq k \leq \lg m$, $r_i < r_j$ for at least 3/4 of the $j \in [i, i+2^k]$ and $r_i > r_j$ for at least $3/4$ of the $j \in [i-2^k, i]$.*

The usefulness of the definition comes from the fact that in [EKK+98] it is shown that the heavy elements in a list form an increasing subsequence. Note that in a monotone list, all elements are heavy. Also note from the definition of a heavy element that it is possible to test the heaviness of an arbitrary element in $O(\lg n)$ time.

We say an object i is *good* if for all $j \in S_i$: Let $r_i \leftarrow C_j[i]$, and $r_{i-1} \leftarrow C_j[i-1]$, then: (i) $r_i - r_{i-1} = b_{i,j}x_i$, (ii) $0 < r_{i-1} < r_i \leq c_j$, and (iii) r_i and the preceding element r_{i-1} are both heavy with respect to the list $r_1, \ldots, r_n$. $\mathcal{V}$ can test if i is good in $O(t \lg n)$ time.

Note that if both the corresponding r_i and r_{i-1} are heavy for each good element in a constraint, $r_0 \geq 0$ and r_i is less than the capacity of the constraint, then the sum of the good elements do not violate the constraint.

Thus, $\mathcal{V}$ need only ensure that the set of good elements is big.

Theorem 16 *There is a $((t/\epsilon) \cdot \lg n)$-approximate lower bound* PCPS *for fractional packing problems.*

4.2.3 Other applications of constraint enforcement

The constraint enforcement structure can be applied to several optimization problems. We give a few examples to demonstrate the scope of the technique:

MAXIMUM FLOW. A graph G with capacity constraints on the edges and special nodes s, t is given. If $\mathcal{P}$ knows how to construct a flow of size f, it can quickly prove to $\mathcal{V}$ that a flow of size $\geq (1-\epsilon)f$ exists by the following method. To verify that a flow is legal, $\mathcal{V}$ must verify that the solution observes conservation of flow at each node and capacity constraints at each edge. $\mathcal{P}$ writes a list T of path-flows that combine to make up the flow of size f. $\mathcal{V}$ picks random path-flows and ensures that they are "good" by checking that the flow is correctly packed into each edge that it follows—in doing so, $\mathcal{V}$ ensures the path-flow satisfies conservation of flow at each node along the path from s to t. Since each path-flow is of length at most n (the number of vertices), we have an n-sparse packing problem. The constraint enforcement structure ensures that no more than $c_{u,v}$ capacity is needed to accommodate all of the path flows simultaneously on each edge (u, v). For relatively small flows, we use the fact that any flow of integer magnitude f can be decomposed into f unit size path-flows. The unweighted version of the constraint enforcement protocol can be used to give a protocol by which the verifier can determine that there are enough good unit path flows in time $O(n/\epsilon)$.

Corollary 17 *There is an $((n/\epsilon))$-approximate lower bound PCPS for the maximum flow problem.*

The above protocol uses a proof of size $O(|f|)$. For larger flows, it may be desirable to find a protocol that uses a proof whose size is polynomial in n, even at the cost of requiring a slightly less efficient verifier. We use the result of [EK72] which shows that any flow can be decomposed into at most m (where m is the number of edges in the graph) path-flows. The weighted version of the constraint enforcement protocol can be used to give a protocol with runtime $O((n/\epsilon) \lg n)$.

Corollary 18 *There is an $((n/\epsilon) \lg n)$-approximate lower bound PCPS for the maximum flow problem in which the proof size is $poly(n)$.*

The constraint enforcement structure can also be used to show a lower bound on the size of a multicommodity flow, in which the runtime of $\mathcal{V}$ is $O((qn/\epsilon) \cdot \lg n)$, where q is the number of commodities.

BIN PACKING. A set of n weighted objects, a bin size B, and an $\epsilon < 1$ are given. If it is possible to pack the objects into p bins, $\mathcal{P}$ can convince $\mathcal{V}$ that $p + \epsilon n$ bins are sufficient: $\mathcal{P}$ will use the constraint enforcement structure to assure $\mathcal{V}$ that at least $(1-\epsilon)$ fraction of the objects can be packed into p bins. The bound follows by placing the other objects into their own bins. $\mathcal{V}$'s running time is $O((1/\epsilon) \lg n)$.

Corollary 19 *There is an (ϵn)-additive approximate upper bound PCPS for the bin packing problem.*

EXACT COVER BY 3-SETS, MATCHING. Given set X with $|X| = 3q$ and a collection C of 3-element subsets of X. Does C contain an exact cover for X, i.e., a subcollection $E \subseteq C$ such that every element of X occurs in exactly one member of E? If so, then $\mathcal{P}$ can prove to $\mathcal{V}$ that there exists a partial covering F that covers at least $1 - \epsilon$ fraction of the elements of X such that no element in X is covered by more than one set. The proof utilizes the unweighted constraint enforcement structure: For each set $s_i \in C$ there is a variable x_i that is set to 1 if $s_i \in F$ and 0 otherwise. For each element in X there is a constraint which ensures that it is contained in at most one of the sets in F: b_{ij} is 1 if set s_i contains element j. For each $c \in F$ such that $c = \{a_1, a_2, a_3\}$, c should appear in $C_{a_1}, C_{a_2}, C_{a_3}$. If the verifier samples the $c \in F$ and decides that most are good, then it can conclude that there is a collection $F' \subseteq F$ such that $|F'| \geq (1-\epsilon)|F|$ and such that no $a \in X$ is covered more than once by F'. $\mathcal{V}$'s running time is $O(1/\epsilon)$.

