

3-Bit Dictator Testing: 1 vs. 5/8

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Abstract

In the conclusion of his monumental paper on optimal inapproximability results, Håstad [13] suggested that Fourier analysis of Dictator (Long Code) Tests may not be universally applicable in the study of CSPs. His main open question was to determine if the technique could resolve the approximability of *satisfiable* 3-bit constraint satisfaction problems. In particular, he asked if the “Not Two” (NTW) predicate is non-approximable beyond the random assignment threshold of 5/8 on satisfiable instances. Around the same time, Zwick [30] showed that all satisfiable 3-CSPs are 5/8-approximable and conjectured that the 5/8 is optimal.

In this work we show that Fourier analysis techniques *can* produce a Dictator Test based on NTW with completeness 1 and soundness 5/8. Our test’s analysis uses the Bonami-Gross-Beckner hypercontractive inequality. We also show a soundness *lower bound* of 5/8 for all 3-query Dictator Tests with perfect completeness. This lower bound for Property Testing is proved in part via a semidefinite programming algorithm of Zwick [30].

Our work precisely determines the 3-query “Dictatorship Testing gap”. Although this represents progress on Zwick’s conjecture, current PCP “outer verifier” technology is insufficient to convert our Dictator Test into an NP-hardness-of-approximation result.

1 Dictator Testing, and its motivation

In this paper we study a Property Testing problem called *Dictator Testing*. Dictator Testing is strongly motivated by its applications to proving NP-hardness-of-approximation results (in which context it is often called “Long Code Testing”). We describe the Dictator Testing problem informally in this section; for formal definitions, see Section 4.1.

In Dictator Testing, we have black-box query access to an unknown boolean function $f : \{0, 1\}^n \rightarrow \{0, 1\}$. The goal is to test the extent to which f is close to a “dictator” function; i.e., one of the n functions of the form

$$f(x_1, \dots, x_n) = x_i.$$

Recall that a “test” is a randomized algorithm which makes a very small number of queries to f and then either “accepts” or “rejects”. It is “nonadaptive” if it determines all query strings before seeing the responses. The Dictator Testing problem was first studied by Bellare, Goldreich, and Sudan [1], with hardness-of-approximation as the motivation. It was later independently introduced, with the “dictator” terminology, by Parnas, Ron, and Samorodnitsky [24].

DEFINITION 1.1. *A Dictator Test has completeness c if all n dictator functions are accepted with probability at least c . We say a Dictator Test has perfect completeness if it has completeness 1.*

In this paper we consider only nonadaptive Dictator Tests with perfect completeness, unless otherwise specified. As for the “soundness” of a Dictator Test, we briefly discuss several possible criteria one could require:

Local testability: In this model of soundness, any function f which is ϵ -far from every dictator should be accepted with probability at most $1 - \Omega(\epsilon)$. Here we hope to make a very small constant number of queries, such as 3 or 4. Bellare, Goldreich, and Sudan [1] (BGS) implicitly gave a 4-query (indeed, 3-query adaptive) test; for a simple 3-query construction, see e.g. [22]. Such “Local Dictator Tests” play a useful role in Dinur’s proof of the PCP Theorem [4].

Usual Property Testing soundness: In this model, the tester is also given a parameter ϵ ; any function f which is ϵ -far from every dictator should be accepted with probability at most, say, $1/3$. Here we hope to make few queries as a function of ϵ . Note that by repeating a local test $O(1/\epsilon)$ times, we get an $O(1/\epsilon)$ -query Dictator Test with the usual Property Testing soundness.

Rejecting very far functions: In this model, soundness is only concerned with functions f which are $(1/2 - o(1))$ -far from every dictator; i.e., have correlation at most $o(1)$ with every dictator. The goal is to accept such functions with as low a probability as possible, while making a very small constant number of queries. For example, the 4-query BGS test accepts these functions with probability at most $17/20 + o(1)$. The major contribution of BGS was showing that Dictator Tests with this kind of soundness can yield strong NP-

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hardness-of-approximation results for constraint satisfaction problems (“CSPs”).

Rejecting “quasirandom” functions: Håstad [12, 13] introduced this relaxation of the above. One can think of it as only requiring soundness for functions f which have correlation at most $o(1)$ with every “junta” (function depending on only $O(1)$ coordinates). We refer to such f ’s as “quasirandom”, and such tests as “Dictator-vs.-Quasirandom Tests”.

