

# COMPLEXITY THEORY

## Lecture 26: Interactive Proof Systems

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Knowledge-Based Systems

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For the most current version of this course, see  
[https://iccl.inf.tu-dresden.de/web/Complexity\\_Theory/en](https://iccl.inf.tu-dresden.de/web/Complexity_Theory/en)

# Believing without proof?

“Real mathematicians should only believe in mathematical statements that they can prove themselves!”

Is this a sensible statement?

In other words: Could a rational mathematician be convinced of a formal claim without having the slightest idea of how to prove it?

# Motivation: Provers and Verifiers

Recall: languages in NP admit short, easy-to-check membership certificates

## **NP membership checking as an interaction of two parties:**

- The **Prover** produces a certificate (proof of membership) that they claim to be valid
- The **Verifier** validates the certificate to decide upon acceptance

## **Can we generalise this idea?**

- A (untrusted) Prover tries to convince the Verifier of membership
- Verifier sceptically checks the Prover's arguments before making a decision
- The interaction might involve several rounds of communication
- The Prover might have unbounded computational power,  
but the Verifier should operate in P

For which languages can such a polytime Verifier ensure that it can be convinced of membership exactly for the words that really are in the language?

# Example: Graph Isomorphism

We consider (undirected) graphs over a set of numbered vertices  $1, 2, \dots, n$ .

Two graphs are **isomorphic** if one can be obtained from the other by a bijective renaming (permutation) of vertices.

## GRAPH ISOMORPHISM

Input: Two graphs  $G_1$  and  $G_2$ .

Problem: Is  $G_1$  isomorphic to  $G_2$ ?

### Observations:

- **GRAPH ISOMORPHISM** is in NP (certificate: renaming)
- There are  $n!$  many potential permutations, so exhaustive checking requires exponential time

However, **GRAPH ISOMORPHISM** is not known (or believed) to be NP-hard

# Graph Non-Isomorphism

## GRAPH NON-ISOMORPHISM

Input: Two graphs  $G_1$  and  $G_2$ .

Problem: Is  $G_1$  not isomorphic to  $G_2$ ?

There does not seem to be a short certificate for this, but there is an interactive protocol:

**Protocol:** given non-isomorphic graphs  $G_1$  and  $G_2$

- Verifier: randomly select  $i \in \{1, 2\}$ ; randomly permute vertices of  $G_i$  to obtain a new graph  $H$ ; send  $H$  to the Prover
- Prover: determine which  $G_j$  ( $j \in \{1, 2\}$ ) the graph  $H$  is isomorphic to; send  $j$
- Verifier: accept if  $i = j$ , else reject

**Analysis:** The Prover can ensure acceptance for non-isomorphic graphs, but for isomorphic graphs it can only achieve acceptance with probability 0.5 (which can be reduced further by repeating the interaction several times) □

# Zero-Knowledge Proofs

Running the previous protocol is interestingly uninformative:

- The Verifier can be convinced that  $\langle G_1, G_2 \rangle \in \text{GRAPH NON-ISOMORPHISM}$
- But the Verifier learns nothing about the reasons
- In particular, the Verifier would not be able to prove this to anybody else

This is called a **zero-knowledge proof**.

**Note:** The mathematical property that characterises such proofs formally is that the Verifier could have produced the whole interaction all by itself, without the assistance of a Prover. This would not convince the Verifier, of course, but would not be distinguishable otherwise.

# Making interactive proofs formal (1)

The interaction can be viewed as a sequence of messages  $m_1, m_2, \dots, m_k$ , followed by the Verifier declaring “accept” or “reject”.

The **Verifier** may consider the following:

- The input string  $w$
- A string  $r$  of random bits (certificate-style view of random computation)
- A (partial) message history  $m_1 \# m_2 \# \dots \# m_i$  of messages exchanged so far (odd-index messages are sent by Verifier, even-index messages by Prover)  
~ Verifier can be described by a function  $V : \Sigma^* \times \Sigma^* \times \Sigma^* \rightarrow \Sigma^* \cup \{\text{accept}, \text{reject}\}$

The **Prover** may consider the following:

- The input string  $w$
- A (partial) message history  $m_1 \# m_2 \# \dots \# m_i$  of messages exchanged so far  
~ Prover can be described by a function  $P : \Sigma^* \times \Sigma^* \rightarrow \Sigma^*$

## Making interactive proofs formal (2)

**Definition 26.1:** A word  $w$  is accepted by  $V$  and  $P$  with random string  $r$  if there is a sequence of messages  $m_1 \# m_2 \# \cdots \# m_k$  such that

- for all even  $i \geq 0$  we have  $m_{i+1} = V(w, r, m_1 \# \cdots \# m_i)$
- for all odd  $i \geq 0$  we have  $m_{i+1} = P(w, m_1 \# \cdots \# m_i)$
- $m_k = \text{accept}$  (and in particular  $k$  is odd)

In this case, we write  $(V \leftrightarrow P)(w, r) = \text{accept}$ .

