

Bounded Arithmetic, Part II

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Outline

- 1 Hierarchy of theories
- 2 Σ_i^b -definable functions
- 3 Main Theorem for S_2^1
 - Sequent calculus
 - Witnessing Lemma
- 4 Hierarchy of theories, revisited

Hierarchy of theories

Definition (Fragments of bounded arithmetic)

- S_2^i : BASIC + Σ_i^b -PIND
- T_2^i : BASIC + Σ_i^b -IND
- $S_2 = \bigcup_i S_2^i$ and $T_2 = \bigcup_i T_2^i$

Looking ahead:

Theorem (Buss '85, '90)

- 1 $S_2^1 \subseteq T_2^1 \subseteq S_2^2 \subseteq T_2^2 \subseteq S_2^3 \subseteq \dots$
- 2 *Thus, $S_2 = T_2$.*

Theorem

Let $i \geq 0$.

- $S_2^1 + \Sigma_i^b\text{-IND}$ is equivalent to $S_2^1 + \Pi_i^b\text{-IND}$.
- $S_2^1 + \Sigma_i^b\text{-LIND}$ is equivalent to $S_2^1 + \Pi_i^b\text{-LIND}$.
- $S_2^1 + \Sigma_i^b\text{-PIND}$ is equivalent to $S_2^1 + \Pi_i^b\text{-PIND}$.

PIND \implies LIND

Theorem

The Σ_1^b -LIND axioms are theorems of S_2^i , for $i \geq 1$.

Proof.

We want to show

$$S_2^i \vdash A(0) \wedge \forall x(A(x) \rightarrow A(x+1)) \rightarrow \forall x A(|x|)$$

- Define $B(x) := A(|x|)$.

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- $S_2^i \vdash \forall x(A(x) \rightarrow A(x+1)) \rightarrow \forall x(A(\lfloor \frac{1}{2}x \rfloor) \rightarrow A(\lfloor \frac{1}{2}x \rfloor + 1))$

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- We have $B(\lfloor \frac{1}{2}x \rfloor) = A(\lfloor \frac{1}{2}x \rfloor)$ and $\lfloor \frac{1}{2}x \rfloor + 1 = |x|$.
- $S_2^i \vdash \forall x(A(x) \rightarrow A(x+1)) \rightarrow \forall x(B(\lfloor \frac{1}{2}x \rfloor) \rightarrow B(x))$
- $B \in \Sigma_i^b$, so by Σ_i^b -PIND, $S_2^i \vdash \forall x(A(x) \rightarrow A(x+1)) \rightarrow \forall x B(x)$. □

Similarly, we can prove:

Theorem

Let $i \geq 1$. T_2^i proves the Σ_i^b -PIND axioms. Hence, $S_2^i \subseteq T_2^i$ for $i \geq 1$.

Proof.

Let $A(x)$ be a Σ_i^b formula. For c a new free variable, we prove

$$A(0) \wedge (\forall x)(A(\lfloor \tfrac{1}{2}x \rfloor) \rightarrow A(x)) \rightarrow A(c)$$

- We observed Σ_i^b -IND $\implies \Sigma_i^b$ -LIND. Now, show Σ_i^b -LIND $\implies \Sigma_i^b$ -PIND.
- Use LIND on $B(i) := A(t(i))$, where $t(i) = \lfloor \frac{c}{2^{|i|-1}} \rfloor$.
- $B(0)$ and $B(|c|)$ are equivalent to $A(c)$ and $A(0)$.
- $t(i) = \lfloor \frac{1}{2}t(i+1) \rfloor$
- $(\forall x)(A(\lfloor \frac{1}{2}x \rfloor) \rightarrow A(x))$ implies $(\forall i)(B(i) \rightarrow B(i+1))$.
- By LIND, $B(|c|)$, thus $A(c)$. □

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Proof sketch.

Let ϕ be a Σ_i^b -formula satisfying

$$\phi(0) \wedge \forall x(\phi(x) \rightarrow \phi(x+1)) \wedge \neg\phi(a)$$

Define $\phi'(y)$ as $y \leq a \rightarrow \phi(y)$, and formula ψ by

$$\psi(x) := \forall y \leq a (\phi'(y) \rightarrow \phi'(x+y))$$

Then ψ satisfies the assumptions of the PIND scheme and hence $\psi(a)$ follows from S_2^{i+1} . But $\psi(a)$ implies $\phi(a)$. □

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Whether the theories are different is unknown; they may all coincide. We don't know if the theories prove $P=NP$. If so, the hierarchy collapses.

