

## 6.541/18.405 Problem Set 2

due on **Tuesday, April 2, 11:59pm**

**Rules:** You may discuss homework problems with other students and you may work in groups, but we require that you *try to solve the problems by yourself before discussing them with others*. Think about all the problems on your own and do your best to solve them, before starting a collaboration. If you work in a group, include the names of the other people in the group in your written solution. **Write up your *own* solution to every problem;** don't copy answers from another student or any other source. Cite **all** references that you use in a solution (books, papers, people, websites, etc) at the end of each solution.

We encourage you to use L<sup>A</sup>T<sub>E</sub>X, to compose your solutions. The source of this file is also available on Piazza, to get you started!

**How to submit:** Use Gradescope entry code **2P3PEN**.  
**Please use a separate page for each problem.**

## Problem 1: NP, BPP, RP (2 points)

### Question

Prove that if  $\mathbf{NP} \subseteq \mathbf{BPP}$ , then  $\mathbf{NP} = \mathbf{RP}$ .

*Hint: Try using the self-reducibility of SAT.*

### Answer

Say  $\mathbf{NP} \subseteq \mathbf{BPP}$ . Then  $\text{SAT} \in \mathbf{BPP}$  so there is a polynomial time probabilistic Turing machine  $M$  which decides SAT with probability at least  $2/3$ . From this we can derive a TM  $\bar{M}$  which decides SAT on any formula  $\phi$  with probability at least  $1 - 2^{-(n+m)}$  where  $n$  is the number of variables and  $m$  is the number of clauses in  $\phi$ .

We can use  $\bar{M}$  to produce an RP algorithm for SAT, which will try to produce a satisfying assignment  $x_1, \dots, x_n$ , then verify that it is correct. First, construct formula  $\phi_1$  by setting  $X_1 = 1$  in  $\phi$ . Run  $\bar{M}$  on  $\phi_1$ . If this returns that  $\phi_1$  is satisfiable, set  $x_1 = 1$ ; else set  $x_1 = 0$ . Now recurse this procedure on  $\phi_1$  if  $x_1 = 1$ , or on  $\phi_{-1}$  generated by fixing  $X_1 = 0$  in  $\phi$  if  $x_1 = 0$ . Now let  $\phi$  be replaced with the restriction of  $\phi$  to  $X_1 = x_1$ . Shift down the index of each variable (so what was called  $X_2$  is now called  $X_1$ , etc.). Now recurse this procedure. This will ultimately produce a formula  $\phi$  with no variables. If the resulting variable-free formula reduces to false, return that there is no satisfying assignment. If the formula reduces to true, consider the assignment  $x_1, \dots, x_n$  produced by this process. Deterministically check that it satisfies  $\phi$ . If it does, return true, else, return false.

Observe that if the formula is not satisfiable, this algorithm will never return 1, since the assignment  $x_1, \dots, x_n$  which is generated will not satisfy the formula. Thus, to show that this algorithm puts SAT in  $\mathbf{RP}$ , we need to show that if the formula is satisfiable, the algorithm will return 1 with probability at least  $2/3$ .

This algorithm has  $n$  recursive calls, and the probability level  $i$  assigns a variable incorrectly, or incorrectly states that the formula is unsatisfiable, is at most  $2^{-(i+m)}$ . Thus the overall probability something goes wrong is less than or equal to

$$\sum_{i=1}^n 2^{-(i+m)} < 2^{-m} < 2/3$$

This shows that  $\text{SAT} \in \mathbf{RP}$ , and since  $\mathbf{RP} \subseteq \mathbf{NP}$ , we have  $\mathbf{NP} = \mathbf{RP}$ .

## Problem 2: A Tighter Circuit Lower Bound (2 points)

### Question

We showed in class that for every  $k$ , there is a function  $f_k \in \Sigma_3\mathbf{P}$  that does not have  $kn^k$ -size circuits. Use the ideas in the proof of this fact to prove that there is an  $\varepsilon > 0$  and a function  $f \in \mathbf{EXP}^{(\mathbf{NP}^{\mathbf{NP}})}$  that does not have  $\varepsilon 2^n/n$  size circuits.