**Definition 26.2:** A polynomial verifier  $V$  with bound  $p$  is a verifier function that ensures that, for all inputs  $w$ , random strings  $r$ , and provers  $P$ , at most  $p(|w|)$  computation steps are performed overall (across all interactions).

**Note:** Polynomial verifiers could, for example, use messages to store the number of available steps that remain, and reject when this is used up.

**Definition 26.3:** A polynomial verifier  $V$  with bound  $p$  and a prover  $P$  accept a word  $w$  with probability  $\Pr[V \leftrightarrow P \text{ accepts } w] = \Pr_{r \in \{0,1\}^{p(|w|)}}[(V \leftrightarrow P)(w, r) = \text{accept}]$ .

# The class IP

We can now formally define a class of languages that are accepted by polytime Verifiers using interactive proofs:

**Definition 26.4:** A language  $L$  is in  $\text{IP}$  if there is a polynomial verifier  $V$  such that, for every word  $w$ :

- (1) if  $w \in L$  then there is a prover  $P$  with  $\Pr[V \leftrightarrow P \text{ accepts } w] \geq \frac{2}{3}$ ,
- (2) if  $w \notin L$  then for all provers  $\tilde{P}$  we have  $\Pr[V \leftrightarrow \tilde{P} \text{ accepts } w] \leq \frac{1}{3}$ .

In words:

- there is a “good” prover  $P$  that can convince  $V$  to accept  $w \in L$  with high probability  
(note that the existence of one good prover for each  $w \in L$  implies that there is one globally good prover)
- not even a “bad” prover  $\tilde{P}$  can convince  $V$  to accept words  $w \notin L$  with more than a low probability

# Probabilistic interactions

The definition of IP uses probabilistic computations

- The Verifier is a polynomially time-bounded probabilistic TM
- The Prover does not use randomness (and including it would not change IP)
- As discussed for BPP, we can amplify probabilities; in particular, the bounds  $\frac{2}{3}$  and  $\frac{1}{3}$  are not essential to the definition

The use of randomness in the Verifier is important for expressive power:

**Theorem 26.5:** Let  $\text{IP}_d$  be the restriction of IP that is obtained when requiring  $V$  to be deterministic (ignoring the random bits). Then  $\text{IP}_d = \text{NP}$ .

The proof is not hard (exercise; or see Arora & Barak, Lemma 8.4)

# Obvious sub-classes of IP

Some observations are straightforward:

**Theorem 26.6:**  $\text{NP} \subseteq \text{IP}$ .

**Proof:** Use definition of NP via polynomial-time verifiers. □

**Theorem 26.7:**  $\text{BPP} \subseteq \text{IP}$ .

**Proof:** Verifier can solve BPP problems without talking to Prover. □

# A superclass of IP

Interestingly, we can use another well-known class to capture IP from above:

**Theorem 26.8:**  $\text{IP} \subseteq \text{PSpace}$ .

**Proof:** Consider  $\mathbf{L} \in \text{IP}$  with polynomial verifier  $V$ . For any word  $w$ , let

$$\Pr[V \text{ accepts } w] = \max_P \Pr[V \leftrightarrow P \text{ accepts } w].$$

Then  $\Pr[V \text{ accepts } w] \geq \frac{2}{3}$  if  $w \in \mathbf{L}$  and  $\Pr[V \text{ accepts } w] \leq \frac{1}{3}$  otherwise.