Note that this construction works for any k (the runtime of $\mathcal{V}$ has linear dependence in k). In particular, since a matching is a cover by 2-sets, the protocol can be used to show an approximate lower bound PCPS on the size of a matching in a graph.

Corollary 20 *There is an (k/ϵ)-approximate lower bound PCPS for the exact cover by k-sets problem.*

SHOP SCHEDULING. In the *open shop scheduling* problem, a set of p products , m work teams, and a deadline D are given. Each product consists of m tasks, each designated to be processed by a different work team j at some point during production. Task j of product x_i takes t_{ij} time units to complete. A product can be with at most one team, and a team can be working on at most one product at any given time. If it is possible to complete all m products before deadline D, $\mathcal{P}$ can convince a $O((m/\epsilon)\lg p)$-time $\mathcal{V}$ that at least $(1-\epsilon)m$ products can be completed before the deadline: The protocol uses the constraint enforcement structure to ensure that products are with at most one team and that teams are working on at most one product at any given time. Variants of the above problem, such as flow shop and job shop scheduling can be handled in a similar manner.

SUBSET SUM. Given $x_1, \ldots, x_n$ and a bound B, $\mathcal{P}$ can convince an $O((1/\epsilon)\lg n)$-time $\mathcal{V}$ that there exists a set S such that $B(1-\epsilon) \leq \sum_{i \in S} x_i \leq B$. A similar result holds for partition.

4.3 Matching problems

In this section, we consider problems based on matching. We first given an alternate protocol for matching which does not use constraint enforcement structure and then consider the problem of minimum maximal matching.

MATCHING. The following protocol is used to show a lower bound on the size of a matching: $\mathcal{P}$ writes a list L of edges in the matching. $\mathcal{P}$ convinces $\mathcal{V}$ that $|L \cap E| \geq (1 - \epsilon/2)k$. Then, $\mathcal{V}$ verifies that $\leq \epsilon/2$ fraction of edges involve vertices that are matched twice. To do this, $\mathcal{V}$ chooses a random edge $L[i] = (u, v)$ from L, then chooses a random vertex from $\{u, v\}$ and sends it to $\mathcal{P}$. $\mathcal{P}$ responds with the location j in L. $\mathcal{V}$ accepts if $i = j$. Thus

Corollary 21 *There is a $(1/\epsilon)$-approximate lower bound* PCPS *protocol for matching.*

MINIMUM MAXIMAL MATCHING. Given a graph $G = (V, E)$, $|V| = n$, of degree at most d does G contain a maximal matching of size at most U? This problem is NP-complete if $d \geq 3$. If there is such a matching, then there is a protocol by which $\mathcal{P}$ can convince an $O(1/\epsilon)$ time $\mathcal{V}$ that there is a maximal matching of size at most $U + n\epsilon/2$: $\mathcal{P}$ writes down the edges of a matching into an array of size U. To check that this matching is maximal, $\mathcal{V}$ randomly samples nodes and makes sure that a sampled node, if

unmatched, does not have any unmatched neighbors. If the number of unmatched nodes with unmatched neighbors is more than ϵn, $\mathcal{V}$ is likely to fail. The bound follows since there exists a pairing of unmatched nodes such that one needs to add at most one edge for every pair.

Corollary 22 *There is an* $(\epsilon n/2)$*-additive approximate upper bound* PCPS *protocol for minimum maximal matching.*

5 IPS for set problems

We consider simple set problems of set intersection and set union and show protocols by which $\mathcal{P}$ can convince $\mathcal{V}$ of bounds on the result of these set operations. One application of these protocols is to proving bounds on the sizes of unions and intersections of databases queries.

TWO SET INTERSECTION. Consider the simpler version of the set intersection problem: Given sets A and B of cardinality n, and parameters ρ, is $|A \cap B|$ approximately ρn? Our interactive protocol will be given as input the sets A and B of cardinality n, and parameters ϵ, ρ, and will determine whether $(\rho - \epsilon)n \leq |A \cap B| \leq (\rho + \epsilon)n$.