### Answer

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**HardFunction**( $x : \{0, 1\}^n$ )

- 1: { This is the lexicographically first hard function from  $\{0, 1\}^n$  to  $\{0, 1\}$ . }
  - 2: Initialize a list of bits  $L$  with  $2^n$  slots. Fill them all with 0.
  - 3: {  $L$  will store a truth table for the hard function. }
  - 4: **for**  $j = 0, 1, \dots, 2^n - 1$  **do**
  - 5:   { This loop writes a truth table for the hard function to list  $L$ . }
  - 6:    $b \leftarrow \text{CheckIfHardCompletionExists}(L, j, 1^{2^n})$
  - 7:    $L[j] \leftarrow \neg b$
  - 8: **end for**
  - 9: **return**  $L[x]$
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Algorithm **HardFunction** implements the lexicographically first function  $g$  from  $\{0, 1\}^n$  to  $\{0, 1\}$  such that no circuit of size  $\varepsilon 2^n/n$  computes  $g$ . Such a function exists if we take  $\varepsilon = 1/10$ , for instance.

**HardFunction** works by explicitly constructing a truth table for  $g$ , by writing down a truth table  $L$  of  $2^n$  bits. It then returns  $L[x]$ . To construct the lexicographically first string, when writing position  $j$  into the truth table, **HardFunction** checks if it is possible to turn the current list  $L$  into a full hard function if  $L[j]$  is set to 0. If this is possible, it does this; otherwise it resorts to setting  $L[j] \leftarrow 1$ .

The procedure requires running  $2^n$  checks, each of which requires writing  $1^{2^n}$  onto the tape to call **CheckIfHardCompletionExists**. Therefore the algorithm takes  $O(2^n \times 2^n) = O(2^{2n}) = 2^{O(n)}$  time, if we have an oracle for **CheckIfHardCompletionExists**.

Finally, we argue that indeed given an  $\mathbf{NP}^{\mathbf{NP}} = \Sigma_2^P$  oracle, we can implement procedure **CheckIfHardCompletionExists**. The procedure existentially guesses a function  $g$  consistent with the partial truth table  $L$  and the choice  $g(j) = 0$ , and then verifies that for all circuits  $C$ ,  $C$  does not implement  $g$ . (This last check requires looping over  $2^n$  values  $z \in \{0, 1\}^n$ .) This is in  $\Sigma_2^P$  with respect to the input which has size  $\geq 2^n$ .

**Acknowledgements.** I asked ChatGPT if  $\mathbf{EXP}^{\Sigma_2^P}$  and  $\Sigma_2^{\mathbf{EXP}}$  were the same (and it said no), which helped me discover the thread of thought I needed

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CheckIfHardCompletionExists( $L, j, 1^n$ )

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1: { Given a list  $L$  with  $x - 1$  bits, return 1 iff there exists a function  $g : \{0, 1\}^n \rightarrow \{0, 1\}$  such that  $g(i) = L(i)$  for all  $i < x$ , and where  $g(x) = 0$ . }
2: Existentially guess a sequence  $B$  of  $2^n - x$  bits.
3: Universally choose a circuit  $C$  of size  $\epsilon 2^n / n$ .
4: for  $z \in \{0, 1\}^n$  do
5:   {Compute  $b \leftarrow g(z)$ .}
6:   if  $z = x$  then
7:      $b \leftarrow 0$ 
8:   else if  $z < x$  then
9:      $b \leftarrow L[z]$ 
10:  else
11:     $b \leftarrow B[z - x]$ 
12:  end if
13:  {Verify  $\exists z. C(z) \neq g(z)$ .}
14:  if  $C(z) \neq b$  then
15:    return 1
16:  end if
17: end for
18: return 0
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to follow for this problem.

### Problem 3: P=NP Implies Better Circuit Lower Bounds (3 Points)

#### Question

Prove that if  $\mathbf{P} = \mathbf{NP}$  then there is an  $\varepsilon > 0$  and  $f \in \text{TIME}[2^{O(n)}]$  such that  $f \notin \mathbf{SIZE}[\varepsilon 2^n / n]$ .

#### Answer

In the previous problem we showed that `HardFunction` can be implemented in  $O(2^n(2^n + K(2^n)))$  time, where  $K(m)$  is the runtime of `CheckIfHardCompletionExists`. We also showed that `CheckIfHardCompletionExists`  $\in \mathbf{NP}^{\mathbf{NP}}$ . Thus if  $\mathbf{P} = \mathbf{NP}$ , `CheckIfHardCompletionExists`  $\in \mathbf{P}$ , so  $K(m)$  is a polynomial, say  $km^k$ . Then `HardFunction` can be run in  $O(2^n(2^n + k(2^n)^k))$ . This simplifies to  $O(2^{2n} + 2^{n+kn})$ , which is  $2^{O(n)}$ . Since no circuits of size  $\varepsilon 2^n / n$  can decide `HardFunction`, this yields the desired result.