Theorem

Let $i \geq 0$.

- $S_2^1 + \Sigma_i^b\text{-LIND}$ is equivalent to $S_2^1 + \Sigma_i^b\text{-PIND}$.

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- After the bootstrapping it will be easy to show that S_2^1 is a fairly strong system which can define a variety of functions and predicates.
- We are particularly interested in Σ_i^b -definable functions of S_2^i and T_2^i . We study the strength of the theories of bounded arithmetic by asking which functions are Σ_i^b -definable in the theory.

Σ_1^b -definable functions

Let R be one of our theories, such as S_2^i or T_2^i .

Definition

Let $f : \mathbb{N}^k \rightarrow \mathbb{N}$. The function f is Σ_1^b -definable by a theory R iff there is a formula $A \in \Sigma_1^b$ such that

- For all $\bar{n} \in \mathbb{N}^k$, $A(\bar{n}, f(\bar{n}))$ is true (soundness)
- $R \vdash (\forall \bar{x})(\exists y \leq t)A(\bar{x}, y)$ for some term t (totality)
- $R \vdash (\forall \bar{x}, y, z)(A(\bar{x}, y) \wedge A(\bar{x}, z) \rightarrow y = z)$ (uniqueness)

The second bullet says there's at least one y , third says at most one y .

Why Σ_i^b ?

Let f be a Σ_i^b -definable function in S_2^i with the definition A_f and the bound t_f .

- Add f as a new symbol to the language.
- Start with S_2^i over the new language. Note that f can be used freely in the induction axioms.
- Add the defining axiom:

$$(f(x) = y) \leftrightarrow (A_f(x, y) \wedge y \leq t_f)$$

- Call the new theory $S_2^i(f)$.

Theorem

$S_2^i(f)$ is conservative over S_2^i , i.e., if $S_2^i(f) \vdash \phi$ (for ϕ in the original language), then already $S_2^i \vdash \phi$. The same also holds for T_2^i .

So, adding f does not let us prove anything new in the original language.

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- Key idea: for any r , there's a *unique* y such that $A(r, y)$ holds.
- Any $\phi(\dots f(r) \dots)$ in the extended language can be re-expressed in the original language:

$$(\exists y \leq t)(A(r, y) \wedge \phi(\dots y \dots)) \quad \text{or} \quad (\forall y \leq t)(A(r, y) \rightarrow \phi(\dots y \dots))$$

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and if ϕ is Σ_i^b in the new language, then its re-expressed form is Σ_i^b in the original language (choose whichever preserves the quantifier alternation).



Similar definitions and results hold for predicates:

Definition

A predicate P is Δ_i^b -definable in R provided there are a Σ_i^b -formula A and a Π_i^b -formula B which are R -provably equivalent and define P .

We can conservatively add a Δ_i^b -definable predicate P to S_2^i or T_2^i and use it freely in the induction schemes.

Bootstrapping S_2^1

An exhausting amount of work.

Example

Some Σ_1^b -definable functions and Δ_1^b -definable predicates in S_2^1

- The predecessor function
- Subtraction
- Numones: number of ones in the binary representation of a number
- $Seq(w)$ true iff w is a valid sequence
- $Len(w)$ the number of elements in w
- $\beta(i, w)$ the value of the i th element of a sequence w
- \vdots

Σ_1^b -definability of predecessor in S_2^1

Example

The predecessor function (an inverse to the successor function):

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$$\exists y \leq 0 M(0, y)$$

$$(\exists y \leq \lfloor \frac{1}{2}x \rfloor) M(\lfloor \frac{1}{2}x \rfloor, y) \rightarrow (\exists y \leq x) M(x, y)$$

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By Σ_1^b -PIND:

$$S_2^1 \vdash \forall x \exists y \leq x M(x, y)$$

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$$f(0) = a$$

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where $|f(x)| \leq p(|x|)$.

