ZPP^a (Zero Probabilistic Polynomial)

- The class **ZPP** is defined as $RP \cap coRP$.
- A language in ZPP has *two* Monte Carlo algorithms, one with no false positives (RP) and the other with no false negatives (coRP).
- If we repeatedly run both Monte Carlo algorithms, eventually one definite answer will come (unlike RP).
 - A positive answer from the one without false positives.
 - A negative answer from the one without false negatives.

^aGill (1977).

The ZPP Algorithm (Las Vegas)

```
1: {Suppose L \in ZPP.}
 2: \{N_1 \text{ has no false positives, and } N_2 \text{ has no false} \}
   negatives.
 3: while true do
     if N_1(x) = "yes" then
        return "yes";
6: end if
7: if N_2(x) = \text{"no"} then
8: return "no";
      end if
9:
10: end while
```

ZPP (concluded)

- The *expected* running time for the correct answer to emerge is polynomial.
 - The probability that a run of the 2 algorithms does not generate a definite answer is 0.5 (why?).
 - Let p(n) be the running time of each run of the while-loop.
 - The expected running time for a definite answer is

$$\sum_{i=1}^{\infty} 0.5^{i} i p(n) = 2p(n).$$

• Essentially, ZPP is the class of problems that can be solved, without errors, in expected polynomial time.

Large Deviations

- Suppose you have a biased coin.
- One side has probability $0.5 + \epsilon$ to appear and the other 0.5ϵ , for some $0 < \epsilon < 0.5$.
- But you do not know which is which.
- How to decide which side is the more likely side—with high confidence?
- Answer: Flip the coin many times and pick the side that appeared the most times.
- Question: Can you quantify your confidence?

The Chernoff Bound^a

Theorem 70 (Chernoff (1952)) Suppose $x_1, x_2, ..., x_n$ are independent random variables taking the values 1 and 0 with probabilities p and 1-p, respectively. Let $X = \sum_{i=1}^{n} x_i$. Then for all $0 \le \theta \le 1$,

$$\text{prob}[X \ge (1+\theta) \, pn] \le e^{-\theta^2 pn/3}.$$

• The probability that the deviate of a **binomial** random variable from its expected value

$$E[X] = E\left[\sum_{i=1}^{n} x_i\right] = pn$$

decreases exponentially with the deviation.

^aHerman Chernoff (1923–). The bound is asymptotically optimal.

The Proof

- Let t be any positive real number.
- Then

$$\operatorname{prob}[X \ge (1+\theta) pn] = \operatorname{prob}[e^{tX} \ge e^{t(1+\theta) pn}].$$

• Markov's inequality (p. 519) generalized to real-valued random variables says that

$$\operatorname{prob}\left[e^{tX} \ge kE[e^{tX}]\right] \le 1/k.$$

• With $k = e^{t(1+\theta) pn}/E[e^{tX}]$, we have^a

$$\operatorname{prob}[X \ge (1+\theta) \, pn] \le e^{-t(1+\theta) \, pn} E[e^{tX}].$$

^aNote that X does not appear in k. Contributed by Mr. Ao Sun (R05922147) on December 20, 2016.

• Because $X = \sum_{i=1}^{n} x_i$ and x_i 's are independent,

$$E[e^{tX}] = (E[e^{tx_1}])^n = [1 + p(e^t - 1)]^n.$$

• Substituting, we obtain

$$\operatorname{prob}[X \ge (1+\theta) pn] \le e^{-t(1+\theta) pn} [1+p(e^t-1)]^n
\le e^{-t(1+\theta) pn} e^{pn(e^t-1)}$$

as
$$(1+a)^n \le e^{an}$$
 for all $a > 0$.

The Proof (concluded)

• With the choice of $t = \ln(1 + \theta)$, the above becomes $\operatorname{prob}[X \geq (1 + \theta) pn] \leq e^{pn[\theta - (1 + \theta) \ln(1 + \theta)]}$.

• The exponent expands to

$$-\frac{\theta^2}{2} + \frac{\theta^3}{6} - \frac{\theta^4}{12} + \cdots$$

for $0 \le \theta \le 1$.