DEFINITION 1.2. (Informal.) *A Dictator-vs.-Quasirandom Test has soundness at most s if every quasirandom function is accepted with probability at most $s + o(1)$.*

For example, Håstad [13] gave a (nonadaptive) 3-query Dictator-vs.-Quasirandom Test with soundness $3/4$. As Håstad and others have demonstrated, Dictator-vs.-Quasirandom Tests can often be used to prove optimal inapproximability results for CSPs.

1.1 Optimal approximability for k -CSPs. The major motivation for Dictator Testing is proving hardness-of-approximation results for CSPs. We discuss this connection in Section 1.2; however first let us describe k -CSPs. A (boolean) “ k -CSP” is a system of constraints over n boolean-valued variables v_i in which each constraint involves at most k of the variables. We also assume each constraint has a nonnegative weight, with the sum of all weights being 1. Given a k -CSP, the natural algorithmic task, called “Max- k CSP”, is to find an assignment to the variables such that the total weight of satisfied constraints is as large as possible. We write “Opt” to denote the weight satisfied by the best possible assignment. We also say that a CSP is “satisfiable” if $\text{Opt} = 1$. Our main motivation in this paper is studying the difficulty of *satisfiable Max-3CSP* instances, of which the following is a small example:

weight:	constraint:
1/4	$v_1 \wedge \neg v_3 \wedge v_4$
1/4	IF v_3 THEN v_4 ELSE $\neg v_5$
1/2	$v_2 \neq v_5$

Each constraint in a k -CSP is of a certain “type”; more precisely, it is a certain predicate of arity at most k over the variables. If we specialize Max- k CSP by restricting the type of constraints allowed, we get some of the most canonical NP optimization problems. For example:

- Max-2Sat: only the four predicates $v_i \vee v_j$, $v_i \vee \neg v_j$, $\neg v_i \vee v_j$, $\neg v_i \vee \neg v_j$;
- Max-3Lin: only the two predicates $v_i \oplus v_j \oplus v_k$, $\neg(v_i \oplus v_j \oplus v_k)$;

- Max-Cut: only the predicate $v_i \neq v_j$.

If we restrict the allowed predicates to some set Φ , we call the associated problem Max- Φ .

Determining Opt for these CSP families is NP-hard, but there is an enormous literature on polynomial-time approximation algorithms. To complement this, we can also look for NP-hardness-of-approximation results. As we describe in the next section, all of the best known inapproximability results rely critically on Dictator Testing.

We now have optimal (i.e., matching) approximation algorithms and NP-hardness-of-approximation results for some key problems: Max- k Lin(mod q) for $k \geq 3$ [13], Max-3Sat [13, 15, 31], and a few other Max- k CSP problems with $k \geq 3$ [13, 30, 29, 9]. However, many basic problems remain unresolved; for example, we do not know if 90%-approximating Max-Cut is in P or is NP-hard. Similarly, given a satisfiable 3-CSP, we do not know if satisfying $2/3$ of the constraint-weight is in P or is NP-hard.

1.2 Dictator Testing and inapproximability.

There is a close connection between CSPs and the Property Testing of boolean functions. To illustrate this, suppose \mathcal{T} is a nonadaptive 3-query Dictator-vs.-Quasirandom Test on functions $f : \{0, 1\}^Q \rightarrow \{0, 1\}$. Imagine we consider all possible random bit choices of \mathcal{T} , and in each case write down the (up to) 3 strings x, y, z queried and the predicate applied to the outcomes to decide accept/reject. The complete behavior of \mathcal{T} might then look like the following:

- w.p. p_1 , accept iff $f(x^{(1)}) \vee f(y^{(1)}) \vee f(z^{(1)})$,
- w.p. p_2 , accept iff $\neg f(x^{(2)}) \vee f(y^{(2)})$,
- w.p. p_3 , accept iff $\neg f(x^{(3)}) \vee \neg f(y^{(3)}) \vee \neg f(z^{(3)})$,

etc. This is precisely an instance of Max-3CSP, in which the “variables” are the $f(x)$ ’s. Note that the weights p_i indeed sum up to 1. More generally, if \mathcal{T} makes at most q nonadaptive queries it can be viewed as an instance of Max- q CSP. Further, suppose that \mathcal{T} “uses the predicate set Φ ” — i.e., its decision to accept/reject is always based on applying a predicate from the set Φ to its query responses. Then \mathcal{T} can be viewed as an instance of Max- Φ . The above example illustrates a tester which uses the set of ORs on up to 3 literals; thus it can be viewed as an instance of Max-3Sat.