## Problem 4: BPL (3 points)

### Question

A probabilistic TM is said to work in space  $s(n)$  if every branch requires  $O(s(n))$  space for inputs of size  $n$  and terminates in  $2^{O(s(n))}$  time. The machine has *one-way access* to a read-only random tape, i.e. each random bit can only be read once.

Define the class **BPL** (for bounded-error probabilistic log-space) as follows: a language  $L$  is in **BPL** if there exists an  $O(\log n)$ -space probabilistic TM  $M$  such that

1. If  $x \in L$ , then  $\Pr[M(x) \text{ accepts}] \geq 2/3$ .
2. If  $x \notin L$ , then  $\Pr[M(x) \text{ accepts}] \leq 1/3$ .

Prove the following:

- (a) **BPL**  $\subseteq$  **SPACE** $[(\log n)^2]$ .
- (b) **BPL**  $\subseteq$  **P**.

### Answer to (a)

Let  $L$  be in **BPL**, witnessed by a log-space Turing Machine  $T$  with a  $2/3$  promise. Given  $x$  of length  $n$ , let  $C$  be the set of configurations for  $T$  on  $x$ . W.l.o.g. let  $c_{\text{init}}$  be the unique initial state and let  $c_{\text{acc}}$  be the unique accepting state. Let  $kn^k$  be an upper bound on the runtime of  $T$ . Let  $T_0, T_1 : C \rightarrow C$  be the functions describing the configuration  $T$  transitions to from a given state  $c \in C$ , where  $T_0(c)$  is the new state if a 0 is read from the random tape, and  $T_1(c)$  is the new state if a 1 is read from the random tape. Let  $M$  be the  $|C| \times |C|$  matrix where  $M_{i,j}$  is the probability that  $T$  eventually passes through state  $j$ , given that it began in state  $i$ . Our goal is to find a  $\log(n)^2$  space Turing machine which can determine whether  $M_{c_{\text{init}}, c_{\text{acc}}} \geq 2/3$ .

Let  $M^m$  be the  $|C| \times |C|$  matrix where  $M_{i,j}^m$  is the probability of going from configuration  $i$  to configuration  $j$  in  $\leq m$  steps. Then  $M = M^{kn^k}$ . Observe that any element  $M_{i,j}^m$  can be computed by enumerating over all sequences of  $m$  random bits and counting the number of transitions from  $i$  to  $j$ . Also observe that

$$M_{i,j}^{2^m} = \sum_{c \in C} M_{i,c}^{2^{m-1}} M_{c,j}^{2^{m-1}}$$

The algorithm `ApproximateTransitionProbability`( $T, i, j, m, b$ ) below approximately computes  $M_{i,j}^{2^m}$ , and represents the result as a  $b$ -bit binary fraction. (Approximation is forced by needing to store the result in  $b$  bits.)

Say  $\hat{M}_{i,j}^{kn^k}$  is the value returned by

$$\text{ApproximateTransitionProbability}(T, c_{\text{init}}, c_{\text{acc}}, \log(kn^k), a \log(n))$$

where  $a$  is a constant independent of the input  $x$ . (Note that for simplicity, I will henceforth assume  $kn^k$  is a power of 2, to avoid complicating the math by rounding  $kn^k$  up to the next power of 2 in all the following expressions.)

Say we can show that the following two properties hold:

1.  $|M_{i,j}^{kn^k} - \hat{M}_{i,j}^{kn^k}| < \frac{1}{10}$
2. **ApproximateTransitionProbability**( $T, c_{\text{init}}, c_{\text{acc}}, \log(kn^k), a \log(n)$ )  
uses  $O((\log n)^2)$  space

Then  $L \in \text{SPACE}[(\log n)^2]$ , because we can decide  $x \in L$  by computing  $\hat{M}_{i,j}^{kn^k}$  and returning true iff  $M_{i,j}^{kn^k} \geq \frac{2}{3} - \frac{1}{10}$ .