• But it is less than

$$-\frac{\theta^2}{2} + \frac{\theta^3}{6} \le \theta^2 \left(-\frac{1}{2} + \frac{\theta}{6} \right) \le \theta^2 \left(-\frac{1}{2} + \frac{1}{6} \right) = -\frac{\theta^2}{3}.$$

Other Variations of the Chernoff Bound

The following can be proved similarly (prove it).

Theorem 71 Given the same terms as Theorem 70 (p. 583),

$$\text{prob}[X \le (1 - \theta) pn] \le e^{-\theta^2 pn/2}.$$

The following slightly looser inequalities achieve symmetry.

Theorem 72 (Karp, Luby, & Madras (1989)) Given the same terms as Theorem 70 (p. 583) except with $0 \le \theta \le 2$,

$$\operatorname{prob}[X \ge (1+\theta) pn] \le e^{-\theta^2 pn/4},$$
$$\operatorname{prob}[X \le (1-\theta) pn] \le e^{-\theta^2 pn/4}.$$

Power of the Majority Rule

The next result follows from Theorem 71 (p. 587).

Corollary 73 If $p = (1/2) + \epsilon$ for some $0 \le \epsilon \le 1/2$, then

prob
$$\left[\sum_{i=1}^{n} x_i \le n/2\right] \le e^{-\epsilon^2 n/2}$$
.

- The textbook's corollary to Lemma 11.9 seems too loose, at $e^{-\epsilon^2 n/6}$.
- Our original problem (p. 582) hence demands, e.g., $n \approx 1.4k/\epsilon^2$ independent coin flips to guarantee making an error with probability $\leq 2^{-k}$ with the majority rule.

^aSee Dubhashi and Panconesi (2012) for many Chernoff-type bounds.

BPP^a (Bounded Probabilistic Polynomial)

- The class **BPP** contains all languages L for which there is a precise polynomial-time NTM N such that:
 - If $x \in L$, then at least 3/4 of the computation paths of N on x lead to "yes."
 - If $x \notin L$, then at least 3/4 of the computation paths of N on x lead to "no."
- So N accepts or rejects by a *clear* majority.

^aGill (1977).

Magic 3/4?

- The number 3/4 bounds the probability (ratio) of a right answer away from 1/2.
- Any constant strictly between 1/2 and 1 can be used without affecting the class BPP.
- In fact, as with RP,

$$\frac{1}{2} + \frac{1}{q(n)}$$

for any polynomial q(n) can replace 3/4.

• The next algorithm shows why.

The Majority Vote Algorithm

Suppose L is decided by N by majority $(1/2) + \epsilon$.

```
1: for i = 1, 2, \dots, 2k + 1 do
```

- 2: Run N on input x;
- 3: end for
- 4: **if** "yes" is the majority answer **then**
- 5: "yes";
- 6: **else**
- 7: "no";
- 8: end if

Analysis

- The running time remains polynomial: 2k + 1 times N's running time.
- By Corollary 73 (p. 588), the probability of a false answer is at most $e^{-\epsilon^2 k}$.
- By taking $k = \lceil 2/\epsilon^2 \rceil$, the error probability is at most 1/4.
- Even if ϵ is any inverse polynomial, k remains a polynomial in n.

