

# **Introduction to Theoretical Computer Science**

## **Lecture 13: The Polynomial Hierarchy, Alternation and PSPACE**

Dr. Liam O'Connor

University of Edinburgh  
Semester 1, 2023/2024

# The Class **CoNP**

trick Question

Is the class **NP** closed under complement?

# The Class CoNP

trick Question

Is the class **NP** closed under complement?

**We don't know.**

# The Class **CoNP**

trick Question

Is the class **NP** closed under complement?

**We don't know.**

Question

Why can't we just flip the answer, like we do for **P**?

# The Class CoNP

trick Question

Is the class **NP** closed under complement?

**We don't know.**

Question

Why can't we just flip the answer, like we do for **P**?

Nondeterministic machines accept if **just one** path accepts. To flip the answer of an NRM, we'd have to accept an answer if **all paths** reject. This is no longer an (angelic) NRM.

# The Class CoNP

trick Question

Is the class **NP** closed under complement?

**We don't know.**

Question

Why can't we just flip the answer, like we do for **P**?

Nondeterministic machines accept if **just one** path accepts. To flip the answer of an NRM, we'd have to accept an answer if **all paths** reject. This is no longer an (angelic) NRM.

Question

What is **NP**  $\cap$  **CoNP**?

# The Class CoNP

trick Question

Is the class **NP** closed under complement?

**We don't know.**

Question

Why can't we just flip the answer, like we do for **P**?

Nondeterministic machines accept if **just one** path accepts. To flip the answer of an NRM, we'd have to accept an answer if **all paths** reject. This is no longer an (angelic) NRM.

Question

What is **NP**  $\cap$  **CoNP**? is it **P**?

# The Class CoNP

trick Question

Is the class **NP** closed under complement?

**We don't know.**

Question

Why can't we just flip the answer, like we do for **P**?

Nondeterministic machines accept if **just one** path accepts. To flip the answer of an NRM, we'd have to accept an answer if **all paths** reject. This is no longer an (angelic) NRM.

Question

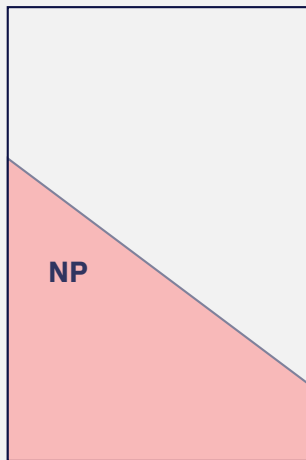
What is **NP**  $\cap$  **CoNP**? is it **P**? (we don't know)



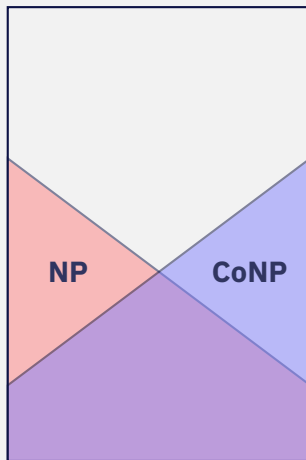
# What we have now



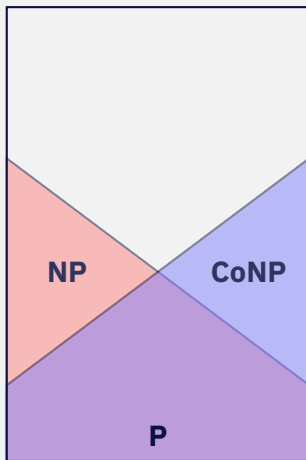
# What we have now



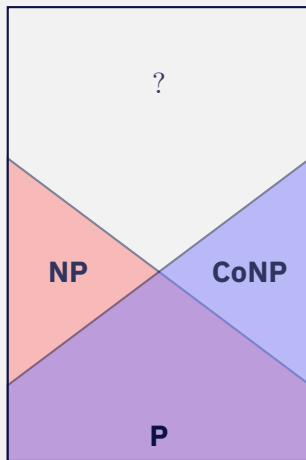
# What we have now



# What we have now



# What we have now



# Sigmas

We shall introduce notation to describe polynomial problems.

## Sigma

The set  $\Sigma_1^P$  describes all problems that can be phrased as  $\{y \mid \exists^P x \in \mathbb{N}. R(x, y)\}$ , where  $R$  is a **P-decidable** predicate and  $\exists^P x \dots$  indicates that  $x$  is of size polynomial in the size of  $y$ .

# Sigmas

We shall introduce notation to describe polynomial problems.