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**ApproximateTransitionProbability**( $T, i, j, m, b$ )

- 1: { Approximate  $\mathbb{P}[T$  transitions from  $i$  to  $j$  within  $m$  steps]. Output the answer using  $b$  bits (ie. output  $0.x_1x_2 \dots x_b$ ). }
  - 2:  $p \leftarrow 0$  {Transition probability.}
  - 3: **if**  $m = 0$  **then**
  - 4:     **for**  $v \in \{0, 1\}$  **do**
  - 5:         **if**  $T_v(i) = j$  **then**
  - 6:              $p \leftarrow p + \frac{1}{2}$
  - 7:         **end if**
  - 8:     **end for**
  - 9: **else**
  - 10:    **for**  $c \in C$  **do**
  - 11:        $p_1^c \leftarrow \text{ApproximateTransitionProbability}(T, i, c, m-1, b)$
  - 12:        $p_2^c \leftarrow \text{ApproximateTransitionProbability}(T, c, j, m-1, b)$
  - 13:        $p \leftarrow p + (p_1^c \times p_2^c)$
  - 14:    **end for**
  - 15:     $\hat{p} \leftarrow p$  rounded to  $b$  bits
  - 16: **end if**
  - 17: **return**  $\hat{p}$
- 

I will now prove that properties (1) and (2) hold.

**Proof of property 1 (error analysis).** Observe that the final rounding step, which converts  $p$  to  $\hat{p}$  by rounding to  $b$  bits, introduces no more than  $\frac{1}{2^b}$  error, ie.

$$|p - \hat{p}| \leq \frac{1}{2^b}$$

Say that for all  $m$ ,  $i$ , and  $j$ ,

$$|M_{i,j}^{2^m} - \hat{M}_{i,j}^{2^m}| < \delta_m$$

Observe that we can take  $\delta_0 = 0$  so long as  $b \geq 1$ . I will now upper bound  $\delta_m$  in terms of  $\delta_{m-1}$ .

Consider the value of  $p$  computed for a particular  $m$ ,  $i$ , and  $j$ . We have

$$\begin{aligned}
|p - M_{i,j}^{2^m}| &= \left| \sum_{c \in C} (\hat{M}_{i,c}^{2^{m-1}} \times \hat{M}_{c,j}^{2^{m-1}}) - \sum_{c \in C} (M_{i,c}^{2^{m-1}} \times M_{c,j}^{2^{m-1}}) \right| \\
&= \left| \sum_{c \in C} (\hat{M}_{i,c}^{2^{m-1}} \times \hat{M}_{c,j}^{2^{m-1}} - M_{i,c}^{2^{m-1}} \times M_{c,j}^{2^{m-1}}) \right| \\
&= \left| \sum_c M_{i,c}^{2^{m-1}} (\hat{M}_{c,j}^{2^{m-1}} - M_{c,j}^{2^{m-1}}) - \sum_c \hat{M}_{c,j}^{2^{m-1}} (M_{i,c}^{2^{m-1}} - \hat{M}_{i,c}^{2^{m-1}}) \right| \\
&\leq \left| \sum_c M_{i,c}^{2^{m-1}} (\hat{M}_{c,j}^{2^{m-1}} - M_{c,j}^{2^{m-1}}) \right| + \left| \sum_c \hat{M}_{c,j}^{2^{m-1}} (M_{i,c}^{2^{m-1}} - \hat{M}_{i,c}^{2^{m-1}}) \right| \\
&\leq \sum_c M_{i,c}^{2^{m-1}} \delta_{m-1} + \sum_c \hat{M}_{c,j}^{2^{m-1}} \delta_{m-1} \\
&\leq \delta_{m-1} + \sum_c \hat{M}_{c,j}^{2^{m-1}} \delta_{m-1} \\
&\leq \delta_{m-1} + \delta_{m-1} (1 + |C| \delta_{m-1}) \\
&= 2\delta_{m-1} + |C| \delta_{m-1}^2
\end{aligned}$$

The second to last inequality uses  $\sum_c M_{i,c}^{2^{m-1}} = 1$  (which is true since  $M_{i,c}^{2^{m-1}}$  is a probability distribution on  $c$ ). The last inequality uses the fact that  $\sum_c \hat{M}_{c,j}^{2^{m-1}} \leq 1 + |C| \delta_{m-1}$ , which uses the fact that each  $\hat{M}_{c,j}^{2^{m-1}}$  is within  $\delta_{m-1}$  of  $M_{c,j}^{2^{m-1}}$ , and these values form a probability distribution.