Bellare, Goldreich, and Sudan [1] and Håstad [12, 13] showed how this connection can be used to create “gadgets” for NP-hardness-of-approximation results. Their work led to the following well-known “Rule of Thumb”:

Rule of Thumb. *For the Max- Φ problem, to prove that distinguishing $\text{Opt} \geq c$ and $\text{Opt} \leq s + \epsilon$*

is NP-hard, construct a nonadaptive Dictator-vs.-Quasirandom Test using Φ , with completeness c and soundness s .

For example, the key step in Håstad’s famous $(7/8 + \epsilon)$ -hardness result for satisfiable Max-3Sat instances was his construction of a 3-query Dictator-vs.-Quasirandom Test using OR tests, with perfect completeness and soundness $7/8$. Actual theorems based on the Rule of Thumb are recalled in the full version of this paper.

2 Our contribution: optimal 3-query tests with perfect completeness

2.1 Satisfiable 3-CSPs. One of the most notable open questions in the area of CSP approximability is that of analyzing satisfiable 3-CSPs:

Question 1: *Given a satisfiable 3-CSP, can we efficiently satisfy constraint-weight at least s ?*

Zwick [30] made a comprehensive study of the Max-3CSP problem and gave an efficient algorithm which $5/8$ -satisfies any satisfiable 3-CSP instance. (This improved and built upon the earlier .514-algorithm of Trevisan [28].) Zwick conjectured that this algorithm is optimal; i.e., obtaining $5/8 + \epsilon$ is NP-hard for all constant $\epsilon > 0$. In the language of Probabilistically Checkable Proofs, Zwick’s conjecture states that $\text{NP} \subseteq \text{naPCP}_{1,5/8+\epsilon}(O(\log n), 3)$.

Håstad’s contemporaneous treatise on optimal in-approximability [11] gave an NP-hardness result for $s > 3/4$, and improving this was left as the main open problem in his work. Almost a decade later, no progress had been made on closing the gap, and Håstad reposed the problem [14]. Shortly thereafter, Khot and Saket [19] achieved the first improved hardness, showing that satisfiable 3-CSP instances are NP-hard to approximate to any factor better than $20/27 \approx .74$.

In originally posing the problem, Håstad suggested that Fourier analysis of Dictator Tests does not seem universally applicable in the study of CSPs. The associated Dictator-vs.-Quasirandom Property Testing question here is particularly easy to state:

Question 2: *What is the least possible soundness of a nonadaptive 3-query Dictator-vs.-Quasirandom Test with perfect completeness?*

Khot and Saket’s result yields an upper bound of $20/27$ for this question; the question of proving a lower bound has not been explicitly considered.

The main result in this paper is an exact answer to

Question 2:

THEOREM 2.1. *(Main results, informally stated.)*

1. *There is a nonadaptive 3-query Dictator-vs.-Quasirandom Test with perfect completeness and soundness $5/8$. The test uses only the “Not-Two” (NTW) predicate.*
2. *Every nonadaptive 3-query Dictator-vs.-Quasirandom Test with perfect completeness has soundness at least $5/8$.*

The upper bound in Theorem 2.1 is proved in Section 6; Fourier analysis is indeed the key to the proof. Due to space limitations, the lower bound in Theorem 2.1 is deferred to the full version of this paper.

The NTW predicate. NTW is the 3-bit predicate which is satisfied if the number of True inputs is either zero, one, or three — i.e., not two. Our test actually uses all eight NTW predicates gotten by allowing the query responses to be negated. Although Zwick’s algorithm satisfies $5/8$ of the constraints in any 3-CSP, even with mixed “types” of constraints, the bottleneck predicate for him is the NTW constraint. Håstad’s open question more specifically asked whether or not the NTW predicate is satisfiable beyond the random-assignment threshold of $5/8$ on satisfiable instances.

What we *don’t* prove. Unfortunately, the formal theorems behind the Rule of Thumb are *not* sufficient to convert our Dictator Test into a $5/8 + \epsilon$ NP-hardness result for satisfiable Max-NTW instances, and thus prove Zwick’s conjecture. See the discussions in Section 7 and the full version of this paper. However in an upcoming work building on the present paper, we will show that this result can be obtained assuming Khot’s “ d -to-1 Conjecture” ([16]) for any constant d .