**Goal:** Compute the value of  $\Pr[V \text{ accepts } w]$  in PSpace.

**Notation:**

- Let  $M_j$  abbreviate a message sequence  $m_1 \# m_2 \# \cdots \# m_j$
- $(V \leftrightarrow P)(w, r, M_j) = \text{accept}$  if  $(V \leftrightarrow P)(w, r) = \text{accept}$  for a message sequence  $m_1 \# m_2 \# \cdots \# m_k$  that extends  $M_j$  (in particular:  $M_j$  is possible with  $r$ ,  $V$  and  $P$ )
- $\Pr[(V \leftrightarrow P) \text{ accepts } w \text{ starting from } M_j] = \Pr_{r \in \{0,1\}^{p(|w|)}}[(V \leftrightarrow P)(w, r, M_j) = \text{accept}]$
- $\Pr[V \text{ accepts } w \text{ starting from } M_j] = \max_P \Pr[(V \leftrightarrow P) \text{ accepts } w \text{ starting from } M_j]$

## Theorem 26.8: IP ⊆ PSpace.

**Proof (cont.):** What we seek is  $\Pr[V \text{ accepts } w] = \Pr[V \text{ accepts } w \text{ starting from } M_0]$ , where  $M_0$  is the empty message sequence.

We define numbers  $N[M_j]$  recursively, with the longest possible sequences as base case:

1. If  $M_j$  cannot be produced by  $V$  for any  $r$  (and  $P$ ), then  $N[M_j] = 0$ .
2. Else, if  $j$  is odd and  $M_j = m_1 \# \dots \# m_j$ , then
  - 2.1 If  $m_j = \text{accept}$  then  $N[M_j] = 1$
  - 2.2 If  $m_j = \text{reject}$  then  $N[M_j] = 0$
  - 2.3 If  $m_j \notin \{\text{accept}, \text{reject}\}$  then  $N[M_j] = \max_{m_{j+1}} N[M_j \# m_{j+1}]$
3. Else, if  $j$  is even, then  $N[M_j] = \text{wt-avg}_{m_{j+1}} N[M_j \# m_{j+1}]$   
where  $\text{wt-avg}_{m_{j+1}} N[M_j \# m_{j+1}] = \sum_{m_{j+1}} \Pr_{r \in \{0,1\}^{p(|w|)}} [V(w, r, M_j) = m_{j+1}] \cdot N[M_j \# m_{j+1}]$

In all cases,  $m_{j+1}$  ranges over (a superset of) the messages possible at this step (which can be assumed to be of polynomial length, and are therefore bounded).

**Note 1:** Case 2.3 corresponds to best possible answer of any Prover

**Note 2:** Case 3 corresponds to probability-weighted average for given Verifier

**Theorem 26.8:** IP  $\subseteq$  PSpace.

**Proof (cont.):** We need to show two claims:

- **Claim 1:**  $N[M_j] = \Pr[V \text{ accepts } w \text{ starting from } M_j]$
- **Claim 2:**  $N[M_j]$  can be computed in polynomial space

Together, this would show that  $N[M_0] = \Pr[V \text{ accepts } w]$  can be computed in polynomial space.

**Claim 2 is not hard to see:**

- The recursive computation of  $N[M_j]$  is of polynomially bounded depth (longer message sequences are never consistent with a polynomial verifier  $V$ )
- Checking consistency with some  $r \in \{0, 1\}^{p(|w|)}$  can be done by iterating over these  $r$
- Computing  $\max_{m_{j+1}} N[M_j \# m_{j+1}]$  is similar by iterating over all  $m_{j+1}$
- Computing  $\text{wt-avg}_{m_{j+1}} N[M_j \# m_{j+1}]$  is also similar, using two iterations (over  $m_{j+1}$  and over all  $r$ )

# IP ⊆ PSpace

**Theorem 26.8:** IP ⊆ PSpace.

**Proof (cont.):** Claim 1 can be shown by induction.

The base cases are when  $M_j$  is not consistent (impossible message sequence), or already ends in accept or reject. The claim is clear for these cases.

For the induction step, assume the claim holds for all  $N[M_{j+1}]$  (ind. hypothesis, IH)

- For the case  $N[M_j] = \text{wt-avg}_{m_{j+1}} N[M_j \# m_{j+1}]$ , we compute:

$$\begin{aligned} N[M_j] &\stackrel{\text{def}}{=} \sum_{m_{j+1}} \Pr_{r \in \{0,1\}^{p(|w|)}} [V(w, r, M_j) = m_{j+1}] \cdot N[M_j \# m_{j+1}] \\ &\stackrel{\text{IH}}{=} \sum_{m_{j+1}} \Pr_{r \in \{0,1\}^{p(|w|)}} [V(w, r, M_j) = m_{j+1}] \cdot \Pr[V \text{ accepts } w \text{ starting from } M_j \# m_{j+1}] \\ &= \Pr[V \text{ accepts } w \text{ starting from } M_j] \quad (\text{def. of acceptance probability for steps of } V) \end{aligned}$$

# IP ⊆ PSpace

**Theorem 26.8:** IP ⊆ PSpace.

**Proof (cont.):** Claim 1 can be shown by induction.

The base cases are when  $M_j$  is not consistent (impossible message sequence), or already ends in accept or reject. The claim is clear for these cases.