Aspects of BPP

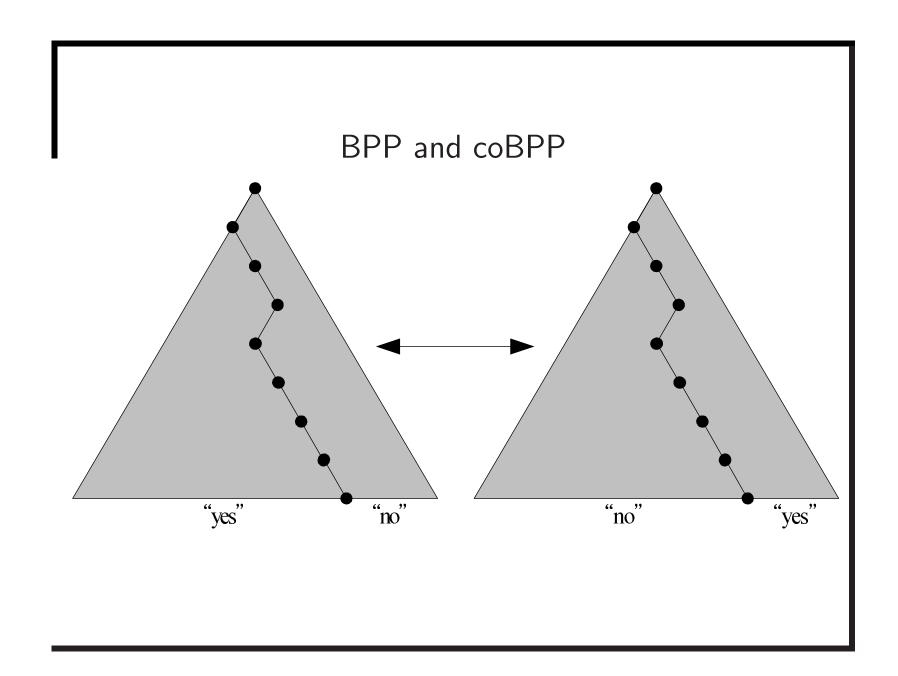
- BPP is the most comprehensive yet plausible notion of efficient computation.
 - If a problem is in BPP, we take it to mean that the problem can be solved efficiently.
 - In this aspect, BPP has effectively replaced P.
- $(RP \cup coRP) \subseteq (NP \cup coNP)$.
- $(RP \cup coRP) \subseteq BPP$.
- Whether BPP \subseteq (NP \cup coNP) is unknown.
- But it is unlikely that $NP \subseteq BPP$.

^aSee p. 605.

coBPP

- The definition of BPP is symmetric: acceptance by clear majority and rejection by clear majority.
- An algorithm for $L \in BPP$ becomes one for \overline{L} by reversing the answer.
- So $\bar{L} \in BPP$ and $BPP \subseteq coBPP$.
- Similarly coBPP \subseteq BPP.
- Hence BPP = coBPP.
- This approach does not work for RP.^a

^aIt did not work for NP either.



"The Good, the Bad, and the Ugly" coNP. ZPP coRP RP · BPP\

Circuit Complexity

- Circuit complexity is based on boolean circuits instead of Turing machines.
- A boolean circuit with n inputs computes a boolean function of n variables.
- Now, identify true/1 with "yes" and false/0 with "no."
- Then a boolean circuit with n inputs accepts certain strings in $\{0,1\}^n$.
- To relate circuits with an arbitrary language, we need one circuit for each possible input length n.

Formal Definitions

- The **size** of a circuit is the number of *gates* in it.
- A family of circuits is an infinite sequence $C = (C_0, C_1, ...)$ of boolean circuits, where C_n has n boolean inputs.
- For input $x \in \{0,1\}^*$, $C_{|x|}$ outputs 1 if and only if $x \in L$.
- In other words,

 C_n accepts $L \cap \{0,1\}^n$.

Formal Definitions (concluded)

- $L \subseteq \{0,1\}^*$ has **polynomial circuits** if there is a family of circuits C such that:
 - The size of C_n is at most p(n) for some fixed polynomial p.
 - C_n accepts $L \cap \{0,1\}^n$.

Exponential Circuits Suffice for All Languages

- Theorem 14 (p. 195) implies that there are languages that cannot be solved by circuits of size $2^n/(2n)$.
- But surprisingly, circuits of size 2^{n+2} can solve *all* problems, decidable or otherwise!

Exponential Circuits Suffice for All Languages (continued)

Proposition 74 All decision problems (decidable or otherwise) can be solved by a circuit of size 2^{n+2} .

- We will show that for any language $L \subseteq \{0,1\}^*$, $L \cap \{0,1\}^n$ can be decided by a circuit of size 2^{n+2} .
- Define boolean function $f: \{0,1\}^n \to \{0,1\}$, where

$$f(x_1x_2\cdots x_n) = \begin{cases} 1 & x_1x_2\cdots x_n \in L, \\ 0 & x_1x_2\cdots x_n \notin L. \end{cases}$$

The Proof (concluded)

- Clearly, any circuit that implements f decides $L \cap \{0,1\}^n$.
- Now,

$$f(x_1x_2\cdots x_n)=(x_1\wedge f(1x_2\cdots x_n))\vee (\neg x_1\wedge f(0x_2\cdots x_n)).$$

• The circuit size s(n) for $f(x_1x_2\cdots x_n)$ hence satisfies

$$s(n) = 4 + 2s(n-1)$$

with s(1) = 1.