## Sigma

The set  $\Sigma_1^P$  describes all problems that can be phrased as  $\{y \mid \exists^P x \in \mathbb{N}. R(x, y)\}$ , where  $R$  is a **P-decidable** predicate and  $\exists^P x \dots$  indicates that  $x$  is of size polynomial in the size of  $y$ .

- If a problem  $Q \in \Sigma_1^P$  then  $Q$  is in **NP**. **Why?**

# Sigmas

We shall introduce notation to describe polynomial problems.

## Sigma

The set  $\Sigma_1^P$  describes all problems that can be phrased as  $\{y \mid \exists^P x \in \mathbb{N}. R(x, y)\}$ , where  $R$  is a **P-decidable** predicate and  $\exists^P x \dots$  indicates that  $x$  is of size polynomial in the size of  $y$ .

- If a problem  $Q \in \Sigma_1^P$  then  $Q$  is in **NP**. **Why?**  
(we can “guess” an  $x$  and polynomially test  $R(x, y)$ )



# Sigmas

We shall introduce notation to describe polynomial problems.

## Sigma

The set  $\Sigma_1^P$  describes all problems that can be phrased as  $\{y \mid \exists^P x \in \mathbb{N}. R(x, y)\}$ , where  $R$  is a **P-decidable** predicate and  $\exists^P x \dots$  indicates that  $x$  is of size polynomial in the size of  $y$ .

- If a problem  $Q \in \Sigma_1^P$  then  $Q$  is in **NP**. **Why?**  
(we can “guess” an  $x$  and polynomially test  $R(x, y)$ )
- If a problem  $Q$  is in **NP** then  $Q \in \Sigma_1^P$ . **Why?**

# Sigmas

We shall introduce notation to describe polynomial problems.

## Sigma

The set  $\Sigma_1^P$  describes all problems that can be phrased as  $\{y \mid \exists^P x \in \mathbb{N}. R(x, y)\}$ , where  $R$  is a **P-decidable** predicate and  $\exists^P x \dots$  indicates that  $x$  is of size polynomial in the size of  $y$ .

- If a problem  $Q \in \Sigma_1^P$  then  $Q$  is in **NP**. **Why?**  
(we can “guess” an  $x$  and polynomially test  $R(x, y)$ )
- If a problem  $Q$  is in **NP** then  $Q \in \Sigma_1^P$ . **Why?**

## Certificates

We can say that  $x$  is a *certificate* showing which “guesses” can be made by our NRM giving an accepting run.

So,  $\mathbf{NP} = \Sigma_1^P$ .

## Pis

## Pi

The set  $\Pi_1^P$  describes all problems that can be phrased as  $\{y \mid \forall^P x \in \mathbb{N}. R(x, y)\}$ , where  $R$  is a **P-decidable** predicate and  $\forall^P x \dots$  indicates that  $x$  is of size polynomial in the size of  $y$ .

## Pi

## Pi

The set  $\Pi_1^P$  describes all problems that can be phrased as  $\{y \mid \forall^P x \in \mathbb{N}. R(x, y)\}$ , where  $R$  is a **P-decidable** predicate and  $\forall^P x \dots$  indicates that  $x$  is of size polynomial in the size of  $y$ .

$$\begin{aligned}\overline{\Sigma_1^P} &= \overline{\{x \mid \exists^P y. R(x, y)\}} \\ &= \{x \mid \neg \exists^P y. R(x, y)\} \\ &= \{x \mid \forall^P y. \neg R(x, y)\} \\ &= \Pi_1^P\end{aligned}$$

## Pis

## Pi

The set  $\Pi_1^P$  describes all problems that can be phrased as  $\{y \mid \forall^P x \in \mathbb{N}. R(x, y)\}$ , where  $R$  is a **P-decidable** predicate and  $\forall^P x \dots$  indicates that  $x$  is of size polynomial in the size of  $y$ .

$$\begin{aligned}\overline{\Sigma_1^P} &= \overline{\{x \mid \exists^P y. R(x, y)\}} \\ &= \{x \mid \neg \exists^P y. R(x, y)\} \\ &= \{x \mid \forall^P y. \neg R(x, y)\} \\ &= \Pi_1^P\end{aligned}$$

As  $\Sigma_1^P$  is **NP**,  $\Pi_1^P$  is **CoNP**.

# Deltas

For reasons that are unknown to me, some books have:

## Delta

The set  $\Delta_1^P$  describes the intersection of  $\Sigma_1^P$  and  $\Pi_1^P$ .

