On the Relationship between the Complexity, the Degree, and the Extension of a Computable Set

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ABSTRACT

We consider the equivalence relation $A =_C B$ ("A and B have the same time complexity") $\Leftrightarrow$ (for all time constructible f : $A \in DTIME(f) \Leftrightarrow B \in DTIME(f)$). In this paper we give a survey of the known relationships between this equivalence relation and degree theoretic and extensional properties of sets. Furthermore we illustrate the proof techniques that have been used for this analysis, with emphasis on those arguments that are of interest from the point of view of recursion theory. Finally we will discuss in the last section some open problems and directions for further research on this topic.

1. Introduction.

In the subsequent analysis of the fine structure of time complexity classes we consider the following set of time bounds:

$$T := \{f : \mathbf{N} \to \mathbf{N} \mid f(n) \geq n \text{ and } f \text{ is time constructible on a RAM}\}.$$

f is called time constructible on a RAM if some RAM can compute the function $1^n \mapsto 1^{f(n)}$ in $O(f(n))$ steps. We do not allow arbitrary recursive functions as time bounds in our approach in order to avoid pathological phenomena (e.g. gap theorems [HU], [6]). In this way we can focus on those aspects of complexity classes that are relevant for concrete complexity (note that all functions that are actually used as time bounds in the analysis of algorithms are time constructible).

We use the random access machine (RAM) with uniform cost criterion as machine model (see [3], [1], [15], [19]) because this is the most frequently considered model in

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algorithm design, and because a RAM allows more sophisticated diagonalization - constructions than a Turing machine. It does not matter for the following which of the common versions of the RAM-model with instructions for ADDITION and SUBTRACTION of integers is chosen (note that it is common to exclude MULTIPLICATION of integers from the instruction set in order to ensure that the computation time of the RAM is polynomially related to time on a Turing machine). In order to be specific we consider the RAM model as it was defined by Cook and Reckhow [3] (we use the common "uniform cost criterion" [1], i.e. $l(n) = 1$ in the notation of [3]). This model consists of a finite program, an infinite array $X_0, X_1, \ldots$ of registers (each capable of holding an arbitrary integer), and separate one-way input- and output-tapes. The program consists of instructions for ADDITION and SUBTRACTION of two register contents, the conditional jump "TRA m if $X_i > 0$" which causes control to be transferred to line m of the program if the current content of register X_i is positive, instructions for the transfer of register contents with indirect addressing, instructions for storing a constant, and the instruction "READ X_i" (transfer the content of the next input cell on the input-tape to register X_i) and "PRINT X_i" (print the content of register X_i on the next cell of the output-tape).

The computation time of a RAM for input x is the number of instructions that it executes for this input. One says that a RAM is of time complexity f if for every $n \in \mathbf{N}$ and every $x \in \{0,1\}^n$ its computation time for input x is $\leq f(n)$. The relationship between computation time on RAM's and Turing machines is discussed in [3] (Theorem 2), [1] (section 1.7), and [19] (chapter 3). It is obvious that a multi-tape Turing machine of time complexity $t(n)$ can be simulated by a RAM of time complexity $O(t(n))$. With a little bit more work (see [19]) one can construct a simulating RAM of time complexity $O(n + (t(n)/\log t(n)))$ (assuming that the output has length $O(n + (t(n)/\log t(n)))$). We define

$$DTIME(f) := \left\{ A \subseteq \{0,1\}^* \;\middle|\; \begin{array}{l} \text{there is a RAM of time complexity} \\ O(f) \text{ that computes } A \end{array} \right\}.$$

For A and B contained in $\{0,1\}^*$ (the set of all finite binary sequences) we define

$$A \leq_C B :\Leftrightarrow \forall f \in T(B \in DTIME(f) \Rightarrow A \in DTIME(f))$$

and

$$A =_C B :\Leftrightarrow \forall f \in T(A \in DTIME(f) \Leftrightarrow B \in DTIME(f)).$$

Intuitively, $A =_C B$ if A and B have the same deterministic time complexity. The $=_C$-equivalence classes are called *complexity types*. We write $\mathbf{0}$ for $DTIME(n)$, which is the smallest complexity type. Note that for every complexity type $\mathcal{C}$ and every $f \in T$ one has either $\mathcal{C} \subseteq DTIME(f)$ or $\mathcal{C} \cap DTIME(f) = \emptyset$.

Remark. Geske, Huynh and Selman [5] have considered the related partial order "the complexity of A is polynomially related to the complexity of B", and the associated equivalence classes ("polynomial complexity degrees"). Our results for complexity types (e.g. Theorems 5 and 6 below) provide corresponding results also for polynomial complexity degrees.

In order to prove results about the structure of complexity types one needs a technique to construct a set within a given time complexity while simultaneously controlling its other properties. It is less difficult to ensure that a constructed set is of complexity type $\mathcal{C}$ if one can associate with $\mathcal{C}$ an "optimal" time bound $f_{\mathcal{C}} \in T$ such that for all sets $X \in \mathcal{C}$

$$\{f \in T \mid X \in DTIME(f)\} = \{f \in T \mid f = \Omega(f_{\mathcal{C}})\}.$$

In this case, we call $\mathcal{C}$ a *principal* complexity type. Blum's speed-up theorem [2] asserts that there are complexity types that are not principal. For example, there is a complexity type $\mathcal{C}$ such that for every $X \in \mathcal{C}$,

$$\{f \in T \mid X \in DTIME(f)\} = \left\{f \in T \mid \exists i \in \mathbf{N}\left(f(n) = \Omega\left(\frac{n^2}{(\log n)^i}\right)\right)\right\}.$$

Note that this effect occurs even if one is only interested in time constructible time bounds (and sets X of "low" complexity).

In order to prove our results also for complexity types which are non-principal, we show that in some sense the situation of Blum's speed- up theorem (where we can characterize the functions f with $X \in DTIME(f)$ with the help of a "cofinal" sequence of functions) is already the worst that can happen (unfortunately this is not quite true, since we cannot always get a cofinal sequence of functions f_i with the same nice properties as in Blum's speed-up theorem). More precisely: we will show that each complexity type can be characterized by a cofinal sequence of time bounds with the following properties.

Definition. $(t_i)_{i\in\mathbf{N}} \subseteq \mathbf{N}$ is called a *characteristic sequence* if $t : i \mapsto t_i$ is recursive and
(1) $\forall i \in \mathbf{N}(\{t_i\} \in T$ and program t_i is a witness for the time-constructibility of $\{t_i\})$;
(2) $\forall i, n \in \mathbf{N}(\{t_{i+1}\}(n) \leq \{t_i\}(n))$.

Definition. Assume that $A \subseteq \{0,1\}^*$ is an arbitrary set and $\mathcal{C}$ is an arbitrary complexity type. One says that $(t_i)_{i\in\mathbf{N}}$ is *characteristic for* A if $(t_i)_{i\in\mathbf{N}}$ is a characteristic sequence and

$$\forall f \in T(A \in DTIME(f) \Leftrightarrow \exists i \in \mathbf{N}(f(n)) = \Omega(\{t_i\}(n)))).$$

One says that $(t_i)_{i\in\mathbf{N}}$ is *characteristic for* $\mathcal{C}$ if $(t_i)_{i\in\mathbf{N}}$ is characteristic for some $A \in \mathcal{C}$ (or equivalently: for all $A \in \mathcal{C}$).

Remark. The idea of characterizing the complexity of a recursive set by a sequence of "cofinal" complexity bounds is rather old (see e.g. [17], [10], [LY], [20], [MW]). However none of our predecessors exactly characterized the time complexity of a recursive set in terms of a uniform cofinal sequence of time constructible time bounds. This is the form of characterization which we employ in later proofs. [10] and [MW] give corresponding results for space complexity of Turing-machines. Their results exploit the linear speed-up theorem for space complexity on Turing-machines, which is not available for time complexity on RAM's. Time complexity on RAM's has been considered in [20], but only sufficient conditions are given for the cofinal sequence of time bounds (these conditions are stronger than ours). The more general results on complexity sequences in axiomatic complexity theory ([17], [20]) involve "overhead functions", or deal with nonuniform sequences, which makes the specialization to the notions considered here impossible. Because of the lack of a fine time hierarchy theorem for multi-tape Turing-machines, it is an open problem whether one can give a similar characterization for the Turing machine time complexity of a recursive set.

The relationship between complexity types and characteristic sequences is clarified in Section 2 of this paper. Theorem 1 states that one can associate with every complexity type $\mathcal{C}$ of recursive sets a sequence $(t_i)_{i\in\mathbf{N}}$ that is characteristic for $\mathcal{C}$. This fact will be used in most of the subsequent results. We show in Theorem 2 that the converse of Theorem 1 is also true: for every characteristic sequence $(t_i)_{i\in\mathbf{N}}$ there exists a complexity type $\mathcal{C}$ such that $(t_i)_{i\in\mathbf{N}}$ is characteristic for $\mathcal{C}$. We give a complete proof of Theorem 2, since this proof provides the simplest example of the new finite injury priority argument that occurs as sub-strategy in the proofs of most of our subsequent results.

As an immediate consequence of the proofs of these results we show in Theorem 3 that every complexity type contains a sparse set. As another consequence we get in Theorem 4 that the complexity types of computable sets form a lattice under the partial order $\leq_C$.