• Solve it to obtain $s(n) = 5 \times 2^{n-1} - 4 \le 2^{n+2}$.

The Circuit Complexity of P

Proposition 75 All languages in P have polynomial circuits.

- Let $L \in P$ be decided by a TM in time p(n).
- By Corollary 31 (p. 297), there is a circuit with $O(p(n)^2)$ gates that accepts $L \cap \{0, 1\}^n$.
- The size of that circuit depends only on L and the length of the input.
- The size of that circuit is polynomial in n.

Polynomial Circuits vs. P

- Is the converse of Proposition 75 true?
 - Do polynomial circuits accept only languages in P?
- No.
- Polynomial circuits can accept *undecidable* languages!

BPP's Circuit Complexity

Theorem 76 (Adleman (1978)) All languages in BPP have polynomial circuits.

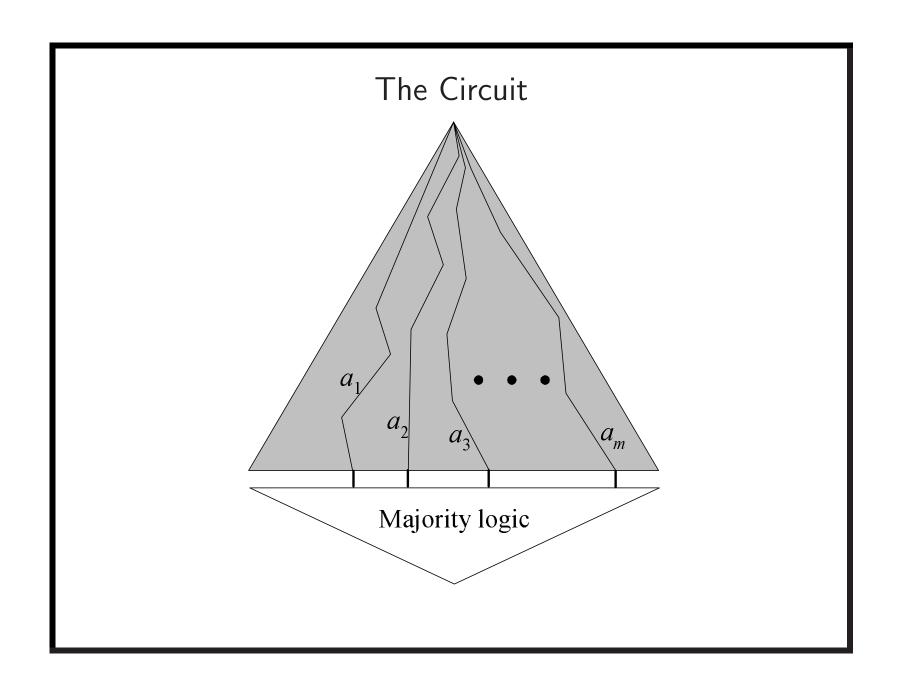
- Our proof will be *nonconstructive* in that only the existence of the desired circuits is shown.
 - Recall our proof of Theorem 14 (p. 195).
 - Something exists if its probability of existence is nonzero.
- It is not known how to efficiently generate circuit C_n .
 - If the construction of C_n can be made efficient, then P = BPP, an unlikely result.

The Proof

- Let $L \in BPP$ be decided by a precise polynomial-time NTM N by clear majority.
- We shall prove that L has polynomial circuits C_0, C_1, \ldots
 - These deterministic circuits do not err.
- Suppose N runs in time p(n), where p(n) is a polynomial.
- Let $A_n = \{a_1, a_2, \dots, a_m\}$, where $a_i \in \{0, 1\}^{p(n)}$.
- Each $a_i \in A_n$ represents a sequence of nondeterministic choices (i.e., a computation path) for N.
- Pick m = 12(n+1).