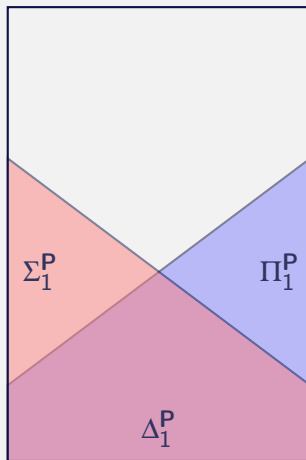
While others have

## Delta

The set  $\Delta_1^P$  describes the set P

From our characterisations of  $\Sigma_1^P$  and  $\Pi_1^P$ , we have that  $\Delta_1^P \supseteq P$ , but we don't know if these definitions are equal.

# Relabeling



# Moving Higher

## Definitions

- $\Sigma_2^P$  is all problems of form  $\{x \mid \exists^P y. \forall^P z. R(x, y, z)\}$ .
- $\Pi_2^P$  is all problems of form  $\{x \mid \forall^P y. \exists^P z. R(x, y, z)\}$ .
- $\Delta_2^P = \Sigma_2^P \cap \Pi_2^P$



# Moving Higher

## Definitions

- $\Sigma_2^P$  is all problems of form  $\{x \mid \exists^P y. \forall^P z. R(x, y, z)\}$ .
- $\Pi_2^P$  is all problems of form  $\{x \mid \forall^P y. \exists^P z. R(x, y, z)\}$ .
- $\Delta_2^P = \Sigma_2^P \cap \Pi_2^P$

Note that  $\Sigma_1^P, \Pi_1^P, \Delta_1^P$  are all  $\subseteq \Delta_2^P$  (and therefore  $\subseteq \Sigma_2^P$  and  $\subseteq \Pi_2^P$ ). **Why?**

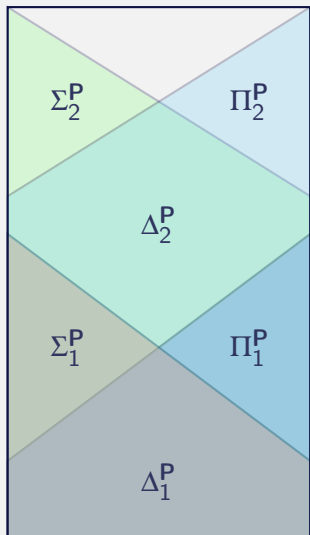
# Moving Higher

## Definitions

- $\Sigma_2^P$  is all problems of form  $\{x \mid \exists^P y. \forall^P z. R(x, y, z)\}$ .
- $\Pi_2^P$  is all problems of form  $\{x \mid \forall^P y. \exists^P z. R(x, y, z)\}$ .
- $\Delta_2^P = \Sigma_2^P \cap \Pi_2^P$

Note that  $\Sigma_1^P, \Pi_1^P, \Delta_1^P$  are all  $\subseteq \Delta_2^P$  (and therefore  $\subseteq \Sigma_2^P$  and  $\subseteq \Pi_2^P$ ). **Why?**  
(our R can simply “ignore” one of the parameters)

# The Polynomial Hierarchy



## An equivalent characterisation

We can define in terms of **oracles**:

- $\Delta_2^P$  is all problems that are decidable in polynomial time by some deterministic TM/RM with an  $\mathcal{O}(1)$  oracle for some complete problem in  $\Sigma_1^P$ , i.e. it is **P** with an  $\mathcal{O}(1)$  oracle for **NP**.
- $\Sigma_2^P$  allows the TM/RM to be nondeterministic, i.e. it is **NP** with an  $\mathcal{O}(1)$  oracle for **NP**.
- $\Pi_2^P$  is **CoNP** with an oracle for **NP**.

# Building up

In general, for any  $n > 1$ :

- $\Delta_n^P$  is all problems that are decidable by some deterministic, polynomially bounded TM/RM with an  $\mathcal{O}(1)$  oracle for some problem  $\in \Sigma_{n-1}^P$ .

# Building up

In general, for any  $n > 1$ :

- $\Delta_n^P$  is all problems that are decidable by some deterministic, polynomially bounded TM/RM with an  $\mathcal{O}(1)$  oracle for some problem  $\in \Sigma_{n-1}^P$ .
- $\Sigma_n^P$  are all problems that are decidable by some **nondeterministic**, polynomially bounded TM/RM with an  $\mathcal{O}(1)$  oracle for some problem  $\in \Sigma_{n-1}^P$ .