In Section 3 we show that with the help of these tools one is able to prove sharper versions of various familiar results about polynomial time degrees. It is shown in Theorem 5 that every complexity type outside of P contains sets of incomparable polynomial time Turing degree. In Theorem 6 we construct a complexity type that contains a minimal pair of polynomial time Turing degrees. A comparison of the proofs of these results with the proofs of the related results by Ladner [7] and Landweber, Lipton, Robertson [8] shows that the sharper versions which are considered here pose a more serious challenge to our construction techniques (we apply finite injury priority arguments and a constructive version of Cohen forcing).

In Section 4 we use the concepts and techniques that are introduced in this paper for an investigation of the fine structure of P. We show in Theorem 7 that in P each complexity type $\mathcal{C} \neq \mathbf{0}$ contains a rich structure of linear time degrees, and we show

in Theorem 8 that these degree structures are not all isomorphic (in particular we characterize those $\mathcal{C}$ that have a maximal linear time degree). The proofs of these two theorems provide evidence that finite injury priority arguments are not only relevant for the investigation of sets "higher up", but also for the analysis of the finite structure of P.

In Section 5 we study the partial order of sets in a given complexity type under inclusion (modulo finite sets). We show that this partial order is dense, and we prove a splitting theorem for arbitrary sets in any given complexity type.

Finally, in Section 6 we will discuss some open problems.

The main results of this paper have previously been reported in the extended abstracts [12], [13].

2. The Relationship between Complexity Types and Characteristic Sequences.

Theorem 1. ("inverse of the speed-up-theorem for time on RAM's"). *For every recursive set A there exists a sequence $(t_i)_{i\in\mathbf{N}}$ that is characteristic for A.*

We refer to [14] for a proof of this result (the technique of this proof is not needed for the proofs of the subsequent results.)

In the proof of Theorem 8 we will need the following stronger version of Theorem 1.

Corollary 1. For every recursive set A there exist recursive sequences $(t_i)_{i\in\mathbf{N}}$, $(c_i)_{i\in\mathbf{N}}$, $(d_i)_{i\in\mathbf{N}}$, $(e_i)_{i\in\mathbf{N}}$ such that

$(t_i)_{i\in\mathbf{N}}$ is characteristic for A

$\{t_i\}(n)$ converges in $\leq c_i \cdot \{t_i\}(n)$ steps for all $i, n \in \mathbf{N}$

$\{e_i\} =^* A$ and $\{e_i\}(x)$ converges in $\leq d_i \cdot \{t_i\}(|x|)$ steps, for all $i \in \mathbf{N}$, $x \in \{0,1\}^*$.

□

Theorem 2. ("refinement of the speed-up-theorem for time on RAM's"). *For every characteristic sequence $(t_i)_{i\in\mathbf{N}}$ there is a set A such that $(t_i)_{i\in\mathbf{N}}$ is characteristic for A.*

PROOF: Fix an arbitrary characteristic sequence $(t_i)_{i\in\mathbf{N}}$, and a sequence $(K_i)_{i\in\mathbf{N}}$ of numbers such that $\{t_i\}(n)$ converges in $\leq K_i \cdot \{t_i\}(n)$ steps, for all $i, n \in \mathbf{N}$.

The claim of the theorem does not follow from any of the customary versions of Blum's speed-up-theorem [2], because it need not be the case that $\{t_i\} = o(\{t_{i-1}\})$. In fact it may occur that $\{t_i\} = \{t_{i-1}\}$ for many (or even for all) $i \in \mathbf{N}$. Even worse, one may have that $K_i \cdot \{t_i\}(n) > K_{i-1} \cdot \{t_{i-1}\}(n)$ for many $i, n \in \mathbf{N}$ (this may occur for example in the characteristic sequences that arise from the construction of Theorem 1 if i does not encode a "faster" algorithms $(i)_0$ of time complexity $\{(i)_1\}(n) < \{t_{i-1}\}(n)$; in this case one may have that $\{t_i\}(n) = \{t_{i-1}\}(n)$ and the computation of $\{t_i\}(n)$ takes

longer than the computation of $\{t_{i-1}\}(n)$ because the former involves simulations of both $\{t_{i-1}\}(n)$ and $\{(i)_1\}(n)$). Therefore it is more difficult than in Blum's speed-up-theorem to ensure in the following proof that the constructed set A satisfies $A \in DTIME(\{t_i\})$ for every $i \in \mathbf{N}$. To achieve $A \in DTIME(\{t_i\})$ it is no longer enough to halt for all $j \geq i$ the attempts towards making $A(x) \neq \{j\}(x)$ after $\{t_j\}(|x|)$ steps, because the value of $\{t_j\}(|x|)$ may only be known after $K_j \cdot \{t_j\}(|x|)$ steps and it is possible that

$$\lim_{j,n\to\infty} \frac{K_j \cdot \{t_j\}(n)}{\{t_i\}(n)} = \infty.$$

Instead, in the following construction one simulates together with $\{j\}(x)$ and $\{t_j\}(|x|)$ also the computations $\{t_0\}(|x|), \ldots, \{t_{j-1}\}(|x|)$. That one of these $j+2$ computations which converges first will halt the computation of $A(x)$. It is somewhat delicate to implement these simultaneous simulations of $j+2$ computations (where j grows with $|x|$) in such a way that for each fixed $i \in \mathbf{N}$ the *portion* of the total computation time for $A(x)$ that is devoted to the simulation of $\{t_i\}(|x|)$ does not shrink when j grows to infinity (obviously this property is needed to prove that $A \in DTIME(\{t_i\})$).

In the following we construct a RAM R that computes a set A for which $(t_i)_{i\in\mathbf{N}}$ is a characteristic sequence. We fix some coding of RAM's by binary strings analogously as in [3]. We arrange that each code for a RAM is a binary string without leading zeros, so that one can also view it as binary notation for some number $j \in \mathbf{N}$. We assume that the empty string codes the "empty" RAM (which has no instructions). Thus one can associate with each binary string x the longest initial segment of x that is a code for a RAM, which will be denoted by j_x in the following.

The RAM R with input $x \in \{0,1\}^*$ acts as follows. It first checks via "looking back" for $|x|$ steps whether the requirement "$A \neq \{j\}$" for $j := j_x$ has already been satisfied during the first $|x|$ steps of the construction (for shorter inputs). If the answer is "yes", R decides without any further computation that $x \notin A$. If the answer is "no", R on input x dovetails the simulations of $t_0, \ldots, t_j$ on input $|x|$ and of j on input x in the following manner. The simultaneous simulation proceeds in phases $p = 0, 1, 2, \ldots$ At the beginning of each phase p the RAM R simulates one more step of j on input x. If m_j is the number of steps that R has used to simulate this step of j on input x, then R simulates subsequently m_j steps of t_j on input $|x|$. If m_{j-1} is the number of steps that R has used so far in phase p (for the simulation of one step of j on x and m_j steps of t_j on $|x|$), then R simulates subsequently m_{j-1} steps of t_{j-1} on input $|x|$; etc. If the number of steps that R spends in phase p exceeds $|x|$, R immediately halts and rejects x.

If R has finished phase p (by simulating m_0 steps of t_0 on input $|x|$, where m_0 is the total number of steps which R has spent in phase p for the simulation of $t_1, \ldots, t_j$ on $|x|$ and j on x) and none of the $j+2$ simulated computations has reached a halting state during phase p, then R proceeds to phase $p+1$.

If the computation of j on input x has converged during phase p then R puts x into A if and only if $\{j\}(x) = 0$. With this action the requirement "$A \neq \{j\}$" becomes satisfied and the computation of R on input x is finished.

If j on input x has not converged during phase p, but one of the other $j+1$ simulated computations (of $t_0, \ldots, t_j$ on $|x|$) converges during phase p, then R decides that $x \notin A$ and halts.

We now describe some further details of the program of R in order to make a precise time analysis possible.

In order to avoid undesirable interactions R reserves for each simulated RAM a separate infinite sequence ARRAY_k of registers, where ARRAY_k consists of the registers

$$X_{2^{k+1}\cdot(2j+1)}, j = 0, 1, 2, \ldots$$

Furthermore we specify for each $k \in \mathbf{N}$ a sub-array MEMORY_k of ARRAY_k, consisting of the registers $X_{2^{k+1}\cdot(2j+1)}$ for $j = 0, 2, 4, \ldots$ in ARRAY_k. For each $k \in \mathbf{N}$ the constructed RAM R uses ARRAY_k for the simulation of the RAM coded by t_k (more precisely: R uses MEMORY_k to simulate the registers of the RAM t_k, and it uses the remaining registers in ARRAY_k to store the program that is coded by t_k). Furthermore R uses ARRAY_{j+1} to simulate the RAM coded by $j = j_x \in \mathbf{N}$ (this does not cause a conflict since j and t_{j+1} are never simultaneously simulated).

We have made these arrays explicit because in order to simulate a step of the k-th one of these machines that involves, say, the i-th register of that machine, R has to compute on the side (via iterated additions) the "real" address $2^{k+1} \cdot (2 \cdot 2i + 1)$ of the corresponding register in MEMORY_k. The number of steps required by this side-computation depends on k, but is independent of i. Therefore there exist constants $c(k), k \in \mathbf{N}$, that bound the number of steps that R has to spend to simulate a single step of the k-th one of these machines. It is essential that for any fixed $k \leq j_x + 1$ this constant $c(k)$ is independent of the number $j_x + 2$ of simulated machines for input x (this follows from the fact that ARRAY_k is independent of j_x).

