# Lecture 18

Foundations of Probabilistic Proofs Fall 2020 Alessandro Chiesa

#### The FRI Protocol

Today we analyze the FRI protocol:

$$P((F,L,d),f_{0}) \qquad f_{0}:L \rightarrow F \qquad V((F,L,d))$$

$$f_{1}:=Fold(f_{0},q_{0}) \qquad f_{1}:L^{2}\rightarrow F \qquad \text{ensistency check randowness: } M \in L \text{ can repeat}$$

$$f_{2}:=Fold(f_{0},q_{0}) \qquad f_{1}:L^{2}\rightarrow F \qquad \text{ensistency check randowness: } M \in L \text{ times}$$

$$f_{2}:=Fold(f_{1},q_{0}) \qquad f_{2}:L^{4}\rightarrow F \qquad f_{1}(p_{1}^{2})\stackrel{?}{=} \frac{f_{0}(p_{1})+f_{0}(-p_{0})}{2}+\alpha_{0}\frac{f_{0}(p_{1})-f_{0}(-p_{0})}{2}$$

$$f_{1}:=Fold(f_{1},q_{1}) \qquad f_{2}:L^{4}\rightarrow F \qquad f_{1}(p_{1}^{2})\stackrel{?}{=} \frac{f_{1}(p_{1}^{2})+f_{1}(-p_{1}^{2})}{2}+\alpha_{1}\frac{f_{1}(p_{1}^{2})-f_{0}(-p_{0}^{2})}{2}$$

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$$f_{2}:=Fold(f_{1},q_{1}) \qquad f_{1}:L^{2}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{1}:L^{4}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{1}:L^{4}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{1}:L^{4}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{1}:L^{4}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{1}:L^{4}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{1}:L^{4}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{1}:L^{4}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{1}:L^{4}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{1}:L^{4}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{1}:L^{4}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{1}:L^{4}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{1}:L^{4}\rightarrow F \qquad f_{2}:L^{4}\rightarrow F \qquad f_{$$

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Hoven: If 
$$f_0: L \to \mathbb{F}$$
 is  $\delta$ -far from  $RS[\mathbb{F}, L, d]$  then  $\forall \widetilde{P}$ 

$$\Pr_{\alpha_0, \dots, \alpha_{r-1}} \left[ \Pr_{\widetilde{N} \in L^{t}} \left[ \langle \widetilde{P}, V^{f}(\alpha, \overline{M}) \rangle = 1 \right] \leq \left( 1 - \min \left\{ \delta, \frac{1 - \mu}{2}, \delta^{t}(p) \right\} \right) \geq 1 - \omega \left( \frac{|L|}{|\mathbb{F}|} \right).$$

Here S'(p) is a universal constant with a dependence on the rate p = d/LI.

In particular the soundness error is at most  $O(\frac{111}{11F1}) + (1-min\{8,1-p,8^*(p)\})^{t}$ .

### Soundness Analysis: Notations and Definitions

For notational simplicity: Li = L2, di = d/2, Mi = M2. Note that the rate is the same in each round's code:  $\frac{di}{|Li|} = \frac{d/2^i}{|Li|} = \frac{d/2^i}{|Li|} = \frac{d/2^i}{|Li|} = \frac{d}{|Li|} = \frac{d}{|Li|}$ The (relative) distance between any two code words in RS[F,Li,di] is at least 1-p.

Fix fo: L>F and a prover P.

The prover P is fully specified by functions &fi: Li>F} with fi depending on do, ..., xi-, & F. Define Vie 80,1,..,5-13 Fail:= {acL: | fix (a2) + Fold(fixx)(a) }.

Distance "by cosets": given  $g.h: L_i \rightarrow \mathbb{F}$ ,  $\Delta(g.h):=\frac{|\{a \in L_i \mid g(a) \neq h(a) \text{ or } g(-a) \neq h(-a)\}|}{|a|}$ 

We keep track of distances for each round if {0,1,..., r}:

- · Si≜ △ (fi, RS[F, Li, di]) fraction of assets 5-9,03 to be changed for algree < di
- fi is closest polynomial of degree < di to fi: Li→F (as measured by Δ)
   En; = { a ∈ Li st. fi(a) + fi(a) or fi(-a) + fi(-a) }.