- Let x be an input with |x| = n.
- Circuit C_n simulates N on x with all sequences of choices in A_n and then takes the majority of the m outcomes.^a
 - Note that each A_n yields a circuit.
- As N with a_i is a polynomial-time deterministic TM, it can be simulated by polynomial circuits of size $O(p(n)^2)$.
 - See the proof of Proposition 75 (p. 603).

^aAs m is even, there may be no clear majority. Still, the probability of that happening is very small and does not materially affect our general conclusion. Thanks to a lively class discussion on December 14, 2010.



- The size of C_n is therefore $O(mp(n)^2) = O(np(n)^2)$.
 - This is a polynomial.
- We now confirm the existence of an A_n making C_n correct on all n-bit inputs.
- Call a_i bad if it leads N to an error (a false positive or a false negative) for x.
- Select A_n uniformly randomly.

- For each $x \in \{0,1\}^n$, 1/4 of the computations of N are erroneous.
- Because the sequences in A_n are chosen randomly and independently, the expected number of bad a_i 's is m/4.
- By the Chernoff bound (p. 583), the probability that the number of bad a_i 's is m/2 or more is at most

$$e^{-m/12} < 2^{-(n+1)}.$$

• The error probability of using the majority rule is thus $< 2^{-(n+1)}$ for each $x \in \{0,1\}^n$.

^aSo the proof will not work for NP. Contributed by Mr. Ching-Hua Yu (D00921025) on December 11, 2012.

• The probability that there is an x such that A_n results in an incorrect answer is

$$< 2^n 2^{-(n+1)} = 2^{-1}.$$

- Recall the union bound (**Boole's inequality**): $\operatorname{prob}[A \cup B \cup \cdots] \leq \operatorname{prob}[A] + \operatorname{prob}[B] + \cdots$
- We just showed that at least half of them are correct.
- So with probability ≥ 0.5 , a random A_n produces a correct C_n for all inputs of length n.
 - Of course, verifying this fact may take a long time.

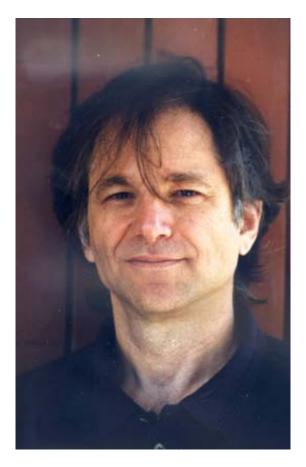
The Proof (concluded)

- Because this probability exceeds 0, an A_n that makes majority vote work for all inputs of length n exists.
- Hence a correct C_n exists.^a
- We have used the **probabilistic method** popularized by Erdős.^b
- This result answers the question on p. 514 with a "yes."

^aQuine (1948), "To be is to be the value of a bound variable."

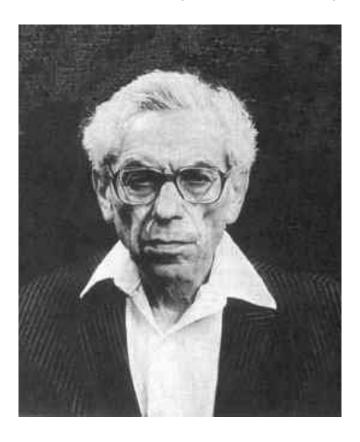
^bA counting argument in the probabilistic language.