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where $|f(x)| \leq p(|x|)$. By the induction hypothesis, let $H \in \Sigma_1^b$ define h , with the intended meaning $H(x, y) := y = h(x)$. We define

$$F(x, y) := \exists w \leq t_F(\text{Seq}(w) \wedge w_0 = a \wedge \forall i < |x| \underbrace{(w_{i+1} = h(w_i))}_{H(w_i, w_{i+1})} \wedge w_{|x|} = y)$$

Proof sketch.

w codes the steps of the computation. w has $|x|$ many elements w_i ; each w_i is f of something; $|w_i|$ is bounded by $p(|x|)$. So, $|w|$ is approximately bounded by $|x| \cdot p(|x|)$ and hence w is bounded by a term t_F .

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The above theorem shows that S_2^1 , and the Σ_1^b -definable functions are sufficiently strong to introduce polynomial time properties. (The converse holds too: every Σ_1^b -definable function is polynomial time.)

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The above theorem shows that S_2^1 , and the Σ_1^b -definable functions are sufficiently strong to introduce polynomial time properties. (The converse holds too: every Σ_1^b -definable function is polynomial time.)

Hence, we can w.l.o.g. assume that all polynomial time functions are present in the languages of our theories of bounded arithmetic.

Theorem (Buss '85)

Every polynomial time predicate is Δ_1^b -definable by S_2^1 .

(Again, a converse holds.)

Thus, every polynomial time predicate can be conservatively introduced to S_2^i or T_2^i with its defining axioms, and used freely in induction axioms.

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Theorem (Parikh '71)

Let $i \geq 1$. Suppose that A is a bounded formula and that S_2^i or T_2^i proves $\forall \bar{x} \exists y A(\bar{x}, y)$. Then there is a term $t(\bar{x})$ such that the same theory proves $\forall \bar{x} \exists y \leq t(\bar{x}) A(\bar{x}, y)$.

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Therefore, we cannot define the exponentiation function in bounded arithmetic (and prove its unbounded totality). More generally, we cannot prove unbounded existential statements.

Theorem (Main Theorem for S_2^1 , Buss'85)

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Corollary

The Σ_1^b -definable functions of S_2^1 are precisely the polytime functions.

This shows S_2^1 has proof-theoretic strength corresponding to polynomial time computation.

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The so-called “main theorems” of S_2^i give an exact characterization of the Σ_i^b -definable functions of S_2^i in terms of the computational complexity.

Theorem

($i \geq 1$) The Σ_i^b -definable functions of S_2^i are precisely the polynomial time computable functions with an oracle from Σ_{i-1}^P .

Theorem (corresponding theorem for predicates)

The Δ_i^b -definable predicates of S_2^i are precisely the Δ_i^P -predicates.

An interesting case for predicates:

Corollary

If A is a formula which is S_2^1 -provably in $\text{NP} \cap \text{coNP}$, then A defines a polynomial time predicate (provably in S_2^1). Being provably in $\text{NP} \cap \text{coNP}$ means provably equivalent to a Σ_1^b - and to a Π_1^b -formula

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- To prove Main Theorem, we formalize S_2^1 in sequent calculus.
- In Buss' thesis: sequent calculus is called natural deduction (e.g. LK: Gentzen's natural deduction calculus)
- The advantage of sequent calculus is that it provides an elegant framework for proof by induction on the complexity of proofs.

Sequent calculus LK

For Γ, Δ finite multisets of formulas, $\Gamma \Rightarrow \Delta$ means $\bigwedge \Gamma \rightarrow \bigvee \Delta$.

$$A \Rightarrow A \quad (Ax)$$

$$\frac{\Gamma \Rightarrow \Delta}{A, \Gamma \Rightarrow \Delta} \quad (Lw)$$

$$\frac{A, A, \Gamma \Rightarrow \Delta}{A, \Gamma \Rightarrow \Delta} \quad (Lc)$$

$$\frac{A, \Gamma \Rightarrow \Delta}{A \wedge B, \Gamma \Rightarrow \Delta} \quad (L\wedge_1)$$

$$\frac{\Gamma \Rightarrow \Delta, A \quad \Gamma \Rightarrow \Delta, B}{\Gamma \Rightarrow \Delta, A \wedge B} \quad (R\wedge)$$