For the induction step, assume the claim holds for all  $N[M_{j+1}]$  (ind. hypothesis, IH)

- For the case  $N[M_j] = \max_{m_{j+1}} N[M_j \# m_{j+1}]$ , we compute:

$$\begin{aligned} N[M_j] &\stackrel{\text{IH}}{=} \max_{m_{j+1}} \Pr \left[ V \text{ accepts } w \text{ starting from } M_j \# m_{j+1} \right] \\ &= \Pr \left[ V \text{ accepts } w \text{ starting from } M_j \right] \end{aligned}$$

The second equality follows since this probability can be achieved by a Prover that sends the message  $m_{j+1}$  that maximises  $N[M + j]$ , and no higher probability can be achieved by any other message.

**This finishes the proof of the theorem.**

□

## The power of the prover

Our definition of IP allows Prover to have unlimited computational power (possibly even uncomputable behaviour).

However, our proof of  $IP \subseteq \text{PSpace}$  showed that the optimal Prover output for any given Verifier can be computed in polynomial space, so we get:

**Corollary 26.9:** The class IP remains the same if the Prover is required to compute its responses in polynomial space.

# The power of IP

So far, we know that IP contains NP, BPP, but also **GRAPH Non-ISOMORPHISM**, which is not known to be in either class.

As we will see, IP can do much more. We start with the following problem:

## #SAT

Input: A propositional logic formula  $\varphi$ .

Problem: The number of satisfying assignments of  $\varphi$

### Note:

- **#SAT** is not a decision problem. Let  $\#SAT_D = \{(\varphi, k) \mid k \text{ is the solution of } \#SAT \text{ on } \varphi\}$  be the corresponding decision problem
- Computing **#SAT** solves propositional satisfiability as well as unsatisfiability.
- Indeed, it is complete for the powerful class **#P**

# Solving $\#\text{SAT}_D$ in IP

## Theorem 26.10: $\#\text{SAT}_D \in \text{IP}$

We consider a formula  $\varphi$  of size  $n$  and with  $m$  propositional variables  $x_1, \dots, x_m$ .

For  $1 \leq i \leq m$ , let  $f_i : \{0, 1\}^i \rightarrow \mathbb{N}$  be the function that maps  $\langle a_1, \dots, a_i \rangle$  to the number of satisfying assignments of  $\varphi$  with  $x_1 = a_1, \dots, x_i = a_i$ .

- Then  $f_0()$  is the solution to  $\#\text{SAT}$
- We find  $f_i(a_1, \dots, a_i) = f_{i+1}(a_1, \dots, a_i, 0) + f_{i+1}(a_1, \dots, a_i, 1)$

# #SAT<sub>D</sub> ∈ IP: first attempt

**Protocol:** to check if  $\langle \varphi, k \rangle \in \text{#SAT}_D$

- $P$ : send  $f_0()$  to  $V$
- $V$ : check if  $f_0() = k$  and reject if this fails
- For  $i = 1, \dots, m$ :
  - $P$ : send  $f_i(a_1, \dots, a_i)$  to  $V$  for all  $\langle a_1, \dots, a_i \rangle \in \{0, 1\}^i$
  - $V$ : check, for all  $\vec{a} \in \{0, 1\}^{i-1}$ , if  $f_{i-1}(\vec{a}) = f_i(\vec{a}, 0) + f_i(\vec{a}, 1)$ , reject if not
- $V$ : check if, for all  $\langle a_1, \dots, a_m \rangle \in \{0, 1\}^m$ ,  $f_m(a_1, \dots, a_m) = 1$  if and only if  $\{x_1 \mapsto a_1, \dots, x_m \mapsto a_m\}$  is a satisfying assignment for  $\varphi$ ; accept iff

This protocol does not show  $\text{#SAT}_D \in \text{IP}$ :

- it requires exponential time to perform exponentially many checks.