If Sic 1-19 then fi is unique and so Err; is well-defined.

## Soundness Analysis: Distortion

We have intuitively argued that random folding preserves distance with high probability. Let's now formalize what we mean:

clef: Given 
$$f: L \to F$$
 and  $d \in \{0,1\}$  tegeral pointwise  $\rho := d_{|L|}$ 

$$Drop (f, d) := \{ \alpha \in F \mid \Delta(Fold(f, \alpha), RS[F, L^2, d/2]) < d \} \}.$$

theorem: Fix 
$$f: L \supset \mathbb{F}$$
 and set  $S:=\Delta(f,RS[\mathbb{F},L,d])$ . Define  $\delta^*(p):=\frac{1-50}{4}$ 

Hence, in the FRI protocol, the probability that some distortion happens is:

We take a union bund on this bad event, and hereforth assume that no distortion happens. We wish to prove that Pr[reject] & min & E. constants & who do,..., dr. gives no distortion.

# Soundness Analysis: Easy Case

Suppose that P adopts a "consistent but noisy" strategy.

That is, the interaction randomness do, d.,..., d., eff is such that

(1) all functions are within unique decoding  $\frac{AND}{S_0, S_1, ..., S_{r-1}} < \frac{1-p}{2}$  ( $S_r = 0$  always)

(2) the (unique) corrections are ansistent Fold (fo, xo) = fi, ..., Fold (fri, xin) = fr

lemma: Pr[reject] > | Errol = 80

Recall: En: = {a e Lil fila) + fila) or filal + fila)}

proof: Suppose WLOG Hat fo is O on Lo. (If not, subtract fo from fo.)

By (1), we know that: fi is 0 on Li, fi is 0 on Li, fr is 0 on Li.

Also, fr: L+>F is 0 because or=0 and so fr=fr/Lr=0.

Fix Mo E Erro SLo (which determines My-, Mr).

Let je {0,1,-,1} be the largest index s.t.  $M_j \in Enr_j \subseteq L_j$ . (exists because j=0 is an option)

Note that jet because fr = fill so that Err = \$.

By maximality of j, Mit & Enjt so fit (Mit) = fit (Mit) = 0

clain: Fold (f; x; ) (M; ti) + Fold (f; x;) [M; ti) = 0 [here we use x; & Drop (f; vi), M; e Er; & 0]

Hence Fold (fj. oj) (Miti) + fiti (Miti) so the verifier rejects.

## Soundness Analysis: Easy Case

Suppose that P adopts a "consistent but noisy" strategy.

That is, the interaction randomness  $\alpha_0, \alpha_1, \ldots, \alpha_{r,1} \in \mathbb{F}$  is such that

① all functions are within unique decading  $\triangle ND$  ② the (unique) corrections are ansistent  $S_0, S_1, ..., S_{r-1} < \frac{1-p}{2}$  ( $S_r = 0$  always) Fold  $(\hat{f}_0, x_0) = \hat{f}_1, ..., Fold <math>(\hat{f}_{r-1}, x_{r-1}) = \hat{f}_r$ 

claim: Fold (fj,d) (Mj+1) + Fold (fj,d) (Mj+1) = 0 [here we use & Drop (fj,dj), Mj e Erij, & O]

- For every a & Erry, Fold (fi, x) (a2) = fila)+fifal + x; filal-fifal = fila)+fifal + x; filal-fifal = Fold (fi, x) (a2).

  Hence Fold (fi, x) and Fold (fi, x) differ in at most 1 [Erryl = 1 & | Ly| = & | Ly| | locations on Ly+1.

  This implies that Fold (fi, x) = Fold (fi, x) tecause they differ in at most filith | Ly | Ly+1 | locations.
- For every as Err; (i.e.,  $f_i(\alpha) \neq f_i(\alpha)$  or  $f_i(\alpha) \neq f_i(\alpha)$ ) if  $\alpha_i$  is such that  $Fold(f_i,\alpha_i)(\alpha^2) = Fold(f_i,\alpha_i)(\alpha^2)$  then  $\Delta$  ( $f_i(\alpha)$ ),  $f_i(\alpha)$ ) =  $\Delta$  ( $f_i(\alpha)$ ),  $f_i(\alpha)$ ) =  $\Delta$  ( $f_i(\alpha)$ ),  $f_i(\alpha)$ ) <  $\sigma_i$ , which means that  $\alpha_i \in Drop(f_i,\alpha_i)$  [ $\alpha_i = \alpha_i = \alpha_i$ ].
- · We have assumed that ruje Erry and of & Drop(fix) so me conducte that Fold(fix) and Fold(fix) disagree at ri2= rijh.