$$\begin{aligned}
|p - M_{i,j}^{2^m}| &= \left| \sum_{c \in C} (\hat{M}_{i,c}^{2^{m-1}} \times \hat{M}_{c,j}^{2^{m-1}}) - \sum_{c \in C} (M_{i,c}^{2^{m-1}} \times M_{c,j}^{2^{m-1}}) \right| \\
&\leq \sum_{c \in C} \hat{M}_{i,c}^{2^{m-1}} \times \hat{M}_{c,j}^{2^{m-1}} - \sum_{c \in C} (M_{i,c}^{2^{m-1}} \times M_{c,j}^{2^{m-1}}) \\
&\leq \sum_{c \in C} (|\hat{M}_{i,c}^{2^{m-1}} - M_{i,c}^{2^{m-1}}| + |\hat{M}_{c,j}^{2^{m-1}} - M_{c,j}^{2^{m-1}}|) \\
&\leq \sum_{c \in C} 2\delta_{m-1} = 2|C|\delta_{m-1}
\end{aligned}$$

The second inequality follows because the values of  $M$  are no greater than 1.

Combining this bound with our bound on  $|p - \hat{p}|$  above, and noting that  $\hat{M}_{i,j}^{2^m} = \hat{p}$  by definition, we derive that we can have  $\delta_m$  satisfy

$$\delta_m \leq 2|C|\delta_{m-1} + \frac{1}{2^b}$$

A simple induction proof verifies that this means we can have

$$\delta_m \leq \frac{1}{2^b} \sum_{j=0}^{m-1} (2|C|)^j$$

Because  $2|C| \geq 2$ , this bound implies

$$\delta_m \leq \frac{(2|C|)^m}{2^b} = 2^{\log(2|C|)m - b}$$

Observe that if

$$b > \log(2|C|)m - \log(\epsilon)$$

then  $\delta_m \leq \epsilon$ .

At the top level of the recursion,  $m = \log(kn^k) = \theta(\log(n))$ . Also,  $|C| \leq kn^k$ . Thus, to achieve an  $\epsilon$  error bound for arbitrary  $\epsilon$  it suffices to have

$$b > \theta(\log(2kn^k) \log(n) - \log(\epsilon)) = \theta(k \log(n)^2 - \log(\epsilon)) = \theta(\log(n)^2)$$

I have not figured out how to reduce this to  $\theta(\log(n))$  rather than  $\theta(\log(n)^2)$ , as required to achieve the space bound this problem asks for.

**Proof of property 2 (space complexity analysis).** We now need to analyze the space utilization of

$$\text{ApproximateTransitionProbability}(T, i, j, kn^k, a \log(n))$$

This algorithm recurses  $m = \theta(\log(n))$  times and at each level of the recursion it needs to store  $\theta(\log(n))$  bits. Therefore in total it uses  $\theta(\log(n)^2)$  bits, as required.

**Acknowledgements.** I read parts of Noam Nisan 1992, “ $\text{RL} \subseteq \text{SC}$ ” while working on this problem. I also want to thank Zixuan for helpful answers to a couple of questions on Piazza.

### Answer to (b)

The above procedure can be used to decide  $L$  in polynomial time. Thus  $\mathbf{BPL} \subseteq \mathbf{P}$ .

**Runtime analysis.** Consider the runtime of this procedure. Let  $m^* = \log(kn^k)$ . The procedure produces a tree of calls with 1 call with value  $m = m^*$ , 2 calls with value  $m = m^* - 1$ , 4 with value  $m = m^* - 2$ , and so on up to  $2^{m^*}$  calls with value 0. This in total is  $\leq 2^{m^*+1}$  calls. Each recursive call requires multiplying two  $b$ -bit values and summing  $|C|$  such products, and so takes  $O(|C|b)$  time. So the full runtime is bounded above by  $|C|b2^{m^*+1}$ . Since  $m^* = \theta(\log(kn^k))$  and  $b = \theta(\log(n))$ , the runtime is bounded by  $2|C|bkn^k = O(\log(n)n^k) = O(n^{k+1})$ .

## Problem 5: Advice Removal (2 points)

### Question

Assume  $s : \mathbb{N} \rightarrow \mathbb{N}$  is a time constructible function. Recall  $\mathbf{P}/s(n)$  is the class of languages decidable by a polynomial time algorithm with  $s(n)$  advice.