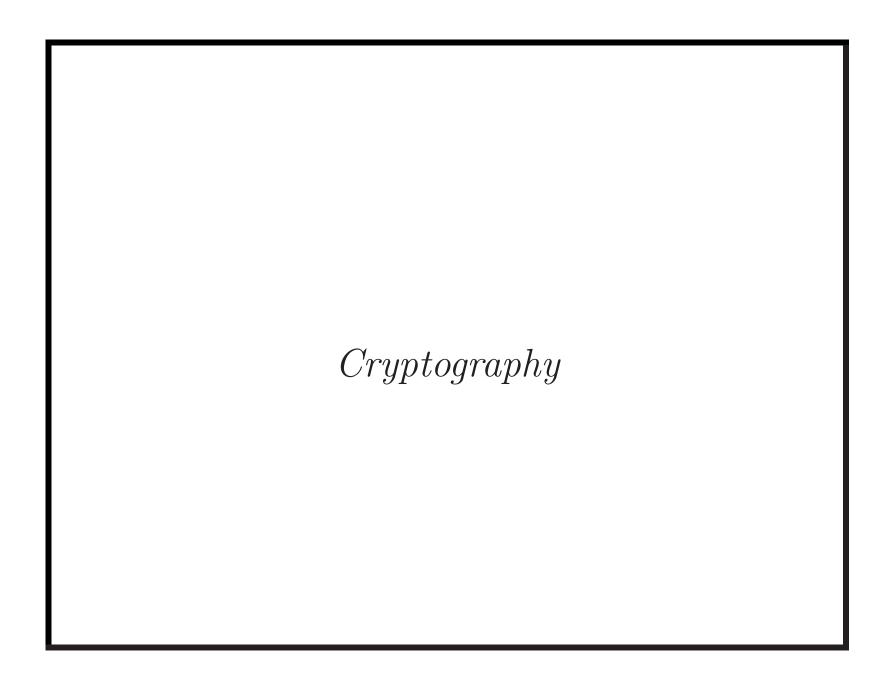
Leonard Adleman^a (1945–)



^aTuring Award (2002).

Paul Erdős (1913–1996)





Whoever wishes to keep a secret must hide the fact that he possesses one. — Johann Wolfgang von Goethe (1749–1832)	

Cryptography

- Alice (A) wants to send a message to **Bob** (B) over a channel monitored by **Eve** (eavesdropper).
- The protocol should be such that the message is known only to Alice and Bob.
- The art and science of keeping messages secure is **cryptography**.

Encryption and Decryption

- Alice and Bob agree on two algorithms E and D—the encryption and the decryption algorithms.
- Both E and D are known to the public in the analysis.
- Alice runs E and wants to send a message x to Bob.
- Bob operates D.
- Privacy is assured in terms of two numbers e, d, the encryption and decryption keys.
- Alice sends y = E(e, x) to Bob, who then performs D(d, y) = x to recover x.
- x is called **plaintext**, and y is called **ciphertext**.^a

^aBoth "zero" and "cipher" come from the same Arab word.

Some Requirements

- D should be an inverse of E given e and d.
- D and E must both run in (probabilistic) polynomial time.
- Eve should not be able to recover x from y without knowing d.
 - As D is public, d must be kept secret.
 - -e may or may not be a secret.

Degrees of Security

- **Perfect secrecy**: After a ciphertext is intercepted by the enemy, the a posteriori probabilities of the plaintext that this ciphertext represents are identical to the a priori probabilities of the same plaintext before the interception.
 - The probability that plaintext \mathcal{P} occurs is independent of the ciphertext \mathcal{C} being observed.
 - So knowing \mathcal{C} yields no advantage in recovering \mathcal{P} .
- Such systems are said to be **informationally secure**.
- A system is **computationally secure** if breaking it is theoretically possible but computationally infeasible.

Conditions for Perfect Secrecy^a

- Consider a cryptosystem where:
 - The space of ciphertext is as large as that of keys.
 - Every plaintext has a nonzero probability of being used.
- It is **perfectly secure** if and only if the following hold.
 - A key is chosen with uniform distribution.
 - For each plaintext x and ciphertext y, there exists a unique key e such that E(e, x) = y.

^aShannon (1949).

The One-Time Pada

- 1: Alice generates a random string r as long as x;
- 2: Alice sends r to Bob over a secret channel;
- 3: Alice sends $x \oplus r$ to Bob over a public channel;
- 4: Bob receives y;
- 5: Bob recovers $x := y \oplus r$;

^aMauborgne and Vernam (1917); Shannon (1949). It was allegedly used for the hotline between Russia and U.S.

Analysis

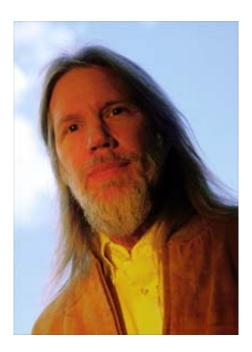
- The one-time pad uses e = d = r.
- This is said to be a **private-key cryptosystem**.
- Knowing x and knowing r are equivalent.
- Because r is random and private, the one-time pad achieves perfect secrecy (see also p. 621).
- The random bit string must be new for each round of communication.
- But the assumption of a private channel is problematic.