## Soundness Analysis: Harder Case

Suppose that P jumps to a far or inconsistent function.

That is, the interaction randomness do, d., ..., d., EFF is such that

1 at least one function is far OR 2 the lunique) correction of a close function is inunsistent ∃i∈ {0,1,..., (-13 δi > 1=f (δr= o always) ∃i∈ {0,1,..., r-13 δi < 1=f and Fold(fi, αi) ≠ fir.

lemma: Pr[reject] > min { 1-p, 8(p)}

Recall: Err: = {a & Lil fila) + fila) or fila) + fila)} Faili := {ac Lilfin(a2) & Fold(fixxi)(a)}

proof: Let i be the largest index for which the above holds.

This means that Sitic L=f so fit and Erriti are well-defined.

claim: | Failiti V Erritil > min { 1-p, 8\*(p)} [proved in next slide]

Fix any MOE Lo, which induces My, Mr, -, Mr.

- If it = T then Errit = \$ so Mits & Failit & Errit implies that Mits & Failit and so the verifier rejects.
- If itier then diti,..., dr. are such that:
  - D Siti, ..., Sr-1 < 1=f AND @ Fold (fit, din) = fitz, ..., Fold (fri, dr.) = fr

If Miti E Erit then similarly to the easy case we can conclude that the verifier rejects.

If Min e Failing then (trivially) the verifier rejects. Either way, Min & Failing Erring - verifier rejects

# Soundness Analysis: Harder Case

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Suppose that P jumps to a far or inconsistent function".
That is, the interaction randomness do, d., ..., or, eff is such that
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1 at least one function is far OR 2 the lunique) correction of a close function is inunsistent ∃i∈ {0,1,..., (-1)} δiz = (δi= o always) ∃i∈ {0,1,..., εi} δi< = ond Fold(fi, αi) ≠ fix.

Recall: En; = {a \ Li| fila) \ \display fila) or fil-a) \ \display fila)} Faili := {a \ Li | fin (a2) \ Fold (fin \ a) \ }

- @ If Mit E Lit is not in Errit then fit (Mit) = fit (Mit). If Min ELin is not in Failin then fit (Min) = Fold (fi, xi) (Min).
- D If Siz 1=f then (due to no distoction) Fold (fi, xi) is S(p)-far from RS[F, Lit, dit,] ⇒ find little

  If Siz 1=f then Fold (fi, xi) ≠ fit, so they differ in at least 1[1+1]-d/2in =1-p locations. Hence

  1-ρ ≤ Δ(fi+1|Lin, Fold(fi, αi)|Lin) ≤ Δ(fi+1|Lin, Fold(fi, αi)) + Δ(Fold(fi, αi), Fold(fi, αi)|Lin)

  = Δ(fi+1|Lin, Fold(fi, αi)) + δi < Δ(fi+1|Lin, Fold(fi, αi)) + 1=ρ.

#### On Distortion for FRI

Fix  $f: L \ni \mathbb{F}$  and set  $S:=\Delta(f,RS[\mathbb{F},L,d])$ . Say that we want to prove that:  $P_r[\alpha \in Drop(f,S)] = P_r[\Delta(fold(f,a),RS[\mathbb{F},L,d/2]) < S'] \le E$ for desired S' and E (that can be functions of  $E,\mathbb{F},...$ ).

For this it suffices to prove statements such as the following:

For this it suffices to prove statements such as the following: Given a set SCF, we write Smill for the set of all matrices in F mxn whom nows are in S.