$$\frac{\Gamma \Rightarrow \Delta, B}{\Gamma \Rightarrow \Delta, A \vee B} \quad (R\vee_2)$$

$$\frac{\Gamma \Rightarrow \Delta, A \quad B, \Gamma \Rightarrow \Delta}{A \rightarrow B, \Gamma \Rightarrow \Delta} \quad (L\rightarrow)$$

$$\frac{\Gamma \Rightarrow \Delta, A}{\neg A, \Gamma \Rightarrow \Delta} \quad (L\neg)$$

$$\frac{\Gamma \Rightarrow \Delta}{\Gamma \Rightarrow \Delta, A} \quad (Rw)$$

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$$\frac{B, \Gamma \Rightarrow \Delta}{A \wedge B, \Gamma \Rightarrow \Delta} \quad (L\wedge_2)$$

$$\frac{\Gamma \Rightarrow \Delta, A}{\Gamma \Rightarrow \Delta, A \vee B} \quad (R\vee_1)$$

$$\frac{A, \Gamma \Rightarrow \Delta \quad B, \Gamma \Rightarrow \Delta}{A \vee B, \Gamma \Rightarrow \Delta} \quad (L\vee)$$

$$\frac{A, \Gamma \Rightarrow \Delta, B}{\Gamma \Rightarrow \Delta, A \rightarrow B} \quad (R\rightarrow)$$

$$\frac{\Gamma, A \Rightarrow \Delta}{\Gamma \Rightarrow \Delta, \neg A} \quad (R\neg)$$

$$\begin{array}{c}
 \dfrac{A(b), \Gamma \Rightarrow \Delta}{\exists x A(x), \Gamma \Rightarrow \Delta} (L\exists) \qquad \dfrac{\Gamma \Rightarrow \Delta, A(t)}{\Gamma \Rightarrow \Delta, \exists x A(x)} (R\exists) \\
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 \dfrac{A(t), \Gamma \Rightarrow \Delta}{\forall x A(x), \Gamma \Rightarrow \Delta} (L\forall) \qquad \dfrac{\Gamma \Rightarrow \Delta, A(b)}{\Gamma \Rightarrow \Delta, \forall x A(x)} (R\forall) \\
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 \dfrac{\Gamma \Rightarrow \Delta, A \quad A, \Gamma \Rightarrow \Delta}{\Gamma \Rightarrow \Delta} (Cut)
 \end{array}$$

In the quantifier inferences, the free variable b is called the eigenvariable and must not appear in the lower sequent.

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In the quantifier inferences, the free variable b is called the eigenvariable and must not appear in the lower sequent.

Theorem (Gentzen '36)

- *LK is sound and complete for first-order logic.*
- *LK without the Cut inference is complete.*

Sequent Calculus Formulation of Bounded Arithmetic

We enlarge LK as follows:

- 1 Allow equality axioms and BASIC axioms as initial sequents (call them $\text{BASIC}^=$). An initial sequent will contain only *atomic* formulas (i.e., contain no quantifiers or propositional connectives).

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- 2 Add inferences for bounded quantifiers (call them BQ):

$$\frac{\frac{b \leq s, A(b), \Gamma \Rightarrow \Delta}{(\exists x \leq s)A(x), \Gamma \Rightarrow \Delta}}{A(t), \Gamma \Rightarrow \Delta} \quad \frac{\Gamma \Rightarrow \Delta, A(t)}{t \leq s, \Gamma \Rightarrow \Delta, (\exists x \leq s)A(x)}$$
$$\frac{A(t), \Gamma \Rightarrow \Delta}{t \leq s, (\forall x \leq s)A(x), \Gamma \Rightarrow \Delta} \quad \frac{b \leq s, \Gamma \Rightarrow \Delta, A(b)}{\Gamma \Rightarrow \Delta, (\forall x \leq s)A(x)}$$

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$$\frac{\Gamma \Rightarrow \Delta, A(t)}{t \leq s, \Gamma \Rightarrow \Delta, (\exists x \leq s)A(x)} \quad \frac{b \leq s, \Gamma \Rightarrow \Delta, A(b)}{\Gamma \Rightarrow \Delta, (\forall x \leq s)A(x)}$$

- ③ Induction inferences:

$$\frac{A(b), \Gamma \Rightarrow \Delta, A(b+1)}{A(0), \Gamma \Rightarrow \Delta, A(t)} \quad (\Sigma_i^b\text{-IND})$$

$$\frac{A(\lfloor \frac{1}{2}b \rfloor), \Gamma \Rightarrow \Delta, A(b)}{A(0), \Gamma \Rightarrow \Delta, A(t)} \quad (\Sigma_i^b\text{-PIND})$$

for $A \in \Sigma_i^b$, b eigenvariable, t term.