At the beginning of its computation on input x the RAM R computes $j := j_x$. Then R "looks back" for $|x|$ steps to check whether "$A \neq \{j\}$" has already been satisfied at some argument x' such that j_x is a prefix of x' and x' is a prefix of x. Let $x_1, \ldots, x_k$ be a list of all such binary strings x' (ordered according to their length). We implement the "looking back" for argument x as follows. For each of the shorter inputs $x_1, x_2, \ldots$ (one after the other) R carries out the same computation as discussed below for x. If it turns out after $|x|$ steps of this subcomputation that for one of these arguments x_i ($i \in \{1, \ldots, k\}$) the construction satisfied the requirement $A \neq \{j\}$, then R immediately halts and rejects x (note that for the first such x_i we actually have then $A(x_i) \neq \{j\}(x_i)$). Otherwise R continues the computation on input x as follows. R calls a program for the recursive function $i \mapsto t_i$ and uses it to compute the numbers $t_0, \ldots, t_j$. Afterwards

R "decodes" each of the programs t_i ($i \in \{0, \ldots, j\}$), which are given as binary string (the binary representations of the number $t_i \in \mathbf{N}$). R uses for each instruction S of program t_i 4 registers in ARRAY_i (that are not in MEMORY_i) to store the opcode and the up to three operands of S (similarly as in the proof of Theorem 3 in [3]). In the same way R "decodes" the program j.

If this preprocessing phase of R on input x takes more than $100 \cdot |x|$ steps (in addition to the steps spend on "looking back") then R immediately halts and rejects x.

During the main part of its computation (while it simulates $t_0, \ldots, t_j, j$) R maintains in its odd-numbered registers (which do not belong to any of the arrays ARRAY_k) two counters that count the total number of steps that have been spent so far in the current phase p, as well as the number of steps of the currently considered program that have already been simulated during phase p. In order to allow enough time for the regular updating of both counters, as well as for the regular comparison of the values of both counters with the preset thresholds $(|x|, m_i)$, it is convenient to add every c steps the number c to each counter (where $c \in \mathbf{N}$ is a sufficiently large constant in the program of R).

In addition R stores in its odd-numbered registers the input x, j_x, the number of the currently simulated program, and for each of the simulated programs the address of the register that contains the opcode for the next instruction that has to be executed for that program. With this information R can resume the simulation of an earlier started program without any further "overhead steps" because each simulated program only acts on the registers in its "own" array ARRAY_k. Of course R always has to spend several steps to simulate a single instruction of any of the stored programs $t_0, \ldots, t_j, j$. It has to apply a series of branching instructions in order to go from the stored (numerical) value of the opcode in ARRAY_k to the actual instruction in its own program that corresponds to it, and it has to calculate the "real" addresses of the involved registers in MEMORY_k. However it is obvious that for each simulated program k there exists a constant $c(k)$ (independent from $j = j_x$ and x) that bounds the number of steps that R has to spend to simulate a single instruction of program k.

We now verify that $(t_i)_{i \in \mathbf{N}}$ is characteristic for A.

Claim 1. $A \in DTIME(\{t_i\})$ for every $i \in \mathbf{N}$.

PROOF: Fix i and set $S_i := \{x \in \{0,1\}^* \mid j_x < i\}$. Every $\tilde{x} \in S_i \cap A$ is placed into A in order to satisfy the requirement "$A \neq \{j\}$" for some $j < i$. We then have $A(\tilde{x}) \neq \{j\}(\tilde{x})$, and for sufficiently longer inputs x with $j_x = j$ the constructed RAM R finds out during the first part of its computation on input x (while "looking back" for $|x|$ steps) that the requirement "$A \neq \{j\}$" has already been satisfied. This implies that $x \notin A$. Thus for each $j < i$ only finitely many $\tilde{x}$ are placed into A in order to satisfy the requirement "$A \neq \{j\}$". Therefore $S_i \cap A$ is finite. Since $S_i \in DTIME(n)$ it only remains to prove that $\overline{S_i} \cap A \in DTIME(\{t_i\})$.

We show that R uses for every input $x \in \overline{S}_i$ at most $O(\{t_i\}(|x|))$ computation steps. By assumption we have $\{t_i\}(|x|) \geq |x|$, and therefore R uses only $O(\{t_i\}(|x|))$ steps in its preprocessing phase for input x.

We had fixed constants $K_i \in \mathbf{N}$ such that the computation of program t_i on input n consists of $\leq K_i \cdot \{t_i\}(n)$ steps (for all $n \in \mathbf{N}$). By construction the total number of steps that R spends for input x on the simulation of $j := j_x$ on x and of $t_{i+1}, \ldots, t_j$ on $|x|$ is bounded by $|x| + T_{i,x}$, where $T_{i,x}$ is the number of computation steps of program t_i on input $|x|$ that are simulated by R on input x. By construction we have $T_{i,x} \leq K_i \cdot \{t_i\}(|x|) + |x|$ (because the computation of R on x is halted at the latest at the end of the first phase p where $\{t_i\}(|x|)$ is seen to converge, and no phase p consists of more than $|x|$ steps of R).

Furthermore we know that there is a constant $c(t_i)$ that bounds the number of steps that R needs to simulate a single instruction of t_i. Thus R spends $\leq c(t_i) \cdot T_{i,x} = O(\{t_i\}(|x|))$ steps on the simulation of $t_{i+1}, \ldots, t_j$ on $|x|$ and j on x. Furthermore the number of "overhead steps" of R for the updating of counters, the comparison of their values with preset thresholds, and the switching of programs can be bounded by a constant times the number of steps that R spends on the actual simulations. Thus it just remains to be shown by induction on $i - k$ that R on input $x \in \overline{S}_i$ spends for every $k < i$ altogether at most $O(\{t_i\}(|x|))$ steps on the simulation of t_k on $|x|$. However this follows immediately from the construction, using the definition of the parameters m_k and the observation that the constants $c(t_k)$ do not depend on x.

Claim 2. Let $U(j,n)$ be the maximal number of steps that program j uses on an input of length n. Then:

$$A = \{j\} \Rightarrow U(j,n) = \Omega(\{t_j\}(n)).$$

PROOF: Fix any $j \in \mathbf{N}$ such that $A = \{j\}$. Assume for a contradiction that it is not the case that $U(j,n) = \Omega(\{t_j\}(n))$, i.e. we have $\sup_n \frac{\{t_j\}(n)}{U(j,n)} = \infty$. We show that then the requirement "$A \neq \{j\}$" gets satisfied at some argument x with $j_x = j$.

Obviously we have for all sufficiently long x with $j_x = j$ that the computation of R on x does not get halted prematurely because the preprocessing phase takes too many steps, or because a phase p in the main part of the computation requires more than $|x|$ steps. Furthermore for each $i \leq j$ there exists by construction a constant c_i such that for all x with $j_x = j$ R simulates for each step in the computation of j on x at most c_i steps in the computation of t_i on input $|x|$. Therefore our assumption $\sup_n \frac{\{t_j\}(n)}{U(j,n)} = \infty$ together with the fact that $\{t_0\}(n) \geq \ldots \geq \{t_j\}(n)$ for all $n \in \mathbf{N}$ implies that there is some x with $j_x = j$ so that R on input x does not halt prematurely because some $\{t_i\}(|x|)$ with $i \leq j$ is seen to converge before $\{j\}(x)$ is seen to converge. For such input x the RAM R succeeds in satisfying the requirement "$A \neq \{j\}$" by setting $A(x) \neq \{j\}(x)$. This contradiction completes the proof of Claim 2.

Claim 1 and Claim 2 together imply the claim of the theorem. □

As an immediate consequence we get from the preceding two theorems the following result (recall that $S \subseteq \{0,1\}^*$ is called **sparse** if there is a polynomial p such that $\forall n(|\{x \in S \mid |x| = n\}| \leq p(n))$; see [16] for a contrasting result about sparse sets).

Theorem 3. *Every complexity type contains a sparse set.*

PROOF: Let $\mathcal{C}$ be an arbitrary complexity type. By Theorem 1 there exists some sequence $(t_i)_{i\in\mathbf{N}}$ which is characteristic for $\mathcal{C}$. In order to get a sparse set S such that $(t_i)_{i\in\mathbf{N}}$ is characteristic for S we use a variation of the proof of Theorem 2. In this variation of the construction one never places x into the constructed set unless $|j_x| \leq \log|x|$. □

Remarks.

1. It is an open problem whether every complexity type contains a tally set.
2. Further results about the relationship between extensional properties of a set and its complexity type can be found in Section 5.

It is obvious that the partial order $\leq_C$ on sets (which was defined in Section 1) induces a partial order $\leq_C$ on complexity types. In this paper we are not concerned with the structure of this partial order $\leq_C$, however we want to mention the following immediate consequence of Theorems 1 and 2.