Public-Key Cryptography^a

- Suppose only d is private to Bob, whereas e is public knowledge.
- Bob generates the (e, d) pair and publishes e.
- Anybody like Alice can send E(e, x) to Bob.
- Knowing d, Bob can recover x by D(d, E(e, x)) = x.
- The assumptions are complexity-theoretic.
 - It is computationally difficult to compute d from e.
 - It is computationally difficult to compute x from y without knowing d.

^aDiffie and Hellman (1976).

Whitfield Diffie^a (1944–)



^aTuring Award (2016).

Martin Hellman^a (1945–)



^aTuring Award (2016).

Complexity Issues

- Given y and x, it is easy to verify whether E(e, x) = y.
- \bullet Hence one can always guess an x and verify.
- Cracking a public-key cryptosystem is thus in NP.
- A necessary condition for the existence of secure public-key cryptosystems is $P \neq NP$.
- But more is needed than $P \neq NP$.
- For instance, it is not sufficient that D is hard to compute in the worst case.
- It should be hard in "most" or "average" cases.

One-Way Functions

A function f is a **one-way function** if the following hold.^a

- 1. f is one-to-one.
- 2. For all $x \in \Sigma^*$, $|x|^{1/k} \le |f(x)| \le |x|^k$ for some k > 0.
 - f is said to be honest.
- 3. f can be computed in polynomial time.
- 4. f^{-1} cannot be computed in polynomial time.
 - Exhaustive search works, but it must be slow.

^aDiffie & Hellman (1976); Boppana & Lagarias (1986); Grollmann & Selman (1988); Ko (1985); Ko, Long, & Du (1986); Watanabe (1985); Young (1983).

Existence of One-Way Functions (OWFs)

- Even if $P \neq NP$, there is no guarantee that one-way functions exist.
- No functions have been proved to be one-way.
- Is breaking glass a one-way function?

Candidates of One-Way Functions

- Modular exponentiation $f(x) = g^x \mod p$, where g is a primitive root of p.
 - Discrete logarithm is hard.^a
- The RSA^b function $f(x) = x^e \mod pq$ for an odd e relatively prime to $\phi(pq)$.
 - Breaking the RSA function is hard.

^aConjectured to be $2^{n^{\epsilon}}$ for some $\epsilon > 0$ in both the worst-case sense and average sense. Doable in time $n^{O(\log n)}$ for finite fields of small characteristic (Barbulescu, et al., 2013). It is in NP in some sense (Grollmann and Selman, 1988).

^bRivest, Shamir, & Adleman (1978).

Candidates of One-Way Functions (concluded)

- Modular squaring $f(x) = x^2 \mod pq$.
 - Determining if a number with a Jacobi symbol 1 is a quadratic residue is hard—the quadratic
 residuacity assumption (QRA).^a
 - Breaking it is as hard as factorization when $p \equiv q \equiv 3 \mod 4$.^b

^aDue to Gauss.

^bRabin (1979).

The Secret-Key Agreement Problem

- Exchanging messages securely using a private-key cryptosystem requires Alice and Bob possessing the same key (p. 623).
 - An example is the r in the one-time pad (p. 622).
- How can they agree on the same secret key when the channel is insecure?
- This is called the **secret-key agreement problem**.
- It was solved by Diffie and Hellman (1976) using one-way functions.

The Diffie-Hellman Secret-Key Agreement Protocol

- 1: Alice and Bob agree on a large prime p and a primitive root g of p; $\{p \text{ and } g \text{ are public.}\}$
- 2: Alice chooses a large number a at random;
- 3: Alice computes $\alpha = g^a \mod p$;
- 4: Bob chooses a large number b at random;
- 5: Bob computes $\beta = g^b \mod p$;
- 6: Alice sends α to Bob, and Bob sends β to Alice;
- 7: Alice computes her key $\beta^a \mod p$;
- 8: Bob computes his key $\alpha^b \mod p$;

Analysis

• The keys computed by Alice and Bob are identical as

$$\beta^a = g^{ba} = g^{ab} = \alpha^b \bmod p.$$

- To compute the common key from p, g, α, β is known as the **Diffie-Hellman problem**.
- It is conjectured to be hard.
- If discrete logarithm is easy, then one can solve the Diffie-Hellman problem.
 - Because a and b can then be obtained by Eve.
- But the other direction is still open.