Prove that if  $\text{SAT} \in \mathbf{P}/s(n)$  then SAT can be solved in  $2^{O(s(n))} \cdot \text{poly}(n)$  time. That is, there is an algorithm running in  $2^{O(s(n))} \cdot \text{poly}(n)$  time which, given any formula  $\phi$  of size  $n$ , outputs a satisfying assignment to  $\phi$  when one exists.

(This result is interesting, in part because it is a major open problem whether  $\text{SAT} \in \mathbf{P}/\text{poly}$  implies  $\mathbf{P} = \mathbf{NP}$  or not!)

*Hint: Try using the self-reducibility of SAT.*

### Answer

Say  $\text{SAT} \in \mathbf{P}/s(n)$ , witnessed by an algorithm  $A(\phi, y)$  which decides whether  $\phi$  is satisfiable using advice  $y$ , and which runs in  $\text{poly}(n)$  time.

Here is a  $2^{O(s(n))}\text{poly}(n)$  time algorithm for deciding if a given formula  $\phi$  of description length  $n$  is satisfiable. The idea is to use a loop that runs up to  $2^{s(n)}$  iterations to try solving SAT with each of the  $2^{s(n)}$  pieces of advice  $y \in \{0, 1\}^n$ . Within each iteration of the loop, an assignment  $\vec{x}$  is constructed using the regular polynomial-time SEARCH-SAT procedure, assuming  $A(\phi, y)$  decides SAT. Since some  $y$  won't make  $A$  correctly decide SAT, the algorithm then checks that  $\vec{x}$  is actually a valid assignment before returning. Since there is at least one piece of advice  $y$  that makes  $A$  decide SAT, it is guaranteed to find a satisfying assignment on one iteration if one exists.