Definition

$$GS_2^i := LK + \text{BASIC}^= + BQ + \Sigma_i^b\text{-PIND}$$

$$GT_2^i := LK + \text{BASIC}^= + BQ + \Sigma_i^b\text{-IND}$$

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By abuse of notation, we also write S_2^i (resp. T_2^i) for GS_2^i (resp. GT_2^i).

Theorem

The Σ_i^b -IND (respectively, Σ_i^b -PIND) rule is equivalent to the Σ_i^b -IND (respectively, Σ_i^b -PIND) axioms. Hence the new definitions of S_2^i and T_2^i agree with the earlier definitions.

Example (Σ_i^b -IND rule can derive the Σ_i^b -IND axiom)

Let A be any Σ_i^b -formula, and let a and b be any free variables not appearing in A . Then we can derive the *IND* axiom for A by:

$$\begin{array}{c}
 \frac{A(a) \rightarrow A(a) \quad A(Sa) \rightarrow A(Sa)}{A(a) \supset A(Sa), A(a) \rightarrow A(Sa)} \\
 \frac{(\forall x)(A(x) \supset A(Sx)), A(a) \rightarrow A(Sa)}{(\forall x)(A(x) \supset A(Sx)), A(0) \rightarrow A(b)} \\
 \frac{(\forall x)(A(x) \supset A(Sx)), A(0) \rightarrow A(b)}{(\forall x)(A(x) \supset A(Sx)), A(0) \rightarrow (\forall x)A(x)} \\
 \frac{A(0) \wedge (\forall x)(A(x) \supset A(Sx)), A(0) \rightarrow (\forall x)A(x)}{A(0), A(0) \wedge (\forall x)(A(x) \supset A(Sx)) \rightarrow (\forall x)A(x)} \\
 \frac{A(0), A(0) \wedge (\forall x)(A(x) \supset A(Sx)) \rightarrow (\forall x)A(x)}{A(0) \wedge (\forall x)(A(x) \supset A(Sx)), A(0) \wedge (\forall x)(A(x) \supset A(Sx)) \rightarrow (\forall x)A(x)} \\
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Theorem (Free-cut elimination, Gentzen)

If a sequent is provable in S_2^i (or T_2^i), it has a proof in the same theory with no free cuts.

- In a free-cut free proof, every formula is a subformula of an induction formula, an axiom, or the conclusion.
- In S_2^i and T_2^i , cuts can be restricted to Σ_i^b -formulas.
- Hence any sequent of Σ_i^b -formulas provable in S_2^i (resp. T_2^i) has a proof in which all formulas are Σ_i^b .

Outline of the proof of Main Theorem

Theorem (Main Theorem for S_2^1)

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Step 1: immediate (from free-cut elim.). Step 2: Witnessing lemma.

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Let $A(\bar{c})$ be a formula of the above form. The predicate $\text{Wit}_A(\bar{c}, u)$ is defined so that

- If A is $(\exists x \leq t)B(\bar{c}, x)$, $B \in \Delta_0^b$, then $\text{Wit}_A(\bar{c}, u)$ is the formula

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We immediately have:

Lemma

- $A(\bar{c}) \leftrightarrow (\exists u) \text{Wit}_A(\bar{c}, u)$ in S_2^1 .
- Wit_A is a Δ_0^b -formula.