Theorem 4. *The complexity types of computable sets with the partial order $\leq_C$ form a lattice. Furthermore, if the characteristic sequence $(t'_i)_{i\in\mathbf{N}}$ is characteristic for the complexity type $\mathcal{C}'$ and the characteristic sequence $(t''_i)_{i\in\mathbf{N}}$ is characteristic for the complexity type $\mathcal{C}''$, then some sequence $(t_i^{\min})_{i\in\mathbf{N}}$ with $\{t_i^{\min}(n)\} = \min(\{t'_i\}(n), \{t''_i\}(n))$ is characteristic for the infimum $\mathcal{C}' \wedge \mathcal{C}''$ of $\mathcal{C}'$, $\mathcal{C}''$, and some sequence $(t_i^{\max})_{i\in\mathbf{N}}$ with $\{t_i^{\max}\}(n) = \max(\{t'_i\}(n), \{t''_i\}(n))$ is characteristic for the supremum $\mathcal{C}' \vee \mathcal{C}''$ of $\mathcal{C}'$, $\mathcal{C}''$.*

PROOF: The key fact for the proof is the following elementary observation. Consider any two sets $T, S \subseteq \{0,1\}^*$ and characteristic sequences $(t_i)_{i\in\mathbf{N}}$ and $(s_i)_{i\in\mathbf{N}}$ such that $(t_i)_{i\in\mathbf{N}}$ is characteristic for T and $(s_i)_{i\in\mathbf{N}}$ is characteristic for S. Then

$$T \geq_C S \Leftrightarrow \forall i \exists j(\{t_i\} = \Omega(\{s_j\})).$$

In order to prove the claim of the theorem one first has to verify that one can find programs $t_i^{\min}$, $t_i^{\max}$ for $\min(\{t'_i\}, \{t''_i\})$, respectively $\max(\{t'_i\}, \{t''_i\})$, so that $(t_i^{\min})_{i\in\mathbf{N}}$ and $(t_i^{\max})_{i\in\mathbf{N}}$ are characteristic sequences. The only nontrivial point is the requirement to define the recursive function $i \mapsto t_i^{\min}$ in such a way that for all $i \in \mathbf{N}$, $\{t^{\min}\}(n) = \min(\{t'_i\}(n), \{t''_i\}(n))$ **and** $t_i^{\min}$ is a witness for the time constructibility of this function. In order to achieve this, it is essential that program $t_i^{\min}$ "knows" time constructibility factors c'_i, c''_i such that $\{t'_j\}(n)$ converges in $\leq c'_i \cdot \{t'_i\}(n)$ steps and $\{t''_i\}(n)$ converges

in $\leq c_i'' \cdot \{t_i''\}(n)$ steps. Since program $t_i^{\min}$ has to compute $\min(\{t_i'\}(n), \{t_i''\}(n))$ in a time constructible fashion, it needs c_i', c_i'' in order to know when it is "safe" to abandon the simulation of the longer one of the two computations $\{t_i'\}(n)$, $\{t_i''\}(n)$ (after the shorter one has converged). But this is no problem, since the proof of Theorem 1 shows (as in the corollary to Theorem 1) that one can assume without loss of generality that recursive sequences $(c_i')_{i\in\mathbf{N}}$, $(c_i'')_{i\in\mathbf{N}}$ of time constructibility factors are given together with the characteristic sequences $(t_i')_{i\in\mathbf{N}}$ and $(t_i'')_{i\in\mathbf{N}}$.

Since $(t_i^{\min})_{i\in\mathbf{N}}$ is a characteristic sequence, there exists by Theorem 2 a set $T^{\min} \subseteq \{0,1\}^*$ such that $(t_i^{\min})_{i\in\mathbf{N}}$ is characteristic for $T^{\min}$. Let $\mathcal{C}^{\min}$ be the complexity type of $T^{\min}$. It is obvious that $\mathcal{C}^{\min} \leq_C \mathcal{C}'$ and $\mathcal{C}^{\min} \leq_C \mathcal{C}''$. In order to show that $\mathcal{C}^{\min}$ is the infimum of $\mathcal{C}'$ and $\mathcal{C}''$, one has to verify for an arbitrary complexity type $\mathcal{C}$ with $\mathcal{C} \leq_C \mathcal{C}'$ and $\mathcal{C} \leq_C \mathcal{C}''$ that $\mathcal{C}^{\min} \geq_C \mathcal{C}$. Let the sequence $(t_i)_{i\in\mathbf{N}}$ be characteristic for $\mathcal{C}$ ($(t_i)_{i\in\mathbf{N}}$ exists by Theorem 1). The key fact at the beginning of this proof implies that $\forall i \exists j(\{t_i'\} = \Omega(\{t_j\}))$ and $\forall i \exists j(\{t_i''\} = \Omega(\{t_j\}))$. Hence $\forall i \exists j(\{t_i^{\min}\} = \Omega(\{t_j\}))$, which implies that $\mathcal{C}^{\min} \geq_C \mathcal{C}$.

One verifies analogously that the complexity type $\mathcal{C}^{\max}$ which is defined by $(t_i^{\max})_{i\in\mathbf{N}}$ is the supremum of $\mathcal{C}'$, $\mathcal{C}''$ with regard to $\leq_C$. □

3. Time Complexity versus Polynomial Time Reducibility.

In this section we study the relationship between the complexity type of a set and its polynomial time Turing degree. We first introduce the customary recursion theoretic vocabulary for the discussion of priority constructions. One important part of the following constructions is the construction technique of Theorem 2, which allows us to control the complexity type of a set that is constructed to meet various other requirements. Therefore we will review briefly the construction of Theorem 2 in recursion theoretic terms.

A *stage* is just an integer s viewed in the context of a definition by recursion. A *strategy* is just an algorithm to determine the action taken during stage n, recursively based on various parameters of the construction. Typically, a strategy is used to show that the sets being constructed have some specific property; we call this a *requirement.* We organize our attempts to satisfy the requirements in some order which we call the *priority ordering.* If requirement Q comes before requirement R, we say that Q has *higher priority* and R has *lower priority.*

In the construction of Theorem 2 we built A to satisfy two families of requirements. For each i, A had to be computable on a RAM, running in time $O(\{t_i\})$. Second, any RAM that computed A had to operate with time $\Omega(\{t_i\})$, for some i. We assigned priority by interleaving the two types of requirements in order of their indices.

For an element of the first family of requirements, we used a strategy which imposed a sequence of time controls on the construction. The behavior of the ith strategy was to terminate all action of lower priority in determining $A(x)$ once the construction had executed sufficiently many phases to exceed $\{t_i\}(|x|)$ many steps. Suppose that strategies of higher priority only act finitely often to cause A to accept strings. Then, using the finite data describing the higher priority activity we can correctly compute A at x in time $O(\{t_i\})$ by first checking the data for an answer at x. If the value of A at x is not included in the data then we run the construction until the ith time control strategy calls a halt to lower priority activity. We then read off the answer.

For each of the second family of requirements, we used a diagonalization strategy. Namely, if $\{i\}$ ever converges at an argument x before a strategy of higher priority terminates our action then we define A at x to make $A(x) \neq \{i\}(x)$. By our association of at most one diagonalization strategy to each string, the two possibilities were for $\{i\}$ to disagree with A or to have running time $\Omega(\{t_i\})$. The latter being the case when diagonalization is impossible since the time control associated with higher priority strategies terminates the diagonalization attempt at every string.

We collectively refer to the time control and diagonalization strategies as the *$\mathcal{C}$-strategies.*

The proof that the sequence $(t_j)_{j\in\mathbf{N}}$ is characteristic for A has two essential features. The first is that each of the constituent strategies is injured finitely often. The jth time control strategy s_j is injured when the value of A at x is determined differently from the one assumed by s_j. In the proof of Theorem 2, this occurs when the value of A is determined by a diagonalization strategy with index less than j. The second feature, which occurs on a higher level, is that no single move in the construction prohibits the subsequent application and complete implementation of further time control and diagonalization strategies.

With this in mind, we can look for other families of strategies, which are compatible with the $\mathcal{C}$-strategies, to produce interesting examples within a given complexity type. Our next result compares complexity with relative computability.

A Turing reduction is given by a RAM M, augmented with the ability to query an oracle as to whether it accepts the query string. We evaluate M relative to A by answering all queries with the value of A on the query string. M specifies a polynomial time Turing reduction if there is a polynomial g such that for every oracle A and every string x, the evaluation of M with input x halts in less than $g(|x|)$ steps. Say that B is polynomial time Turing reducible to A, if there is a polynomial time Turing reduction that, when evaluated on a string x relative to A returns value $B(x)$. We use the term *Turing* reduction to avoid confusion with the related notion of many-one reduction. Note, the choice of RAM's in the definition of polynomial time Turing reduction is not important; for example, the same class is obtained using any of a variety of machine models.

Theorem 5. *A complexity type $\mathcal{C}$ contains sets A and B that are incomparable with regard to polynomial time Turing reductions if and only if $\mathcal{C} \not\subseteq P$.*

PROOF: Let $\mathcal{C}$ be fixed and let $(t_i)_{i\in N}$ be characteristic for $\mathcal{C}$. We build A and B and use the $\mathcal{C}$-strategies to ensure that A and B belong to $\mathcal{C}$. In addition, we ensure for each polynomial time Turing reduction $\{e\}$,

$$\begin{aligned} \{e\}(A) = B &\implies \mathcal{C} \subseteq P \\ \{e\}(B) = A &\implies \mathcal{C} \subseteq P. \end{aligned} \tag{3.1}$$

We will describe the strategies for the new requirement, the *inequality strategies*. In fact, since they are symmetric, we only describe the strategy to ensure the first of the two implications in 3.1. These strategies are combined with the earlier ones using the same combinatorial pattern as before.