2.2 Methods.

Upper bound. Given the task of constructing an NTW-based Dictator-vs.-Quasirandom Test with perfect completeness, we describe in Appendix ?? how the correct test is almost “forced” upon us. Thus the main task is in the analysis of this test. For this we use some slightly tricky Fourier analysis, including the hypercontractive inequality [3]. This is the first Dictator Testing result we are aware of that uses the hypercontractive inequality without using the Invariance Principle [21]. Indeed, the Invariance Principle does not seem useful for our result, and the fact that we use the hypercontractive inequality directly gives us an exponentially better tradeoff between soundness and influences than those given by Invariance-based analyses.

Lower bound. The problem of proving lower bounds for Dictator Tests (of the sort needed for inapproximability) does not seem to have been considered until extremely recently. In [23], the present authors observed that because of the “Rule of Thumb” described in Section 1.2, the existence of strong approximation algorithms “ought to” imply Dictator-vs.-Quasirandom Testing lower bounds. We discuss this connection in the context of related work in Section 3. We show this directly for our problem, as was done in a much simpler context in [23]. Our proof of the soundness lower bound in Theorem 2.1 involves using Zwick’s algorithm to show the existence of a quasirandom function passing any given perfect-completeness Dictator Test with probability at least $5/8 - o(1)$; this quasirandom function is either a random threshold function or a random odd parity. Zwick’s algorithm in part uses semidefinite programming, and we feel that the use of semidefinite programming in Property Testing lower bounds is an interesting method.

3 Related work

Raghavendra [25] proves several links between Dictator-vs.-Quasirandom Testing and semidefinite programming (SDP). His main result is that SDP gaps for a CSP can be translated into nearly-equivalent Dictator-vs.-Quasirandom Test. Unfortunately, this does not help us for several reasons. The main reason is that it suffers from a loss of perfect completeness: i.e., it transforms an SDP gap of c vs. s into a Dictator-vs.-Quasirandom Test with completeness $c - \epsilon$ and soundness s . Of course, perfect completeness is the *raison d’être* for our testing results. In addition to this, we are not aware of any explicit SDP gaps for 3-CSPs, certainly not for Max-NW and not of the strengthened SDP-type needed for Raghavendra’s reduction.

Regarding Dictator Testing soundness lower bounds, as mentioned in Section 2.2, the problem was not studied until very recently, although Samorodnitsky and Trevisan [26] studied the problem for Linearity Tests in 2006. As noted by the authors [23] for Max-Cut, and independently by Raghavendra [25] for any 2-CSP, some Dictator-vs.-Quasirandom Testing lower bounds can be proved using Khot and Vishnoi’s [20] reduction from Dictator Testing to SDP gaps, combined with known SDP-approximation algorithms. This is a very roundabout formalization of the idea that the Rule of Thumb should imply Dictator Testing lower bounds. But this Khot-Vishnoi connection is again not useful for us because it loses perfect completeness; also, it is unproven for 3-CSPs.

As mentioned, progress has been slow for Håstad and Zwick’s open problem on the hardness of satis-

fiable CSPs. An early work of Guruswami, Lewin, Sudan, and Trevisan [10] gave a 3-query *adaptive* Dictator-vs.-Quasirandom Test with soundness $1/2$. This translated into a $1/2 + \epsilon$ NP-hardness result for satisfiable CSPs with depth-3-decision-tree constraints. They also gave a 4-query non-adaptive Dictator-vs.-Quasirandom Test with soundness $1/2$. Much later, Engebretsen and Holmerin [5] considered the NP-hardness-of-approximation for satisfiable q -ary Max- k CSP; they generalized Håstad’s $3/4$ -hardness and [10]’s $1/2$ -hardness for 3-CSPs and 4-CSPs, respectively.

Finally, Khot and Saket [19] directly tackled the problem of NP-hardness for satisfiable Max-3CSP. Because they wanted to use the *unconditional* formalization of the Rule of Thumb, they had to use a more complicated, p -biased Dictator Test based on multiple predicates. As mentioned, they achieved $20/27 + \epsilon$ NP-hardness for satisfiable Max-3CSP with a mix of predicate types.

4 Definitions and preliminaries

The reader is assumed familiar with the basics of Fourier analysis of boolean functions; see, e.g., [27]. As is standard in Fourier analysis, our default representation for bits will be $+1$ and -1 rather than 0 and 1 .