Without the aid of the prover, the task requires $\Omega(\sqrt{n})$ time (cf. [EKK+98]). The lower bound protocol of [GS86] can be adapted to this setting to get multiplicative approximations of a lower bound, but we know of no such way to get a multiplicative approximation for the upper bound using the methods of [For89], since they require a fast method of generating a random element of $A \cap B$. Our techniques can be viewed as special cases of their techniques, where the identity function is used in place of a hash function. The protocol for $\mathcal{V}$ is as follows:

$\mathcal{P}$ sends ϵ to $\mathcal{V}$
Repeat the following m times:
  lower bound protocol
  $\mathcal{V}$ picks $C \in_R \{A, B\}$
  $\mathcal{V}$ picks $x \in_R C$ and sends x to $\mathcal{P}$
  $\mathcal{P}$ returns $C' \in \{A, B\}$ and a pointer to
    x in C'
  If the pointer is valid and $C = C'$,
    $\mathcal{V}$ sets $k = k + 1$

  upper bound protocol
  $\mathcal{V}$ picks $x \in_R A$ and sends x to $\mathcal{P}$
  if possible $\mathcal{P}$ returns a pointer to
    x in B
  If the pointer is valid,
    $\mathcal{V}$ sets $\ell = \ell + 1$

$\mathcal{V}$ sets $\gamma = k/m$ and $\delta = \ell/m$
Pass if $1 - \gamma > \rho/2 - \epsilon$ and $\delta < \rho + \epsilon$

For the lower bound, first observe that if the intersection is large, $\mathcal{P}$ cannot but err on a lot of input elements. Given $x \in A \cap B$, the probability that $\mathcal{P}$ agrees with $\mathcal{V}$ is $1/2$. If $x \notin A \cap B$, since $\mathcal{P}$ is required to return a valid pointer, at best it agrees with $\mathcal{V}$ on all occasions. So, the probability that $\mathcal{P}$ agrees with $\mathcal{V}$ can be at most

$$\frac{1}{2}\frac{|A \cap B|}{n} + \frac{n - |A \cap B|}{n} = 1 - \frac{|A \cap B|}{2n}$$

$\mathcal{V}$, therefore, estimates a lower bound on this probability and hence an upper bound on $|A \cap B|/(2n)$ via γ. By Chernoff bounds, we can show that this estimate can be done to within an additive factor of ϵ by $\mathcal{V}$ with probability of error at most $O(\exp(-m^2))$.

For the upper bound, $\mathcal{P}$ can return a valid pointer only with probability of at most $|A \cap B|/n$, which can be upper bounded to within a factor of ϵ by $\mathcal{V}$ via sampling. By Chernoff bounds, the probability of error is at most $O(\exp(-m^2))$.

Theorem 23 *Two set intersection has an ϵ-additive approximate upper and lower bound IPS.*

In general, if A and B are sets of different, but known sizes, using a variant of the above protocol, we can obtain upper and lower bounds on $|A \cap B|/(|A| + |B|)$. Also, note that using inclusion-exclusion, these protocols can be used to estimate the size of two set union as well.

GENERAL SET INTERSECTION. This also gives interactive protocols for checking, given $A_1, \ldots, A_k$ if $|\cap_{i=1}^{k} A_i|$ is large: $\mathcal{V}$ picks $i \in_R [k]$ and then $x \in_R A_i$ and sends x to the prover. $\mathcal{P}$ returns k pointers to location of x in each of A_i's. $\mathcal{V}$ ensures that these pointers are valid. The analysis is similar to that of Theorem 23.

6 Interactive spot-checking

We have already mentioned two examples—element distinctness and set intersection—in which ISCs are provably faster than spot-checkers. A third example is from property testing[2] of the bipartiteness of graphs: Given a graph G, represented by an adjacency matrix, can at most ϵn^2 edges be removed to make G bipartite? A $\mathrm{poly}(1/\epsilon)$ time algorithm was given in [GGR98] which passes bipartite G and fails G which do not satisfy the above requirement (behavior on other graphs is not specified). If the graph is bounded degree and represented in the adjacency list representation, the above question is trivially true. However, the question of whether at most ϵn edges can be removed to make G bipartite is considered by [GR97, GR98]. An $\tilde{O}(\sqrt{n})$ time algorithm was given in [GR98] which passes bipartite G and fails G which do not satisfy the requirement. It is known that $\Omega(\sqrt{n})$ time is required to solve this problem [GR97]. On the other hand, it is easy to see that there is an ISC with runtime $\mathrm{poly}(1/\epsilon)$ for both representations by requiring $\mathcal{P}$ to write down the color of each vertex.

Finally, consider the problem of spot-checking associativity: Given an $n \times n$ operation table for $\circ$, is $\circ$ an associative operation? We would like to pass if $\circ$ is associative and fail if at least ϵ fraction of the entries need to be changed in order to turn $\circ$ into an associative operation. The best known spot-checker for associativity runs in $\tilde{O}(n^{1.5})$ time [EKK+98]. One of the main bottlenecks in that test is that we need to look at the operation table and ensure that all columns and all rows are mostly distinct. For each column/row, this requires $\Omega(\sqrt{n})$ time without the aid of the prover. Using the results of Section 5, this can be done in constant time and thus one can give an ISC for associativity whose runtime is $\tilde{O}(n)$.

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