We describe the eth new strategy. We first arrange, by a variation of looking back, that no strategy of lower priority is implemented until we have established $\{e\}(A, x) \neq B(x)$ for some specific string x. Let l_0 be the greatest length of a string which is accepted into A or B by the effect of a strategy of higher priority. Let A_0 and B_0 be A and B restricted to strings of length less than or equal to l_0. Again, by looking back, we may assume that A_0, B_0 and l_0 are known. For each length l, we use a string x_l of length l to attempt to establish the inequality. (The choice of x_l is made to ensure that x_l is will not even potentially be used by some strategy of higher priority.) We simulate the computation relative to the oracle that is equal to A_0 on strings of length less than l_0 and empty elsewhere. If we are able to complete the simulation without being canceled by a time control strategy of higher priority, then we define $B(x_l)$ to disagree with the answer returned by the simulation.

There are two possible outcomes for this strategy. We could succeed in establishing the inequality between $\{e\}(A)$ and B. In this case, the inequality strategy is compatible with the $\mathcal{C}$-strategies. It only requires that finitely may strings are in B and it places no permanent impediment to the implementation of all of the $\mathcal{C}$-strategies. These are the two features we already isolated as determining compatibility.

On the other hand, the inequality between $\{e\}(A)$ and B might never be established. This can only occur if for every l, the inequality strategy is terminated before completion of its simulation of $\{e\}(A, x_l)$ by some time control strategy of higher priority. But then the time control imposed by that higher priority strategy must be polynomial, since it is bounded by a constant times the running time of $\{e\}$. In this case, $\mathcal{C}$ is contained in P.

Thus, either the inequality strategies are compatible with the $\mathcal{C}$-strategies and we may use the framework developed earlier to build A and B in $\mathcal{C}$ of incomparable polynomial time Turing degree or $\mathcal{C}$ is contained in P. □

The inequality strategies are, in some ways, simpler than the $\mathcal{C}$-strategies. In the style of Ladner's early constructions [7], they act to establish an inequality during the first opportunity to do so. If no opportunity arises, we conclude that $\mathcal{C}$ is contained in P. On the other hand, these strategies have a feature not appearing in the earlier argument. If an inequality strategy never finds a string at which it can establish the desired inequality, then it completely halts the implementation of lower priority strategies. This behavior is acceptable in the context of our construction, since if it occurs then we may conclude that the theorem is true for a fairly trivial reason. Of course, these types of strategies appear in basic looking back constructions. Here, we interleaved them with other finite injury strategies.

Minimal pairs. In Theorem 5, we gave a construction showing that in every complexity type there is a pair of sets which are polynomial time Turing incomparable. Thus, in the sense of Theorem 5, complexity type is never directly tied to relative computability. In this section, we ask whether there is any correlation between informational content as expressed by polynomial time Turing degree and complexity type. We give a partial negative answer in Theorem 6.

Theorem 6. *There is a complexity type $\mathcal{C}$ which contains sets A and B that form a minimal pair with regard to polynomial time Turing reductions (i.e. $A, B \notin P$, but for all X, $X \leq_p A$ and $X \leq_p B$ implies that $X \in P$).*

PROOF: We build A and B by recursion. A *condition* is a specification of an oracle on all strings whose lengths are bounded by a fixed integer; i.e. a finite approximation to an oracle. For U a condition, let $domain(U)$ denote the set of strings on which U is defined. During stage n, we specify conditions A_n and B_n on A and B with domains at least including $\{0,1\}^{\leq n}$ so that $A_{n-1} \subseteq A_n$ and $B_{n-1} \subseteq B_n$.

Readers familiar with recursion theoretic forcing and priority methods (see [9]) will recognize our building a pair of Cohen generic subsets of $\{0,1\}^*$. Their mutual genericity with respect to polynomial time Turing reductions implies that they form a minimal pair of P-degrees. We use the priority method to arrange that A and B meet enough dense sets for genericity to apply.

The fact that A and B are recursive follows from the observation that the recursion step in the generation of A_n and B_n is computable. In fact, there is a RAM that implements this recursion. When we speak of a step in the construction we are referring to a step in the execution of this RAM.

In the construction, we take steps to ensure that A and B satisfy the claims of the theorem by ruling out each possible counter example. Thus, we individually satisfy the following individual requirements.

G_d. If $\{d\} = A$ then there is a RAM that runs at least as fast as $\{d\}$ and computes B. Similarly, for A and B with roles reversed.

$H_{e,f}$. If $\{e\}$ and $\{f\}$ are polynomial time oracle RAM's such that $\{e\}(A) = \{f\}(B)$, then their common value X is in P. In fact, in satisfying $H_{e,f}$ we will exhibit the polynomial time algorithm to compute X.

We ensure each of these requirements by use of an associated strategy. We will shortly sketch how the strategies operate. First, we give some indication of their context, since it is somewhat different than that in the earlier constructions. As before, we assign a priority ranking to the requirements. We invoke the first n strategies during stage n, and thereby arrange that every strategy is in use during all but finitely many stages. We determine the action taken in the main recursion during stage n by means of a nested (minor) recursion of length n in which we calculate the effects of strategies. During stage n, we extend A and B so as to agree with the common value chosen by the maximum possible initial segment of strategies. Provided that for each strategy Σ,

(1) for all but finitely many stages, the conditions on A and B chosen by Σ are the same as those chosen by all higher priority strategies and

(2) for any sets A and B which are produced by a construction whose operation during all but finitely many stages is determined by Σ, A and B satisfy the requirement associated with Σ,

then A and B constructed as above will satisfy all of the requirements. We will first sketch the operation of the strategies and then the way by which they are combined in the minor recursion.

We turn now to our specific strategies. We view a strategy Σ as a *procedure.* It is called with arguments A_{n-1}, B_{n-1}, $A_n^{default}$, $B_n^{default}$ and $default\_time$. These arguments have the following types: the first four are conditions and the final one is an integer. Their intended roles in the construction are to have A_{n-1} and B_{n-1} as the conditions on A and B determined in the previous stage; the next two, $A_n^{default}$ and $B_n^{default}$, are the default conditions on A and B which will be used at the end of stage n if Σ does not disallow their use; $default\_time$ is the number of steps needed to run the construction up to the point of calling Σ, which is enough to compute $A_n^{default}$ and $B_n^{default}$. The strategy returns two conditions A_n and B_n which extend A_{n-1} and B_{n-1}. In the construction, they indicate the conditions that Σ intends be used as the stage n computation of A and B.

G_d. The strategy g_d to ensure the satisfaction of the requirement G_d acts as follows.

(1) First, check for a string y in $domain(A_{n-1})$ such that $\{d\}(y)$ converges in less than n steps and gives a value that is different from $A_{n-1}(y)$. If there is such a y, return $A_n^{default}$ and $B_n^{default}$. *(In step (1), we look back to see whether G_d is already satisfied by an inequality between $\{d\}$ and A.)*

(2) Otherwise, check for a string y in $domain(A_n^{default}) - domain(A_{n-1})$ such that $\{d\}$ converges at y in less than $default\_time$ many steps. If there is such a y then for A_n, return the extension A^* of A_{n-1} that is identically equal to 0 at every string

in $domain(A_n^{default}) - domain(A_{n-1})$ other than y. At y, A^* is defined to disagree with $\{d\}(y)$. For B_n, return the extension B^* of B_{n-1} that is identically equal to 0 on every string in $domain(B_n^{default}) - domain(B_{n-1})$. *(We look for an argument where it is faster to compute $\{d\}$ than it is to run the default computation. If we find one then we define A_n to establish $A \neq \{d\}$.)*

(3) If neither of these cases apply, then return $A_n^{default}$ and $B_n^{default}$. *(If no action is required, return the default values.)*

If there is a y such that the evaluation of $\{d\}(y)$ takes less time then the evaluation of the default value for $B(y)$, then g_d ensures that $\{d\} \neq A$. Otherwise, g_d ensures that B is always given by the default calculation and so can be computed in less time than the evaluation of $\{d\}$. Thus, g_d ensures that if $\{d\} = A$ then there is an algorithm to compute B that runs in less time.

In addition, the values for A and B returned by g_d only deviate from the input default values finitely often. Once g_d's outputs are identical with the ultimate values of A_n and B_n, if g_d ever returns a value other than its input default value then, by (1), it automatically returns the default during every stage large enough to verify $\{d\} \neq A$.

$H_{e,f}$. Let $\{e\}$ and $\{f\}$ be polynomial time oracle RAM's. Let p be a polynomial that bounds their running times. The strategy $h_{e,f}$ to ensure the satisfaction of $H_{e,f}$ acts as follows.