However, the protocol is otherwise correct:

- if  $k$  is the correct result, a truthful Prover can convince the Verifier
- if  $k$  is not correct, not even a mischievous Prover can convince the verifier  
(exercise: why?)

# Arithmetisation

To reduce the number of messages and checks, we use arithmetisation.

$\varphi$  is transformed into an arithmetic expression  $\Phi$  by replacing subexpressions:

- $\alpha \wedge \beta$  becomes  $\alpha\beta$
- $\neg\alpha$  becomes  $(1 - \alpha)$
- $\alpha \vee \beta$  becomes  $\alpha * \beta = 1 - (1 - \alpha)(1 - \beta)$

## Some observations:

- $\Phi$  is a multivariate polynomial function over variables  $x_1, \dots, x_m$
- The degree of  $\Phi$  is bounded by the size  $n$  of  $\varphi$
- The value of  $\Phi$  for inputs  $x_i \in \{0, 1\}$  is also in  $\{0, 1\}$ , and corresponds to the valuation of  $\varphi$  on the corresponding truth values
- We can evaluate  $\Phi$  over an arbitrary field

**Example 26.11:** For a prime number  $p$ , the algebra of natural numbers  $\{0, 1, \dots, p - 1\}$  and where  $+$  and  $\cdot$  are addition and multiplication modulo  $p$  is a finite field. This field is denoted  $\text{GF}(p)$ .

$\#SAT_D \in \text{IP}$

**Theorem 26.10:  $\#SAT_D \in \text{IP}$**

**Proof:** By our prior observation,  $k$  is a solution to  $\#SAT$  exactly if

$$k = \sum_{a_1 \in \{0,1\}} \dots \sum_{a_m \in \{0,1\}} \Phi(a_1, \dots, a_m) \quad (1)$$

The Prover tries to convince the Verifier of this.

We are looking for a protocol to verify this property of a polynomial  $\Phi$ .

Initialisation:

The Prover sends a prime number  $p$  with  $2^n < p \leq 2^{2n}$  ( $n$ : size of  $\varphi$ ). All calculations will be performed in  $\text{GF}(p)$ .

**Note:** The right side of (1) is at most  $2^m \leq 2^n$ , so the value is unaffected by this restriction.

The Verifier checks that  $p$  is really prime (primality is known to be in P)

## Theorem 26.10: #SAT<sub>D</sub> ∈ IP

**Proof (cont.):** Given a multi-variate polynomial  $g(x_1, \dots, x_\ell)$ , let  $h(x_1)$  denote the (univariate) polynomial  $\sum_{a_2 \in \{0,1\}} \dots \sum_{a_m \in \{0,1\}} g(x_1, a_2, \dots, a_\ell)$ .

**Protocol:** to check  $K = \sum_{a_1 \in \{0,1\}} \dots \sum_{a_m \in \{0,1\}} g(a_1, \dots, a_m) \pmod{p}$  for multi-variate polynomial  $g$  that has a polynomial-size representation and polynomial degree

- $V$ : if  $m = 1$ , verify  $g(0) + g(1) = K$  and reject or accept accordingly;  
if  $m \geq 2$ , ask  $P$  to send a polynomial-size representation of  $h(x_1)$
- $P$ : send a polynomial  $\tilde{h}(x_1)$  (if  $P$  is truthful, it sends  $\tilde{h} = h$ )
- $V$ : check if  $\tilde{h}$  is polynomially sized and of degree  $\leq n$ ;  
check if  $K = \tilde{h}(0) + \tilde{h}(1)$ ; reject if any of these fail;  
pick a random  $b \in \text{GF}(p)$  and send  $b$  to  $P$
- Recursively use the same protocol to verify  
 $\tilde{h}(b) = \sum_{a_2 \in \{0,1\}} \dots \sum_{a_m \in \{0,1\}} g(b, a_2, \dots, a_m) \pmod{p}$

$\#SAT_D \in \text{IP}$

**Theorem 26.10:  $\#SAT_D \in \text{IP}$**

**Proof (cont.):** It is not hard to verify that the protocol can be implemented by a polynomial verifier:

- All polynomials are given by polynomial representations and have polynomial degree
- They can therefore be evaluated in polynomial time (using binary encoding of numbers)
- The random number  $b \leq p \leq 2^{2n}$  consists of  $2n$  random bits
- There are  $\leq m$  recursive applications of the protocol