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SolveSAT( $\phi$ )

```
1: for  $y \in \{0, 1\}^{s(n)}$  do
2:    $\vec{x} \leftarrow []$ 
3:   for  $i = 1, \dots, n$  do
4:      $\phi_i \leftarrow \phi$  substituted with  $X_j = \vec{x}[j]$  for each  $j = 1, \dots, i - 1$ .
5:      $\phi_i \leftarrow \phi_i$  substituted with  $X_i = 0$ 
6:      $b \leftarrow A(\phi_i, y)$ 
7:     If  $b$  then  $x_i \leftarrow 0$  else  $x_i \leftarrow 1$ .
8:      $\vec{x} \leftarrow \text{append}(\vec{x}, x_i)$ 
9:   end for
10:  if  $\phi(\vec{x})$  then
11:    return 1 {If  $\vec{x}$  is a satisfying assignment, return 1.}
12:  end if
13: end for
14: return 0
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## Problem 6: Pairwise Independence (6 Points, 2 for each sub-problem)

### Question

In this problem, we will show how to generate “pseudo-random bits” with a nice property. These are sometimes useful for derandomizing algorithms. We will use them to prove other theorems in the class.

A set of discrete random variables  $X_1, X_2, X_3, \dots, X_n$  is *pairwise independent* if for every  $i \neq j$ ,

$$\Pr[X_i = a \mid X_j = b] = \Pr[X_i = a]$$

for every  $a, b$  in the range of the variables.  $X_i$  is *unbiased* if each element of the range of  $X_i$  is equally likely.

- (a) **Generating Pairwise Independent Bits.** Let  $V_n$  be the set of all  $n$ -bit vectors excluding the all-0 vector. For every  $v \in V_n$ , define  $X_v(r) = \langle v, r \rangle$  where  $r$  is any  $n$ -bit vector and  $\langle \cdot, \cdot \rangle$  is inner product modulo 2. Picking  $r$  uniformly at random, the  $X_v$ 's are well-defined random variables.

**Show that the  $X_v$ 's are unbiased and pairwise independent.**

Note we use  $n$  random bits to select  $r$ , and obtain  $2^n - 1$  pairwise independent bits  $X_v$ ! (One can think of the above process as a “pairwise independent” pseudorandom generator that takes an  $n$ -bit seed and produces  $2^n - 1$  bits.) Also note if we include the all-0 vector in  $V_n$ , we would lose the unbiased property, but the  $X_i$ 's would still be pairwise independent.

- (b) **Pairwise Independent Hashing.** Let  $p$  be prime and  $\mathbb{F}_p$  be the field of integers modulo  $p$ . For  $a, b$  independently and uniformly chosen at random from  $\mathbb{F}_p$ , let  $Y_i = a \cdot i + b$ .

**Show that  $\{Y_i \mid i \in \mathbb{F}_p\}$  are unbiased and pairwise independent.**

*Hint: For any fixed values  $Y_i$  and  $Y_j$ , the equations  $Y_i = ai + b$  and  $Y_j = aj + b$  can be uniquely solved for  $a$  and  $b$ .*

- (c) We will work over  $\mathbb{F}_2$ . Let  $V_n$  be the set of all  $n$ -bit vectors excluding the all-0 vector. Letting  $M$  be a uniformly randomly chosen Boolean  $m \times n$  matrix, define the random variable  $X_v = Mv$ .

**Show that the  $X_v$ 's are unbiased and pairwise independent.**

Define the function family  $f_M(v) = Mv$ , as we vary over all matrices  $M$ . **Show for all  $v \neq v'$ , when we pick a function  $f$  uniformly at random from this family,  $\Pr_f[f(v) = a \wedge f(v') = b]$  is the same for all  $a$  and  $b$ .**

Such a family of functions is called a *pairwise independent family of hash functions*. They are very useful!

### Answer to (a)

**Verifying unbiasedness.** Fix  $v \in V_n$ . Let  $I := \{i \in \mathbb{Z}_n : v_i = 1\}$ . Observe

$$X_v(r) = \sum_{i \in I} r_i \pmod{2}$$

I proceed by induction on  $|I|$ .

If  $|I| = 1$ , let  $i$  be the unique member of  $I$ . Then  $X_v(r) = r_i$ , which is an unbiased random bit.

Now say we know that for any set  $J$  so that  $|J| = m$ ,  $\sum_{j \in J} r_j \pmod{2}$  is unbiased. Consider a set  $I$  with  $|I| = m + 1$ . Set  $i^* := \sup I$  and set  $J = I \setminus \{i^*\}$ . Then  $Y(r) := \sum_{j \in J} r_j \pmod{2}$  is an unbiased bit. Observe

$$X_v(r) = \sum_{i \in I} r_i \pmod{2} = r_{i^*} + Y(r) \pmod{2}$$

Here,  $r_{i^*}$  and  $Y(r)$  are independent unbiased bits. It is straightforward to verify from this that  $X_v(r)$  is itself an unbiased random bit, by enumerating the probability table of the 4 joint assignments to  $X_v(r)$  and  $Y(r)$ .