(1) First, check for a string y such that $\{e\}(A_{n-1}, y) \neq \{f\}(B_{n-1}, y)$ is verified by a computation of length less than n. If there is such a y, return $A_n^{default}$ and $B_n^{default}$. *(Look back to see whether the requirement is already satisfied by the inequality $\{e\}(A) \neq \{f\}(B)$.)*

(2) Otherwise, check for a y of length less than or equal to $default\_time$ such that there are two extensions A' and A'' of A_{n-1} such that $\{e\}(A', y)$ and $\{e\}(A'', y)$ are defined by computations with queries only to the domains of A' and A'' and have different values. If there is such a y, then return the value B^* for B_n that extends B_{n-1} and is identically equal to 0 on every string in $\{0,1\}^{\leq p(default\_time)} - domain(B_{n-1})$. Return as value for A_n whichever of A' and A'' establishes $\{e\}(A_n, y) \neq \{f\}(B_n, y)$, for the (returned) value $B_n = B^*$. *(If the condition A_{n-1} does not already decide the value of $\{e\}(A, y)$ for all y's of length less than or equal to $default\_time$ then use the split in $\{e\}$ to make $\{e\}(A) \neq \{f\}(B)$. We attempt to meet a set of conditions associated with mutual genericity.)*

(3) If neither of these cases apply, then return $A_n^{default}$ and $B_n^{default}$. *(As in g_d, if no action is required then return the default values.)*

Assume that $h_{e,f}$ is respected during all but finitely many stages. If the inequality between $\{e\}(A)$ and $\{f\}(B)$ is established in (2), then the requirement is trivially satisfied.

Assume that $\{e\}(A)$ and $\{f\}(B)$ are equal and let X be their common value. Let y be a string such that $h_{e,f}$ is respected during the stage when $A(y)$ is defined. We compute $X(y)$ as follows. First, compute the largest m so that the evaluation of $A_{m-1}^{default}$ and $B_{m-1}^{default}$ involves less than $|y|$ steps. Then, evaluate $\{e\}(A^*, y)$, where A^* is equal to $A_{m-1}^{default}$ on $domain(A_{m-1}^{default})$ and is identically equal to 0 elsewhere.

Since its operations are explicitly evaluated in polynomial time, it is clear that this procedure can be implemented on a RAM in polynomial time. To see that it correctly computes X, note that since $h_{e,f}$ is respected during almost every stage and does not establish the inequality between $\{e\}(A)$ and $\{f\}(B)$, the default values for A and B are the ones actually used in the construction. Further, the m computed by y is the stage when $h_{e,f}$ examines all conditions extending A_{m-1} $(= A_{m-1}^{default})$ to find a pair of conditions that gives a pair of incompatible values for $\{e\}$ at y. By assumption, $h_{e,f}$ could not split the values of $\{e\}$, so every extension of A_{m-1} gives the same answer to $\{e\}(-, y)$ as A gives. In particular, $\{e\}(A^*, y) = \{e\}(A, y) = X(y)$, as desired.

Note, that this strategy also only returns conditions different from the input default values finitely often by the same argument that applied to g_d.

The construction. This method of combining strategies also appears in [SSl, Shinoda-Slaman]. We let A_0 and B_0 be the trivial conditions with empty domain.

During stage n, we set up the minor recursion to invoke the first n strategies in the priority ordering. First, we execute the nth strategy with arguments A_{n-1}, B_{n-1}; $A_n^{default}$ and $B_n^{default}$, given by the trivial extensions of A_{n-1} and B_{n-1} which are are identically 0 on every string of length less than or equal to n not in the domains of A_{n-1} and B_{n-1}; and $default\_time$, equal to the number of steps needed to compute these quantities. By recursion, in decreasing order of priority, we execute the next strategy with arguments A_{n-1}, B_{n-1}; $A_n^{default}$ and $B_n^{default}$, obtained from the previous strategy's returned values; and $default\_time$, equal to the number of steps needed to compute the construction through the point of executing the previous strategy. The output of the highest priority strategy (namely, the last strategy executed) gives the values for A_n and B_n.

Suppose that Σ is one of the above strategies. Then, Σ is in operation for all but finitely many stages. Hence, it determines the default value given to the strategies of higher priority for all but finitely many stages. Further, each strategy of higher priority than Σ only returns conditions different from the its input default values at most finitely often. So, the values returned by Σ will be the ones used by the construction during all but finitely many stages. By the above remarks, this is enough to conclude that the requirement associated with Σ is satisfied. □

Remark. It is an open problem whether *every* complexity type $\mathcal{C} \not\subseteq P$ contains a minimal pair.

4. On the Fine Structure of P.

In contrast to many results in structural complexity theory that are only relevant for sets outside of P, the investigation of complexity types also leads to some challenging questions about the fine structure of P itself. One may argue that the exploration of the possibilities and limitations of construction techniques for sets in P may potentially be useful in order to distinguish P from larger complexity classes (e.g., $PSPACE$).

Those time bounds f that are commonly used in the analysis of algorithms for problems in P have the property that

$$\sup\{f(m) \mid m \leq c \cdot n\} = O(f(n))$$

for every constant $c \in N$, and that f agrees almost everywhere with some concave function g (i.e. $\forall k > n(g(n)) \leq \frac{n}{k} g(k))$). These two properties together entail the useful fact that $DTIME(f)$ is closed under linear time Turing-reductions (we assume that the query tape is erased after each query). Note also that the first property alone guarantees already that $DTIME(f)$ is closed under linear time many-one reductions.

In view of the preceding fact it is of interest to analyze for sets in P a slightly different notion of complexity type, where the underlying set T of time bounds is replaced by the class T_L of those f in T that satisfy the two additional properties above. This version has the advantage that each linear time Turing degree is contained in a single complexity type (in other words: each complexity type is closed under the equivalence relation $=_{\text{lin}}$). Therefore we assume in this section that T has been replaced by T_L.

Linear time reductions have provided the only successful means to show that certain concrete sets have exactly the same time complexity (e.g. Dewdney [4] proved that BIPARTITE MATCHING $=_{\text{lin}}$ VERTEX CONNECTIVITY ("are there $\geq k$ disjoint uv-paths in G, for u, v, k given")). The following result implies that this method is not general.

Theorem 7. *Every complexity type $\mathcal{C} \not\subseteq DTIME(n)$ of polynomial time computable sets contains infinitely many different linear time degrees, and the linear time degrees in $\mathcal{C}$ are dense. Furthermore $\mathcal{C}$ contains incomparable linear time degrees, but no smallest linear time degree.*

PROOF: Assume that $\mathcal{C} \not\subseteq DTIME(n)$. The construction of sets A, B in $\mathcal{C}$ that are incomparable with regard to linear time reductions proceeds as in the proof of Theorem 5.

In order to show that $\mathcal{C}$ contains no smallest linear time degree we fix some arbitrary set $A \in \mathcal{C}$. We construct a set $B \in \mathcal{C}$ with $A \not\leq_{\text{lin}} B$ by deleting from A all elements that lie in certain "intervals" $I_{n,m} := \{x \in \{0,1\}^* \mid n \leq |x| \leq m\}$. Since $A \notin DTIME(n)$ one can falsify each possible linear time reduction from A to B by choosing the length $m - n$ of the removed interval $I_{n,m}$ sufficiently large (for given n define m via "looking

back"). In order to guarantee that in addition $B \in \mathcal{C}$, we combine these strategies in a finite injury priority argument with the "$\mathcal{C}$-strategies" from the proof of Theorem 2 (see the discussion at the beginning of Section 3).

In order to show that the linear time degrees in $\mathcal{C}$ are dense we assume that sets $A, B \in \mathcal{C}$ are given with $B <_{\text{lin}} A$. Let $\widetilde{B} := \{0^\frown x \mid x \in B\}$ and $\widetilde{A} := \{1^\frown x \mid x \in A\}$. Then we have $A =_{\text{lin}} \widetilde{A} \cup \widetilde{B}$ (thus $\widetilde{A} \cup \widetilde{B} \in \mathcal{C}$ and $B <_{\text{lin}} \widetilde{A} \cup \widetilde{B}$). One constructs in the usual manner (with "looking back" as in [7]) a linear time computable set L such that for $D := (\widetilde{A} \cap L) \cup \widetilde{B}$ one has $D \not\leq_{\text{lin}} B$ and $\widetilde{A} \cup \widetilde{B} \not\leq_{\text{lin}} D$. Furthermore it is obvious from the definition of D that $B \leq_{\text{lin}} D \leq_{\text{lin}} \widetilde{A} \cup \widetilde{B}$. Thus $D \in \mathcal{C}$ and $B <_{\text{lin}} D <_{\text{lin}} \widetilde{A} \cup \widetilde{B} =_{\text{lin}} A$.

Finally we observe that the existence of sets A, B in $\mathcal{C}$ with $A \not\leq_{\text{lin}} B$ (see the beginning of the proof) implies that there is a set $G \in \mathcal{C}$ with $B <_{\text{lin}} G$: set

$$G := \{0^\frown x \mid x \in A\} \cup \{1^\frown x \mid x \in B\}.$$

Thus an iterative application of the preceding density result implies that $\mathcal{C}$ contains infinitely many linear time degrees. □

It is tempting to conjecture that for every polynomial time computable set $A \notin DTIME(n)$ there is a set B of the same complexity type with $A \not\leq_{\text{lin}} B$ and $B \not\leq_{\text{lin}} A$, furthermore that the structure of linear time degrees of sets in a complexity type is the same for every polynomial time computable complexity type $\mathcal{C} \not\subseteq DTIME(n)$. The following result implies that both conjectures are false (see section 1 for the definition of a principal complexity type).