# Building up

In general, for any  $n > 1$ :

- $\Delta_n^P$  is all problems that are decidable by some deterministic, polynomially bounded TM/RM with an  $\mathcal{O}(1)$  oracle for some problem  $\in \Sigma_{n-1}^P$ .
- $\Sigma_n^P$  are all problems that are decidable by some **nondeterministic**, polynomially bounded TM/RM with an  $\mathcal{O}(1)$  oracle for some problem  $\in \Sigma_{n-1}^P$ .
- $\Pi_n^P$  are all problems decidable by some **co-nondeterministic**, polynomially bounded TM/RM with an  $\mathcal{O}(1)$  oracle for some problem  $\in \Sigma_{n-1}^P$ .

## Co-nondeterminism

Could also be called **demonic** nondeterminism. Like our normal (angelic) nondeterminism but only accepts if **all** paths accept.

# Alternation

## Alternation

Equivalently  $\Sigma_n^P$  are all problems that can be phrased as some **alternation** of (**P**-bounded) quantifiers, starting with  $\exists^P$ :

$$\{w \mid \exists^P x_1. \forall^P x_2. \exists^P x_3. \forall^P x_4. \dots x_n. R(w, x_1, \dots, x_n)\}$$

$\Pi_n^P$  starts instead with  $\forall^P$ :

$$\{w \mid \forall^P x_1. \exists^P x_2. \forall^P x_3. \exists^P x_4. \dots x_n. R(w, x_1, \dots, x_n)\}$$

# Alternating Machines

*Alternating Machines* combine the acceptance modes of both angelic and demonic nondeterministic machines.



# Alternating Machines

*Alternating Machines* combine the acceptance modes of both angelic and demonic nondeterministic machines.

## Alternating Register Machines

Consider NRMs where instead of just a MAYBE instruction we have a  $\text{MAYBE}^{\forall}$  instruction and a  $\text{MAYBE}^{\exists}$  instruction.

- $\text{MAYBE}^{\exists}$  is a nondeterministic choice where we accept if **one** branch accepts.
- $\text{MAYBE}^{\forall}$  is a nondeterministic choice where we accept only when **both** branches accept.

# Alternating Machines

*Alternating Machines* combine the acceptance modes of both angelic and demonic nondeterministic machines.

## Alternating Register Machines

Consider NRMs where instead of just a MAYBE instruction we have a  $\text{MAYBE}^{\forall}$  instruction and a  $\text{MAYBE}^{\exists}$  instruction.

- $\text{MAYBE}^{\exists}$  is a nondeterministic choice where we accept if **one** branch accepts.
- $\text{MAYBE}^{\forall}$  is a nondeterministic choice where we accept only when **both** branches accept.

Alternating Turing Machines are defined by labelling states with either  $\forall$  or  $\exists$ .

# Alternating Machines and the Polynomial Hierarchy

- The class  $\Sigma_n^P$  could equivalently be defined as the class of problems decided in polynomial time by an alternating machine that initially uses  $\exists$ -nondeterminism, and every path in the machine swaps quantifiers (i.e. to  $\forall$  or back to  $\exists$ ) at most  $n - 1$  times.

# Alternating Machines and the Polynomial Hierarchy

- The class  $\Sigma_n^P$  could equivalently be defined as the class of problems decided in polynomial time by an alternating machine that initially uses  $\exists$ -nondeterminism, and every path in the machine swaps quantifiers (i.e. to  $\forall$  or back to  $\exists$ ) at most  $n - 1$  times.
- $\Pi_n^P$  is the same, except that we start with  $\forall$  instead.

# Alternating Machines and the Polynomial Hierarchy

- The class  $\Sigma_n^P$  could equivalently be defined as the class of problems decided in polynomial time by an alternating machine that initially uses  $\exists$ -nondeterminism, and every path in the machine swaps quantifiers (i.e. to  $\forall$  or back to  $\exists$ ) at most  $n - 1$  times.
- $\Pi_n^P$  is the same, except that we start with  $\forall$  instead.

## The class **AP**

**AP** is the class of all problems decidable by an alternating machine in polynomial time, without any restriction on swapping quantifiers.

# Alternating Machines and the Polynomial Hierarchy

- The class  $\Sigma_n^P$  could equivalently be defined as the class of problems decided in polynomial time by an alternating machine that initially uses  $\exists$ -nondeterminism, and every path in the machine swaps quantifiers (i.e. to  $\forall$  or back to  $\exists$ ) at most  $n - 1$  times.
- $\Pi_n^P$  is the same, except that we start with  $\forall$  instead.

## The class **AP**

**AP** is the class of all problems decidable by an alternating machine in polynomial time, without any restriction on swapping quantifiers.