**Verifying pairwise independence.** Let  $v^1, v^2 \in V_n$ , with  $v^1 \neq v^2$ . Let  $I^1 := \{i \in \mathbb{Z}_n : v_i^1 = 1\}$  and let  $I^2 := \{i \in \mathbb{Z}_n : v_i^2 = 1\}$ .

Let  $I^* := I^1 \Delta I^2 (= I^1 \cup I^2 \setminus (I^1 \cap I^2))$ . I proceed by induction on  $|I^*|$ .

If  $|I^*| = 1$ , WLOG say  $v_i^1 = 1$  but  $v_i^2 = 0$  (otherwise swap  $v^1$  and  $v^2$ ). Then  $X_{v^1}(r) = X_{v^2}(r) + r_i \pmod{2}$ , with  $r_i$  independent from  $X_{v^2}(r)$  (which is a sum of  $r_j$  for  $j \neq i$ ). Then  $X_{v^1}(r)$  is uniform on  $\{0, 1\}$ , conditional either on  $X_{v^2}(r) = 1$  or  $X_{v^2}(r) = 0$ , so  $X_{v^1}(r)$  and  $X_{v^2}(r)$  are independent.

Now say we know that if  $|I^*| = m$ ,  $X_{v^1}(r)$  and  $X_{v^2}(r)$  are independent. Say we have  $|I^*| = m + 1$ . WLOG say  $i$  is some index so  $v_i^1 = 1$  but  $v_i^2 = 0$  (if this doesn't exist, swap  $v^1$  and  $v^2$ ). Let  $\bar{v}$  be  $v^1$  but with index  $i$  set to 0. Then

$$\bar{x}(r) := \langle r, \bar{v} \rangle \pmod{2} = X_{v^1}(r) - r_i \pmod{2}$$

By the inductive hypothesis,  $\bar{x}(r)$  is independent from  $X_{v^2}(r)$ . And it is also certainly independent from  $r_i$  since it is a sum of  $r_j$  all with  $j \neq i$ . Thus  $X_{v^1}(r) = \bar{x}(r) + r_i \pmod{2}$  is a function of two values independent of  $X_{v^2}(r)$ , and hence is independent of  $X_{v^2}(r)$ .

### Answer to (b)

**Unbiasedness.** Fix  $i$  and  $a$ . Observe that since  $b$  is uniform over  $\mathbb{Z}_p$ ,  $ai + b$  is also uniform over  $\mathbb{Z}_p$ . Thus  $\mathbb{P}[Y_i = y|a] = 1/p$  for all  $y$ . Thus  $\mathbb{P}[Y_i = 1] = \sum_{a=0}^{p-1} \frac{1}{p} \mathbb{P}[Y_i = y|a] = \frac{1}{p}$ .

**Pairwise independence.** Fix  $i$  and  $j$ . We want to show that  $\mathbb{P}[Y_i = y_i | Y_j = y_j] = \frac{1}{p}$ . Because  $\mathbb{Z}_p$  is a field, for any value  $a$  and any value  $y_j$ , there is exactly one value  $b$  such that  $y_j = a \cdot j + b$ . Thus, the event  $E_j := \{Y_j = y_j\}$

equals the event  $\{(a, b) : a \in \mathbb{Z}_p \wedge b = y_j - a \cdot j\}$ , an event with probability  $p/p^2 = 1/p$ . Since  $\mathbb{Z}_p$  is a field, the system of linearly independent equations

$$y_i = a \cdot i + b; \quad y_j = a \cdot j + b$$

has a unique solution  $(a^*, b^*)$ . Thus  $\{Y_j = y_j \wedge Y_i = y_i\} = \{a^*, b^*\}$  which has probability  $1/p^2$ . Thus  $\mathbb{P}[Y_i = y_i | Y_j = y_j] = \frac{\mathbb{P}[Y_i = y_i, Y_j = y_j]}{\mathbb{P}[Y_j = y_j]} = \frac{1/p^2}{1/p} = 1/p$ .

### Answer to (c)

**Unbiasedness.** From part (a) we know that  $(Mv)_i$  is a uniform bit for each  $i$ , where  $(Mv)_i$  is the  $i$ th element of vector  $Mv$ . Furthermore, since  $(Mv)_i$  depends on a different row of  $M$  for each  $i$ , the collection of values  $\{(Mv)_i\}_i$  is an independent collection of random variables. Thus  $Mv$  is uniformly distributed on the space of binary  $n$ -dimensional vectors.

**Pairwise independence.** Fix  $v^1, v^2$ . Observe that

$$\begin{aligned} \mathbb{P}[Mv^1 = v | Mv^2] &= \\ \mathbb{P}[(Mv^1)_0 = v_0 | Mv^2] &\times \mathbb{P}[(Mv^1)_1 = v_1 | Mv^2, (Mv^1)_0] \times \cdots \times \\ &\mathbb{P}[(Mv^1)_{n-1} = v_{n-1} | Mv^2, (Mv^1)_{0:n-2}] \end{aligned}$$

For any  $i$ ,

$$\mathbb{P}[(Mv^1)_i = v_i | Mv^2, (Mv^1)_{0:i-1}] = \mathbb{P}[(Mv^1)_i = v_i | Mv_i^2]$$

because all the values being conditioned on other than  $Mv_i^2$  depend on entirely independent rows of  $M$  from those that affect the value  $(Mv^1)_i$ . And from part (a), we know  $(Mv^1)_i$  and  $(Mv^2)_i$  are independent for all  $i$ , so  $\mathbb{P}[(Mv^1)_i = v_i | Mv_i^2] = 1/2$ . Thus  $\mathbb{P}[Mv^1 = v | Mv^2] = 1/2^n = \mathbb{P}[Mv^1 = v]$ .

**Uniformity on joint assignments.**

$$\mathbb{P}[f(v) = a \wedge f(v') = b] = \mathbb{P}[f(v) = a] \times \mathbb{P}[f(v') = b | f(v) = a] = \frac{1}{2^n} \times \frac{1}{2^n}$$

where the last equality follows due to the pairwise independence and uniformity proven above.