Theorem 8. *A complexity type $\mathcal{C} \subseteq P$ has a largest linear time degree if and only if $\mathcal{C}$ is principal (in fact if $\mathcal{C}$ is non-principal then it does not even contain a maximal linear time degree).*

Idea behind the proof of Theorem 8. If $\mathcal{C}$ is a principal complexity type then it contains a set U which is almost (i.e. up to padding) universal for $\mathcal{C}$. One has then $X \leq_{\text{lin}} U$ for every $X \in \mathcal{C}$.

Assume now that $\mathcal{C}$ is non-principal, and that X is an arbitrary set in $\mathcal{C}$. One then constructs a set $A \in \mathcal{C}$ with $A \not\leq_{\text{lin}} X$. This will imply the claim, since one has then $(A \vee X) \in \mathcal{C}$ and $X <_{\text{lin}} (A \vee X)$, where $(A \vee X) := \{y0 \mid y \in A\} \cup \{y1 \mid y \in X\}$.

To achieve $A \not\leq_{\text{lin}} X$ it is sufficient to satisfy each instance of the following requirement.

R_e. $A \neq \{e\}(X)$ or $\{e\}(X, y)$ uses more than $e \cdot |y|$ steps for some string y, where as usual each oracle query counts as one step.

The corollary of Theorem 1 shows that there exist recursive sequences $(t_i)_{i\in\mathbf{N}}$ and $(e_i)_{i\in\mathbf{N}}$ such that $(t_i)_{i\in\mathbf{N}}$ is a characteristic sequence for $\mathcal{C}$ and $\forall i(\{e_i\} =^* X$ and $\{e_i\}$ is of time complexity $O(\{t_i\}))$, where $=^*$ denotes equality modulo finite sets. The constructed set A will lie in $\mathcal{C}$, if we can satisfy each of the following requirements.

S_e. A belongs to $DTIME(\{t_e\})$.

T_j. If $\{j\} \in T$ and $A \in DTIME(\{j\})$ then for some $i \in \mathbf{N}$, $\{j\} = \Omega(\{t_i\})$.

In the case of a conflict between different requirements the one with the smaller index (i.e. higher priority) wins. In particular in order to satisfy S_e one has to make sure that all attempts to satisfy a requirement $R_{e'}$ with $e' > e$ at some argument $y \in \{0,1\}^*$ (where one tries to achieve that $A(y) \neq \{e'\}(X,y)$) are halted after $C_e \cdot \{t_e\}(|y|)$ steps (where C_e is some constant). On the other hand, in order to satisfy requirement $R_{e'}$ at argument y one first has to know the value of $\{e'\}(X,y)$. The number of computation steps needed for that depends on the algorithm $\{e_i\}(z)$ that one uses to simulate oracle queries "$z \in X$?" We ignore in this sketch that we have only $\{e_i\} =^* X$ instead of $\{e_i\} = X$. This will only cause finitely many additional "injuries" that force us to repeat the attempt to satisfy $R_{e'}$ (each time when a new discrepancy between $\{e_i\}$ and X is detected by "looking back"). It is not a priori clear which attempt to satisfy $R_{e'}$ (via some y, e_i as above) will succeed within the negative restraint imposed by S_e, because we know very little about the behaviour of the given sequence $(t_i)_{i\in\mathbf{N}}$. In particular we may have that $\{t_i\} = \{t_{i+1}\}$ for many i, and therefore the number of steps needed to evaluate $\{e'\}(\{e_i\}, y)$ need not be bounded by $C_e \cdot \{t_e\}(|y|)$ (if $e' > e$ is sufficiently large). However, since $\mathcal{C}$ is non-principal there is an infinite set $W \subseteq \mathbf{N}$ such that there exists for every $i \in W$ an infinite set $H_i \subseteq \mathbf{N}$ with $\{t_i\}|_{H_i} = o(\{t_{i-1}\}|_{H_i})$. This set W supplies a "dense" set of "windows" through which at least one attempt for each requirement $R_{e'}$ can be carried out without interference by requirements S_e with $e < e'$.

Additional priority conflicts (and finite injuries) occur between the requirements S_e and T_j, and between the requirements R_e and T_j. In order to satisfy T_j one has to make A different from any set that is computed by an algorithm that is "too fast" (this requires that certain y are placed into A, or kept out of A). The interaction between the requirements S_e and T_j is handled in the same way as in the proof of Theorem 2.

□

5. Extensional Properties of Sets that have the Same Time Complexity.

In this section we investigate some basic properties of the partial order

$$PO(\mathcal{C}) := \langle \{X | X \in \mathcal{C}\}, \subseteq^* \rangle,$$

where $\mathcal{C}$ is an arbitrary complexity type and $\subseteq^*$ denotes inclusion modulo finite sets (i.e. $X \subseteq^* Y :\Leftrightarrow X - Y$ is finite). This investigation is part of the long range project to study the relationship between extensional properties of a set and its computational complexity. Among other work in this direction we would like to mention in particular the study of the complexity of sparse sets (see e.g. [16]), and the investigation of the relationship between properties of recursively enumerable sets under $\subseteq^*$ and their degree of computability. Our approach differs from this preceding work insofar as it also applies to "actually computable" sets (i.e. sets in P). Therefore it provides an opportunity to develop finer construction tools that can be used to examine also the structure of sets of small complexity.

Theorem 9. Every set X can be split into two sets A, B of the same complexity type as X (i.e. $X = A \cup B$, $A \cap B = \emptyset$, $X =_C A =_C B$).

Idea of the Proof of Theorem 9. Associate with the given set X a characteristic sequence $(t_i)_{i \in N}$ as in Theorem 1. For every $e, n \in \mathbf{N}$ and $x \in \{0,1\}^*$ define

$$TIME(e,x) := (\text{number of steps in the computation of } \{e\} \text{ on input } x)$$

and

$$MAXTIME(e,n) := \max\{TIME(e,x) \mid |x| = n\}.$$

It is sufficient to partition X into sets A and B in such a way that for every $e \in \mathbf{N}$ the following requirements R_e^A, R_e^B, S_e^A, S_e^B are satisfied:

$$\begin{aligned} R_e^A :\Leftrightarrow (A = \{e\} \Rightarrow \forall f \in T(\forall n(MAXTIME(e,n) \leq f(n)) \\ \Rightarrow \exists j \in \mathbf{N}(f = \Omega(\{t_j\})))) \\ S_e^A :\Leftrightarrow A \in DTIME(\{t_e\}(n)). \end{aligned}$$

R_e^B, S_e^B are defined analogously.

Note that it is not possible to satisfy R_e^A by simply setting $A(x) := 1 - \{e\}(x)$ for some x: in order to achieve that $A \subseteq X$ we can only place x into A if $x \in X$.

Instead, we adopt the following strategy to satisfy R_e^A (the strategy for R_e^B is analogous): For input $x \in \{0,1\}^*$ compute $\{e\}(x)$.

Case I. If $\{e\}(x) = 0$, then this strategy issues the constraint "$x \in A \Leftrightarrow x \in X$".

Case II. If $\{e\}(x) = 1$, then this strategy issues the constraint "$x \notin A$" (which forces x into B if $x \in X$).

In the case of a conflict for some input x between strategies for different requirements one lets the requirement with the highest priority (i.e. the smallest index e) succeed (this causes in general an "injury" to the other competing requirements).

The interaction between the described strategies is further complicated by the fact that in the case where R_e^A is never satisfied via Case II, or via Case I for some $x \in X$, we have to be sure that Case I issues a constraint *for almost every input* x (provided that the simulation of $\{e\}(x)$ is not prematurely halted by some requirement S_i^A with $i \leq e$, see below). Consequently the number of requirements whose strategies act on the same input x grows with $|x|$ (only those R_i^A, R_i^B with $i < |x|$ can be ignored where one can see by "looking back" for $|x|$ steps that they are already satisfied).

The strategy for requirement $S_e^A(S_e^B)$ is as follows: it issues the constraint that for all inputs x with $|x| \geq e$ the *sum* of all steps that are spent on simulations for the sake of requirements $R_i^A, R_i^B, S_i^A, S_i^B$ with $i \geq e$ has to be bounded by $O(\{t_e\}(|x|))$. One can prove that in this way $S_e^A(S_e^B)$ becomes satisfied (because only finitely many inputs are placed into A or B for the sake of requirements of higher priority). One also has to prove that the constraint of S_e^A does not hamper the requirements of lower priority in a serious manner.

In order to verify that this construction succeeds, one has to show that each requirement R_e^A, R_e^B is "injured" at most finitely often. This is not obvious, because we may have for example that R_{e-1}^B (which has higher priority) issues overriding constraints for infinitely many arguments x according to Case I. However in this case we know that only finitely many of these x are elements of X (otherwise R_{e-1}^B would have been seen to be satisfied from some point of the construction on), and all of its other constraints are "compatible" with the strategies of lower priority (since we make $A, B \subseteq X$).