4.1 Dictator-vs.-Quasirandom Tests. As mentioned in Section 1, to get Dictator Tests useful for optimal inapproximability, Håstad [12] relaxed the usual Property Testing soundness notion. In particular, he considered tests that are only required to reject *quasirandom* functions with high probability. Håstad effectively considered the following definition:

DEFINITION 4.1. *For $0 \leq \epsilon, \delta \leq 1$, we say a function $f : \{-1, 1\}^n \rightarrow [-1, 1]$ is (ϵ, δ) -quasirandom if*

$$\hat{f}(S)^2 \leq \epsilon \quad \text{for all } 0 < |S| \leq 1/\delta.$$

Let us make a few comments on this notion of quasirandom functions. We have chosen the terminology by analogy with quasirandom graphs, which are graphs that have close to the “expected” number of copies of each small subgraph: one can check that an (ϵ, δ) -quasirandom function has covariance at most $\sqrt{2^{1/\delta}}\epsilon$ with every “junta” function on at most $1/\delta$ coordinates. Note also that the definition becomes stricter as ϵ and δ decrease. Some common quasirandom functions include the two constant functions, the Majority function, and parity functions on large numbers of bits. Functions which are $(\epsilon, 0)$ -quasirandom — i.e., satisfy $\hat{f}(S)^2 \leq \epsilon$ for every $S \neq \emptyset$ — are sometimes called “pseudorandom”, “regular”, or “uniform”; see, e.g., [7]. Functions which are $(\epsilon, 1)$ -quasirandom — i.e., satisfy $\hat{f}(i)^2 \leq \epsilon$

for all $i \in [n]$ — were called “flat” in [18], and when f is monotone this notion is equivalent to having all “influences” at most $\sqrt{\epsilon}$.

Let us now formally define Dictator-vs.-Quasirandom Tests:

DEFINITION 4.2. *A k -query nonadaptive Dictator-vs.-Quasirandom Test \mathcal{T} for functions $f : \{-1, 1\}^n \rightarrow \{-1, 1\}$, using predicates from the set Φ , is a probability distribution over constraints*

$$\phi(f(x_1), \dots, f(x_{k'})),$$

where $k' \leq k$ and $\phi \in \Phi$. The completeness c of \mathcal{T} is the minimum probability of passing among dictator functions $f(x) = x_i$. We say \mathcal{T} has perfect completeness if all n dictators pass with probability 1.

The (ϵ, δ) -soundness of \mathcal{T} is the maximum probability $s(\epsilon, \delta)$ of passing among (ϵ, δ) -quasirandom functions f . We say that a family of tests (\mathcal{T}_n) , parameterized by n , has soundness s if for all $\eta > 0$ there exist $\epsilon, \delta > 0$ such that for all sufficiently large n , the test \mathcal{T}_n has (ϵ, δ) -soundness at most $s + \eta$.

4.2 Constraint predicates. For the proof of our testing lower bound, we need to consider tests that use any of the 22 possible 3-ary predicates. Since the lower bound proof is deferred to the full version of this paper, let us only recall here the 3-ary predicates used in the proof of the upper bound: NTW, XOR (True iff an odd number of input bits are True), and EQU (True iff all input bits are equal). A point that will be important for us is that the support of NTW is the union of the supports of XOR and EQU.

4.3 Testing averages. A trick introduced in [1, 17] is that of testing averages of functions. A special case of this trick is the notion of “folding” from [1]; suffice it to say, this lets us reduce any tester for a function $f : \{-1, 1\}^n \rightarrow \{-1, 1\}$ to a tester for f ’s “odd part”, $f^{\text{odd}} : \{-1, 1\}^n \rightarrow [-1, 1]$ defined by $f^{\text{odd}}(x) = (f(x) - f(-x))/2 = \sum_{|S| \text{ odd}} \hat{f}(S)x_S$. For the details of testing averages and the definition of testing functions with range $[-1, 1]$, please see the full version of this paper.