Theorem (Witnessing Lemma)

Let $\Gamma \Rightarrow \Delta$ be an S_2^1 -provable sequent of Σ_1^b formulas with free variables \bar{c} . Then there is a polynomial time function $f(\bar{c}, \bar{u})$ such that

$$\bigwedge_{\gamma_i \in \Gamma} \text{Wit}_{\gamma_i}(\bar{c}, u_i) \rightarrow \bigvee_{\delta_j \in \Delta} \text{Wit}_{\delta_j}(\bar{c}, f(\bar{c}, \bar{u})).$$

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$$S_2^1 \vdash (\exists x_1 \leq t_1) \gamma_1(x_1, c), \dots, (\exists x_k \leq t_k) \gamma_k(x_k, c) \Rightarrow \\ (\exists y_1 \leq s_1) \delta_1(y_1, c), \dots, (\exists y_\ell \leq s_\ell) \delta_\ell(y_\ell, c)$$

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 - f takes c, x_1, \dots, x_k , as input. These have the property that they make all γ_i 's true, i.e., satisfy $\bigwedge_{i=1}^k \gamma_i(x_i, c)$.
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As an example, suppose that the proof ends with

$$\frac{B(\lfloor \frac{1}{2}a \rfloor) \Rightarrow B(a)}{B(0) \Rightarrow B(t)}$$

Proof.

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$$f(w, 0, \bar{c}) = w$$

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We show that f is polynomial time computable by showing that $|f|$ is bounded.



Proving Main Theorem using Witnessing Lemma

Theorem

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$(\Rightarrow (\exists y \leq t) A(y, c))$: Given c and witnesses for all the formulas on the left, we can find in polynomial time a witness for y on the right. So, we get a polytime function of c .



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Explanation about $\leq_{\forall \Sigma^b_{i+1}}$

We have: $S^1_2 \subseteq T^1_2 \leq_{\forall \Sigma^b_2} S^2_2 \subseteq T^2_2 \leq_{\forall \Sigma^b_3} S^3_2 \subseteq \dots$

Explanation about $\leq_{\forall\Sigma^b_{i+1}}$

We have: $S_2^1 \subseteq T_2^1 \leq_{\forall\Sigma_2^b} S_2^2 \subseteq T_2^2 \leq_{\forall\Sigma_3^b} S_2^3 \subseteq \dots$

We already discussed that T_2^i contains S_2^i . Now:

$T_2^i \leq_{\forall\Sigma_2^b} S_2^{i+1}$: S_2^{i+1} is $\forall\Sigma_{i+1}^b$ conservative over T_2^i

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Two parts of being $\forall \Sigma_{i+1}^b$ conservative are:

- 1 $T_2^i \subseteq S_2^{i+1}$, i.e., S_2^{i+1} is a possibly stronger, at least no weaker, theory containing T_2^i .
- 2 if ϕ is of the form $\forall \bar{x} \psi$ with $\psi \in \Sigma_{i+1}^b$ and if $S_2^{i+1} \vdash \phi$ then $T_2^i \vdash \phi$.

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$\leq_{\forall\Sigma_{i+1}^b}$ means: subset plus nothing new of this complexity class (i.e., theories are equal on the class $\forall\Sigma_{i+1}^b$). The stronger theory adds no new low-complexity facts.

Theorem (Buss '90)

Let $i \geq 1$.

- ① S_2^{i+1} is $\forall \Sigma_{i+1}^b$ conservative over T_2^i .
- ② In particular, T_2^i can Σ_{i+1}^b define precisely the functions in $FP^{\Sigma_i^p}$.

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Proof idea

With some work, one can show that the witnessing lemma carries over to the base theory when using T_2^i in place of S_2^{i+1} .

This highlights once more the strength of the witnessing lemma: it precisely characterizes what can be done in these theories.

One extra theorem:

Theorem (Krajicek-Pudlak-Takeuti'91, Buss'95, Zambella'96)

If $T_2^i = S_2^{i+1}$, then the polynomial time hierarchy collapses (provably) to $\Sigma_{i+1}^P/poly$ and to $B(\Sigma_{i+2}^b)$.

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- $\Sigma_{i+1}^P/poly$ means the hierarchy collapses to non-uniform Σ_{i+1}^P with polynomial amount of advice or $B(\Sigma_{i+2}^b)$ means to uniform boolean combinations of Σ_{i+2}^b and thus to $\Sigma_{i+3}^b = \Pi_{i+3}^b$.
- In such case, the hierarchy collapses precisely to these levels.
- Conjecture: the hierarchy is strict.
- But, separating these theories means that they do not prove the collapse of the polynomial hierarchy. A major breakthrough.