Finally we verify that each requirement $R_e^A(R_e^B)$ is satisfied. This is obvious if Case II occurs in the strategy for R_e^A for some input x where R_e^A is no longer injured; or if Case I occurs for such input x with $x \in X$ (in both cases we can make $A \neq \{e\}$). However it is also possible that $x \notin X$ for each such x (and that $\{e\} = A$), in which case R_e^A becomes satisfied for a different reason. In this case we have $\{e\}(x) = 0 = X(x)$ for each such x. Therefore we can use $\{e\}$ to design a new algorithm for X that is (for every input) at least as fast as the algorithm $\{e\}$ for A (it uses $\{e\}$ for those inputs where $\{e\}$ is faster than the "old" algorithm for X of time complexity $\{t_e\}$). Therefore one can prove that $X \in DTIME(f)$ for every $f \in T$ that bounds the running time of algorithm $\{e\}$ for A. This implies that $f(n) = \Omega(\{t_j\}(n))$ for some $j \in \mathbf{N}$ (by construction of the characteristic sequence $(t_i)_{i \in \mathbf{N}}$). □

Corollary 2. For every complexity type $\mathcal{C} \neq \mathbf{0}$ the partial order $PO(\mathcal{C})$ of sets in $\mathcal{C}$ has neither minimal nor maximal elements.

Let $PO_{0,1}(\mathcal{C})$ be the partial order

$$\langle \{X | X \in \mathcal{C} \vee X = \{0,1\}^* \vee X = \phi\}, \subseteq^* \rangle$$

(thus $PO_{0,1}(\mathcal{C})$ results from $PO(\mathcal{C})$ by adding the smallest set ϕ and the largest set $\{0,1\}^*$).

Corollary 3. For every complexity type $\mathcal{C}$ there is an embedding E of the partial order of the countable atomless Boolean algebra AB into $PO_{0,1}(\mathcal{C})$ with $E(1) = \{0,1\}^*$, $E(0) = \phi$, and $E(a \vee b) = E(a) \cup E(b)$ as well as $E(a \wedge b) = E(a) \cap E(b)$ for all elements $a, b \in AB$.

Remark. In order to define this embedding E one starts with any two sets X, $\{0,1\}^* - X$ in $\mathcal{C}$, and applies the splitting theorem iteratively. The idea is to represent the elements of AB by arbitrary finite unions of those sets in $\mathcal{C}$ that are constructed in this way. In order to guarantee that these finite unions U are also in $\mathcal{C}$ (unless $U =^* \{0,1\}^*$) one has to prove a slightly stronger version of the splitting theorem. The following additional property of A, B is needed: For every $f \in T$ for which there exists some $U \in DTIME(f)$ with $U \cap X = A$ or $U \cap X = B$ one has $X \in DTIME(f)$. One can prove this stronger version with a small variation in the strategy for requirement R_e^A (R_e^A can now be satisfied via Case II at a single input x only if $\underline{x \in X}$; if R_e^A never gets satisfied at any input x via Case I or Case II one can argue that $x \notin X$ whenever the simulation of $\{e\}(x)$ can be finished in an attempt for R_e^A, independently of the output of $\{e\}(x)$).

In the following we write $Y \underset{\infty}{\subset} X$ if $Y \subseteq X$ and $X - Y$ is infinite.

Theorem 10. (Density Theorem)

Assume that $Y \underset{\infty}{\subset} X$ and $Y \leq_C X$ (i.e. $\forall f \in T(X \in DTIME(f) \Rightarrow Y \in DTIME(f))$). Then there is a set A such that $Y \underset{\infty}{\subset} A \underset{\infty}{\subset} X$ and $A =_C X$.

Idea of the proof of Theorem 10. Let $(t_i)_{i \in \mathbf{N}}$ be a characteristic sequence for X. It is sufficient to construct A such that $Y \subseteq A \subseteq X$ and for all $e \in \mathbf{N}$ the requirements R_e, S_e, T_e, U_e are satisfied, where R_e, S_e are identical with the requirements R_e^A, S_e^A in the proof of Theorem 9 (together they ensure that $A =_C X$) and

$$T_e: \quad |A - Y| \geq e$$
$$U_e: \quad |X - A| \geq e.$$

The strategy to satisfy R_e is similar to the strategy for satisfying R_e^A. However in Case II (where $\{e\}(x) = 1$), unlike in the splitting theorem, R_e does not have the power to keep x out of A (even if R_e has the highest priority) because x may later enter Y. Instead, R_e issues in Case II the constraint "$x \notin A \Leftrightarrow x \notin Y$" (i.e. R_e wants to keep x out of A if it turns out that $x \notin Y$).

It is easy to see that R_e becomes satisfied if Case I occurs for some $x \in X$, or if Case II occurs for some $x \notin Y$ (provided that R_e is not "injured" at x by requirements of higher priority). If neither of these events occurs, then we can conclude that $\{e\}(x) = X(x)$ whenever the simulation of $\{e\}(x)$ can be finished before it is halted for the sake of some requirement S_i with $i \leq e$. This information can be used (as in the proof of Theorem 9) to design an algorithm for X that converges for every input x "at least as fast" as the computation $\{e\}(x)$. □

Corollary 4. For every complexity type $\mathcal{C}$ the partial order $PO(\mathcal{C})$ is dense.

It is easy to see that $PO(\mathcal{C})$ is isomorphic to the countable atomless Boolean algebra AB if $\mathcal{C} = \mathbf{0}$. Furthermore it was shown that AB can be embedded into $PO_{0,1}(\mathcal{C})$ for every complexity type $\mathcal{C}$. However the following corollary suggests that the structure of the partial order $PO(\mathcal{C})$ is substantially more complicated than that of AB if $\mathcal{C} \neq \mathbf{0}$. Obviously any complexity type $\mathcal{C} \neq \mathbf{0}$ is closed under complementation, but not under union or intersection. However, it could still be the case that any two sets $A, B \in \mathcal{C}$ have a least upper bound in the partial order $PO(\mathcal{C})$. This is ruled out by the following result.

Corollary 5. Consider an arbitrary complexity type $\mathcal{C} \neq \mathbf{0}$. Then any two sets $A, B \in \mathcal{C}$ have a least upper bound in the partial order $PO(\mathcal{C})$ if and only if $A \cup B \in \mathcal{C}$. In particular one can define with a first order formula over $PO(\mathcal{C})$ whether $A \cup B \in \mathcal{C}$ (respectively $A \cap B \in \mathcal{C}$) for $A, B \in \mathcal{C}$.

Proof. Assume that $A, B \in \mathcal{C}$, $A \cup B \notin \mathcal{C}$, $A \cup B \subseteq D$ and $D \in \mathcal{C}$. Then $(A \cup B) \leq_C D$ and $(A \cup B) \subset_\infty D$. Thus there exists by Theorem 10 a set $D' \in \mathcal{C}$ with $(A \cup B) \subset_\infty D' \subset_\infty D$. Therefore D is not a least upper bound for A and B in $PO(\mathcal{C})$. □

Remark.

This result suggests that the first order theory of the partial order $PO(\mathcal{C})$ is non-trivial for $\mathcal{C} \neq \mathbf{0}$.

6. Open Problems.

There are various results in structural complexity theory which state that there exist in some complexity class K sets with a certain property Q. Each such result gives rise to the more precise question which complexity types in K contain sets with property Q. As examples we mention the open questions whether every complexity type contains a tally set (i.e., a subset of $\{0\}^*$), and whether every complexity type $\mathcal{C} \not\subseteq P$ contains a minimal pair of polynomial time Turing degrees. The answers to a number of open problems of this type appear to be of interest on their own. Furthermore their

solutions may help to enlarge our reservoir of construction techniques for computable sets (in particular also for sets of "low" complexity).

Another problem area is the characterization of the structure of the (time-bounded) degrees of computability of the sets in a complexity type $\mathcal{C}$. For example one would like to know whether the sets in $\mathcal{C}$ realize infinitely many different types in the first order language of the partial order of the degrees in $\mathcal{C}$, and whether this theory is decidable. Other open problems arise if one compares the degree structures of different complexity types. For example we do not know whether the structure of polynomial time Turing degrees of sets in a complexity type $\mathcal{C} \not\subseteq P$ is the same for each such complexity type, and we do not know whether Theorem 8 specifies the only difference between the structure of linear time degrees within a non-zero complexity type $\mathcal{C} \subseteq P$.

An interesting open question about the lattice of all complexity types under $\leq_C$ is whether there is an automorphism of the partial order of complexity types that moves some complexity type in P to a complexity type that is not in P.

With regard to the partial order $PO(\mathcal{C})$ of sets in a complexity type $\mathcal{C}$ under inclusion, it would be of interest to know whether the structure of $PO(\mathcal{C})$ depends on $\mathcal{C}$ for $\mathcal{C} \neq \mathbf{0}$.

Finally, we would like to point out that all other resource-bounds for computations (e.g. nondeterministic time, or deterministic space) give also rise to the consideration of corresponding equivalence classes (or "complexity types") of those sets that are equivalent with regard to these complexity measures. Many questions that relate complexity types for deterministic computations with complexity types for nondeterministic computations or space bounded computations are obviously very hard. However some of these may turn out to be easier to answer than the related "global" questions about inclusions among the corresponding complexity classes. As an example we would like to mention the problem whether there are sets A, B such that $A \neq_C B$ (i.e. A and B have different deterministic time complexity), but for all space constructible space bounds f we have $A \in DSPACE(f) \Leftrightarrow B \in DSPACE(f)$.

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