**AP** is known to be equal to **PSPACE** (more on this in a moment)

# A Fragile House of Cards

## Warning

The polynomial hierarchy could collapse at any point.  
(i.e. all of the classes in the PH could be equal)

# A Fragile House of Cards

## Warning

The polynomial hierarchy could collapse at any point.  
(i.e. all of the classes in the PH could be equal)

We don't know that  $\mathbf{P} \neq \mathbf{PSPACE}$ , and the entire polynomial hierarchy is contained inside  $\mathbf{AP}$  which  $= \mathbf{PSPACE}$ .



# A Fragile House of Cards

## Warning

The polynomial hierarchy could collapse at any point.  
(i.e. all of the classes in the PH could be equal)

We don't know that  $\mathbf{P} \neq \mathbf{PSPACE}$ , and the entire polynomial hierarchy is contained inside  $\mathbf{AP}$  which  $= \mathbf{PSPACE}$ .

## Wait, what's PSPACE?

An RM/TM is  $f(n)$ -*space-bounded* if it may use only  $f(\text{inputsize})$  space. For TMs, space means cells on tape; for RMs, number of bits in registers.

# A Fragile House of Cards

## Warning

The polynomial hierarchy could collapse at any point.  
(i.e. all of the classes in the PH could be equal)

We don't know that  $\mathbf{P} \neq \mathbf{PSPACE}$ , and the entire polynomial hierarchy is contained inside  $\mathbf{AP}$  which  $= \mathbf{PSPACE}$ .

## Wait, what's PSPACE?

An RM/TM is  $f(n)$ -*space-bounded* if it may use only  $f(\text{inputsize})$  space. For TMs, space means cells on tape; for RMs, number of bits in registers.

**PSPACE** is the class of problems solvable by polynomially-space-bounded machines.

# A Fragile House of Cards

## Warning

The polynomial hierarchy could collapse at any point.  
(i.e. all of the classes in the PH could be equal)

We don't know that  $\mathbf{P} \neq \mathbf{PSPACE}$ , and the entire polynomial hierarchy is contained inside  $\mathbf{AP}$  which =  $\mathbf{PSPACE}$ .

## Wait, what's PSPACE?

An RM/TM is  $f(n)$ -*space-bounded* if it may use only  $f(\text{inputsize})$  space. For TMs, space means cells on tape; for RMs, number of bits in registers.

**PSPACE** is the class of problems solvable by polynomially-space-bounded machines.

The following are obvious (**Exercise**: why?):

**PSPACE**  $\supseteq$  **P** ?

# A Fragile House of Cards

## Warning

The polynomial hierarchy could collapse at any point.  
(i.e. all of the classes in the PH could be equal)

We don't know that  $\mathbf{P} \neq \mathbf{PSPACE}$ , and the entire polynomial hierarchy is contained inside  $\mathbf{AP}$  which =  $\mathbf{PSPACE}$ .

## Wait, what's PSPACE?

An RM/TM is  $f(n)$ -*space-bounded* if it may use only  $f(\text{inputsize})$  space. For TMs, space means cells on tape; for RMs, number of bits in registers.

**PSPACE** is the class of problems solvable by polynomially-space-bounded machines.

The following are obvious (**Exercise**: why?):

$\mathbf{PSPACE} \supseteq \mathbf{P}$  ?  $\mathbf{PSPACE} \supseteq \mathbf{NP}$  ?

# A Fragile House of Cards

## Warning

The polynomial hierarchy could collapse at any point.  
(i.e. all of the classes in the PH could be equal)

We don't know that  $\mathbf{P} \neq \mathbf{PSPACE}$ , and the entire polynomial hierarchy is contained inside  $\mathbf{AP}$  which =  $\mathbf{PSPACE}$ .

## Wait, what's PSPACE?

An RM/TM is  $f(n)$ -*space-bounded* if it may use only  $f(\text{inputsize})$  space. For TMs, space means cells on tape; for RMs, number of bits in registers.

**PSPACE** is the class of problems solvable by polynomially-space-bounded machines.

The following are obvious (**Exercise**: why?):

$\mathbf{PSPACE} \supseteq \mathbf{P}$  ?  $\mathbf{PSPACE} \supseteq \mathbf{NP}$  ?  $\mathbf{PSPACE} \subseteq \mathbf{EXPTIME}$  ?

# Conclusions

This concludes our study of complexity theory. Next week, we start on a new (or rather, very old) model of computation that is the foundation for modern studies of programming languages and their semantics, the  $\lambda$ -calculus.