The RSA Function

- Let p, q be two distinct primes.
- The RSA function is $x^e \mod pq$ for an odd e relatively prime to $\phi(pq)$.
 - By Lemma 54 (p. 464),

$$\phi(pq) = pq\left(1 - \frac{1}{p}\right)\left(1 - \frac{1}{q}\right) = pq - p - q + 1.$$
 (14)

• As $gcd(e, \phi(pq)) = 1$, there is a d such that

$$ed \equiv 1 \mod \phi(pq),$$

which can be found by the Euclidean algorithm.^a

^aOne can think of d as e^{-1} .

A Public-Key Cryptosystem Based on RSA

- Bob generates p and q.
- Bob publishes pq and the encryption key e, a number relatively prime to $\phi(pq)$.
 - The encryption function is $y = x^e \mod pq$.
 - Bob calculates $\phi(pq)$ by Eq. (14) (p. 635).
 - Bob then calculates d such that $ed = 1 + k\phi(pq)$ for some $k \in \mathbb{Z}$.
- The decryption function is $y^d \mod pq$.
- It works because $y^d = x^{ed} = x^{1+k\phi(pq)} = x \mod pq$ by the Fermat-Euler theorem when $\gcd(x, pq) = 1$ (p. 473).

The "Security" of the RSA Function

- Factoring pq or calculating d from (e, pq) seems hard.^a
- Breaking the last bit of RSA is as hard as breaking the RSA.^b
- Recommended RSA key sizes:^c
 - 1024 bits up to 2010.
 - -2048 bits up to 2030.
 - -3072 bits up to 2031 and beyond.

^aSee also p. 469.

^bAlexi, Chor, Goldreich, & Schnorr (1988).

^cRSA (2003). RSA was acquired by EMC in 2006 for 2.1 billion US dollars.

The "Security" of the RSA Function (continued)

- Recall that problem A is "harder than" problem B if solving A results in solving B.
 - Factorization is "harder than" breaking the RSA.
 - It is not hard to show that calculating Euler's phi function^a is "harder than" breaking the RSA.
 - Factorization is "harder than" calculating Euler's phi function (see Lemma 54 on p. 464).
 - So factorization is harder than calculating Euler's phi function, which is harder than breaking the RSA.

^aWhen the input is not factorized!

The "Security" of the RSA Function (concluded)

- Factorization cannot be NP-hard unless NP = coNP.^a
- So breaking the RSA is unlikely to imply P = NP.
- But numbers can be factorized efficiently by quantum computers.^b
- RSA was alleged to have received 10 million US dollars from the government to promote unsecure p and q.

^aBrassard (1979).

^bShor (1994).

^cMenn (2013).

Adi Shamir, Ron Rivest, and Leonard Adleman

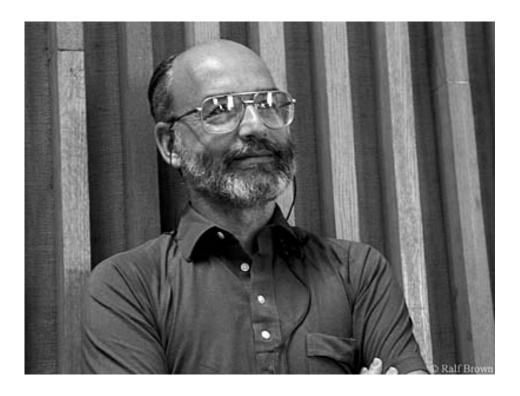


Ron Rivest^a (1947–)



^aTuring Award (2002).

Adi Shamir^a (1952–)



^aTuring Award (2002).

A Parallel History

- Diffie and Hellman's solution to the secret-key agreement problem led to public-key cryptography.
- At around the same time (or earlier) in Britain, the RSA public-key cryptosystem was invented first before the Diffie-Hellman secret-key agreement scheme was.
 - Ellis, Cocks, and Williamson of the Communications
 Electronics Security Group of the British Government
 Communications Head Quarters (GCHQ).