Then for  $V = (-v_m - v_m) \in \mathbb{F}^{m \times n}$ ,  $\Delta(V, S^m) = \min_{m \in \mathbb{F}} \{ \text{cashion } A \text{ cals in } V \text{ to change to get ett in } S^m \}$ .

template lemma: Fix  $v_{1,...,v_{m}} \in \mathbb{F}^{n}$  and a subspace  $S \subseteq \mathbb{F}^{n}$  s.t.  $\Delta(V,S^{m}) \ge d$ Then  $P_{r} \left[\Delta(\alpha_{i}V_{i}+...+\alpha_{m}V_{m},S) < S^{*}\right] \le \varepsilon$ .

The goal follows by setting  $S := RS[F, L^2, d/2]$ ,  $V_1(\Omega^2) := \frac{f(\alpha) + f(-\alpha)}{2}$ ,  $V_2(\Omega^2) := \frac{f(\alpha) - f(-\alpha)}{2\alpha}$ .  $D \Delta(\alpha_1 V_1 + \alpha_2 V_2, S) = \Delta(V_1 + \frac{\alpha_2}{\alpha_1} V_2, S) + (\alpha_1, \alpha_2) \in \mathbb{F}^2 \text{ with } \alpha_1 \neq 0$ 

[if  $[-v_2-]$  differs in  $<\delta$  columns with  $[-\hat{s}_2]=]\in <^{[2]}$  then [from  $\in$  to  $\frac{|F|}{|F|-1}$ .  $\in$  ]

#### Distortion with Half Distance

We prove a simpler statement:

lemma: Fix  $V_{1,...,V_{m}} \in \mathbb{F}^{n}$  and a subspace  $S \subseteq \mathbb{F}^{n} s.t. \supseteq i \in [m] s.t. \Delta(V_{i,s}) \neq 0$ Then  $P_{r} \left[\Delta(\alpha_{i}V_{i}+...+\alpha_{m}V_{m},S) < \frac{8}{2}\right] \leq \frac{1}{|\mathbb{F}|}$ . Stronger assumption: implies  $\Delta(V, S^{Em)}), d$ 

proof: Without loss of generality i=1, in which case we set  $y=\alpha \epsilon V_2 + \cdots + \alpha m V_m$ . Fix arbitrary  $d_2,...,\alpha_m \in \mathbb{F}$ . Suppose by way of contradiction that  $\exists \alpha_1 \neq \alpha_2 \leq 1$ .  $\Delta(\alpha_1 V_1 + y, w) < \delta/2$  and  $\Delta(\alpha_1' V_1 + y, w) < \delta/2$  for some  $w, w' \in S$ . Then we get a contradiction:

 $\Delta(v,s) = \Delta(|\alpha-\alpha'|v,s) \leq \Delta((\alpha-\alpha')v,ww) = \Delta((\alpha v,+y)-(\alpha'v,+y),ww) \leq \Delta(\alpha v,+y,w)+\Delta(\alpha',+y,w) < \delta.$ 

#### Distortion with Distance Preservation

Similarly to before: WLOG i=1 and write  $y=\alpha_2x_2+\cdots+\alpha_mx_m$ ; also, fix arbitrary  $dz_1,...,d_m\in H$ . Since  $\Delta(x_1,S)<2\delta<\delta(S)/2$  there is a unique  $\hat{x}_1\in S$ . Let  $E\subseteq [n]$  be the error locations. Observe that  $\forall j\in E$   $P_i[\exists v\in S:t.(\alpha_ix_i+y_i)[j]=v[j]\wedge\Delta(\alpha_ix_i+y_i,v)<\delta$   $\exists \in I$ .

Indeed, suppose by way of contradiction that  $\exists x_i \neq x_i' \quad s.t.$  for some  $v, v' \in S$ :  $(x_i \times_i + y) = \sum_{i=1}^{n} |x_i \times_i + y| \leq \sum_{i=1}$ 

Here:  $\Delta(x_i, \frac{V_i - V'}{\alpha_i - \alpha'}) < 2\delta$  and, since  $2\delta < \delta(s)/2$ ,  $\hat{x_i} = \frac{V_i - V'}{\alpha_i - \alpha'}$   $\exists j \notin E$ , a contradiction.  $\times_i [j] = (V(j) - V'(j))/(\alpha_i - \alpha')$ 

Thus Pr [ (d(x,+y,s) > 8] > 2r[4 ves (d(x,+y,v) > 8 or +je E,(x,x+y)(j) + v(j)] > 1-1E| > 1-60.