## Theorem 26.10: #SAT<sub>D</sub> ∈ IP

**Proof (cont.):** If the claim is true, a truthful Prover can ensure that  $V$  accepts.

If the claim is false, the probability that  $V$  accepts is very small:

- For  $m = 1$ , the probability is 0 ( $V$  will just check directly)
- For  $m > 1$ ,  $P$  must send some  $\tilde{h} \neq h$  in order to pass the check  $K = \tilde{h}(0) + \tilde{h}(1)$   
If  $V$  selects  $b$  such that  $\tilde{h}(b) = \sum_{a_2 \in \{0,1\}} \dots \sum_{a_m \in \{0,1\}} g(b, a_2, \dots, a_m) \pmod{p}$ , then  $P$  can continue to play truthfully and  $V$  will eventually accept
- Overall, there are  $m - 1$  opportunities for  $P$  to be lucky in this sense.
- But if  $\tilde{h} \neq h$ , then the chance of a random  $b \in \{0, \dots, p\} \supseteq \{0, \dots, 2^m\}$  to be such that  $\tilde{h}(b) - h(b) = 0$  is  $\leq d/2^n$ , where  $d$  is the degree of  $\tilde{h} - h$  (Schwartz-Zippel Lemma).
- The degree of  $h$  and any reasonable  $\tilde{h}$  is bounded by the size  $n$  of  $\varphi$  (linear), while  $2^n$  is exponential, hence the success rate is small for sufficiently large  $\varphi$ .
- The overall chance of  $P$  tricking  $V$  to accept a wrong claim is  $\leq 1 - (1 - n/2^n)^{m-1}$ , which is  $\leq 1/n$  for  $n \geq 10$ . □

# Main result

The main insight about IP is as follows:

**Theorem 26.12:**  $\text{IP} = \text{PSpace}$

**Proof:** We have already shown  $\text{IP} \subseteq \text{PSpace}$ . For the converse, we adopt our proof of  $\#\text{SAT}_D \in \text{IP}$  to show that  $\text{TRUEQBF} \in \text{IP}$ . This suffices (why?).

Consider a QBF of the form  $\psi = \forall x_1. \exists x_2. \forall x_3. \dots \exists x_m. \varphi[x_1, \dots, x_m]$  (this is w.l.o.g. – why?).

Using the arithmetisation  $\Psi$  of  $\varphi$ , we find  $\psi \in \text{TRUEQBF}$  iff

$$\sum_{a_1 \in \{0,1\}}^* \prod_{a_2 \in \{0,1\}}^* \sum_{a_3 \in \{0,1\}}^* \dots \sum_{a_m \in \{0,1\}}^* \Phi(a_1, \dots, a_m) = 1 \quad (2)$$

where  $\sum_{a \in \{0,1\}}^* P(a) = P(0) * P(1) = 1 - (1 - P(0))(1 - P(1))$ .

We would like to verify (2) using similar ideas as for  $\#\text{SAT}_D \in \text{IP}$ .

# Showing IP = PSpace

We would like to verify (2) using similar ideas as for  $\#\text{SAT}_D \in \text{IP}$ .

**Problem:** The degree of polynomials such as

$h(x_1) = \prod_{a_2 \in \{0,1\}} \sum_{a_3 \in \{0,1\}}^* \cdots \sum_{a_m \in \{0,1\}}^* \Phi(x_1, a_2, \dots, a_m)$  can be as large as  $2^m$   
~ no polynomial-size description, no polytime evaluation

**Solution:** Reduce degrees of all relevant polynomials in a way that preserves truth values

- Idea: if  $x \in \{0, 1\}$ , then  $x^d = x$  and  $P(x) = xP(1) + (1 - x)P(0)$
- We define an operator  $R$  with  $Rx.P(x) = xP(1) + (1 - x)P(0)$
- Then the degree of  $x$  in  $Rx.P(x)$  is always 1

We redefine the polynomial we want evaluate as follows:

$$\exists x_1.Rx_1 \forall x_2.Rx_1.Rx_2. \exists x_3.Rx_1.Rx_2.Rx_3. \cdots \exists x_m.Rx_1. \cdots Rx_m. \Phi(x_1, \dots, x_m)$$

where  $\exists x.P(x) = P(0) * P(1)$  and  $\forall x.P(x) = P(0) \cdot P(1)$ .

**Note:** This expression is of quadratic size compared to  $\psi$ .

# Showing IP = PSpace

We write  $\exists x_1.Rx_1 \forall x_2.Rx_1.Rx_2 \exists x_3.Rx_1.Rx_2.Rx_3 \dots \exists x_m.Rx_1 \dots Rx_m.\Phi(x_1, \dots, x_m)$  as  $O_1y_1.O_2y_2 \dots .O_ky_k.\Phi(x_1, \dots, x_m)$ , where  $O_i \in \{\exists, \forall, R\}$  and  $y_i \in \{x_1, \dots, x_m\}$ .

Verifier picks a prime  $p > n^4$  (for  $n$  the size of  $\psi$ ); we calculate in  $\text{GF}(p)$ .

**Protocol:** to check  $K = O_1y_1.O_2y_2 \dots .O_ky_k.g(b_1, \dots, b_\ell) \pmod{p}$  where  $O_1y_1.O_2y_2 \dots .O_ky_k.g$  is a polynomial in  $\ell$  variables that has a polynomial-size representation and polynomial degree

- $V$ : if  $k = 0$ , verify  $g(b_1, \dots, b_\ell) = K$  and reject or accept accordingly;  
else, ask  $P$  for a representation of  $O_2y_2 \dots .O_ky_k.g(b_1, \dots, b_\ell)[y_1 \mapsto \text{undef}]$
- $P$ : send a polynomial  $\tilde{h}(y_1)$
- $V$ : check if  $\tilde{h}$  is polynomially sized and of degree  $\leq m$ ;  
check if  $K = O_1y_1.\tilde{h}(y_1)$ ; reject if any of these fail;  
pick a random  $b \in \text{GF}(p)$  and send  $b$  to  $P$
- Recursively use the same protocol to verify  
 $\tilde{h}(b) = O_2y_2 \dots .O_ky_k.g(b_1, \dots, b_\ell)[y_1 \mapsto b] \pmod{p}$

# Explanations

The following notes may help to understand the protocol.

- The function  $O_1 y_1. \dots . O_k y_k. g$  is a function on variables  $x_1, \dots, x_\ell$ 
  - Variables  $x_i$  ( $i > \ell$ ) are bound by  $\exists$  or  $\forall$ , hence eliminated
  - Variables  $x_i$  ( $i \leq \ell$ ) may still occur in  $R$  operators, but they do not remove them
- $O_2 y_2. \dots . O_k y_k. g$  is a function on variables  $x_1, \dots, x_\ell, x_{\ell+1}$  if  $O_1 \in \{\exists, \forall\}$
- $O_2 y_2. \dots . O_k y_k. g$  is a function on variables  $x_1, \dots, x_\ell$  if  $O_1 = R$
- $O_2 y_2. \dots . O_k y_k. g(b_1, \dots, b_\ell)[y_1 \mapsto \text{undef}]$  denotes the function over  $y_1$  obtained by ignoring the binding  $b_i$  for  $y_1 = x_i$  (only relevant if  $O_1 = R$ )
- $O_2 y_2. \dots . O_k y_k. g(b_1, \dots, b_\ell)[y_1 \mapsto b]$  denotes the function over  $y_1$  obtained by redefining the binding  $b_i$  for  $y_1 = x_i$  to be  $b$  (only relevant if  $O_1 = R$ )
- The check  $K = O_1 y_1. \tilde{h}(y_1)$  is evaluated as required for  $O_1$

# Finishing the proof

## Theorem 26.12: $\text{IP} = \text{PSpace}$

**Proof:** Summary of approach:

- The problem is arithmetised and extended with degree-reduction operators
- A prime  $p > n^4$  is chosen to define a field  $\text{GF}(p)$  for calculations
- A protocol is followed to verify the arithmetisation yields  $1 =$

As in the case of  $\#\text{SAT}_D$ , the Prover's chances of fooling the Verifier are small:

- Wrong claims require to send wrong polynomials  $\tilde{h}(y_1)$
- It is unlikely that  $V$  picks a random value  $b$  on which  $\tilde{h}(p)$  agrees with the correct function's value ( $p > n^4$  suffices here since the degree of the functions are small)

This finishes the proof. □

# Summary and Outlook

Interactive proofs enable probabilistic machines to solve problems beyond NP

**GRAPH Non-Isomorphism** has an interesting interactive zero-knowledge proof protocol

IP = PSpace

## What's next?

- Approximation Algorithms
- Parameterized Complexity