5 Dictator-vs.-Quasirandom Testing with NTW

In this section we prove the upper bound in Theorem 2.1: i.e., we give a family (\mathcal{T}_n) of Dictator-vs.-Quasirandom Tests, using the predicate NTW, with perfect completeness and soundness $5/8$. Our test is based on the following mixture distribution over $\{-1, 1\}^3$:

$$(5.1) \quad \mathcal{D}_\delta = (1 - \delta)\mathcal{D}_{\text{XOR}} + \delta\mathcal{D}_{\text{EQU}}.$$

Here $0 < \delta < 1/8$ is a parameter and \mathcal{D}_ϕ denotes the uniform distribution on the support of the predicate ϕ . Notice that the support of \mathcal{D}_δ is the support of the NTW predicate. We can now state our test:

Test \mathcal{T}_n on function $f : \{-1, 1\}^n \rightarrow [-1, 1]$, with parameter $0 < \delta < 1/8$:

1. Form a triple of strings $(\mathbf{x}, \mathbf{y}, \mathbf{z})$ by choosing each bit-triple (x_i, y_i, z_i) independently from \mathcal{D}_δ .
2. Test $\text{NTW}(f^{\text{odd}}(\mathbf{x}), f^{\text{odd}}(\mathbf{y}), f^{\text{odd}}(\mathbf{z}))$.

Figure 1 Our test \mathcal{T}_n .

(In this paper we use boldface to denote random variables.)

Here is another way of looking at the test: Essentially, the tester first picks a “random restriction f_w with $*$ -probability $1 - \delta$ ” (in the sense of [6]), and then runs the BLR linearity test [2] on f_w . This description differs from our actual test in three small ways: a) our test applies the NTW predicate in the end, rather than XOR, and hence accepts the extra answer $(1, 1, 1)$; b) the BLR test uses -XOR , not XOR, according to our notations; c) we also include the trick of testing only f^{odd} .

5.1 Intuition for our Dictator-vs.-Quasirandom Test.

Before giving the proof of our testing upper bound, let us explain how the distribution \mathcal{D}_δ was chosen. We will do this by looking at the prototypical quasirandom functions — constants, Majority, and large parities — and seeing what we need from a test to ensure that they pass with probability only about $5/8$. Having done this, we will see that the distribution \mathcal{D}_δ is essentially “forced” on us.

Since dictators are to pass our test with probability 1, clearly whatever distribution \mathcal{D}_δ we choose should have support only on the five triples in NTW’s support. We need to keep symmetry between \mathbf{x} , \mathbf{y} , and \mathbf{z} : otherwise f could “recognize” which string it is operating on. Thus \mathcal{D}_δ should give the same probability to each of the triples $(1, 1, -1)$, $(1, -1, 1)$, and $(-1, 1, 1)$. Thus we are led to look for a distribution of the form:

x_i	y_i	z_i	probability
+1	+1	+1	p
+1	+1	-1	q
+1	-1	+1	q
-1	+1	+1	q
-1	-1	-1	r

We have the constraint $p + 3q + r = 1$. Next, there seems to be no way to reject constant functions except by using the trick of testing f^{odd} , and that trick only works assuming the uniform probability distribution. This leads to the additional constraint $q + r = 1/2$. Together the two constraints imply $q = 1/4 - p/2$, $r = 1/4 + p/2$. Thus we are forced into the distribution \mathcal{D}_δ , except that it is not yet clear that $p = \delta$ should be “small” but nonzero. This smallness is forced by the fact that the prototypical quasirandom function Majority must be rejected with fairly high probability. Note that

$$\mathbf{E}'[x_i y_i] = \mathbf{E}'[y_i z_i] = \mathbf{E}'[x_i z_i] = \delta,$$

where \mathbf{E}' denotes expectation with respect to \mathcal{D}_δ . If $p = \delta$ were quite large then $\text{Maj}(\mathbf{x})$, $\text{Maj}(\mathbf{y})$, and $\text{Maj}(\mathbf{z})$ would be quite correlated, and since $\text{NTW}(1, 1, 1) = \text{NTW}(-1, -1, -1) = 1$, this would lead to a high acceptance probability. On the other hand, we also cannot have $p = 0$; in that case, we would be reduced to the BLR test based on XOR predicate, and one can check that the other prototypical quasirandom function parity, on an odd number of bits, would pass with probability 1. Luckily, the extreme noise sensitivity of parity means that even a small δ weight outside the support of XOR is enough to confound large parities.

Now given that we’ve settled on \mathcal{D}_δ and hence the test described in Section 5, why should this be a good Dictator-vs.-Quasirandom Test? More specifically, why should it have soundness as low as $5/8$? Again, we check the prototypical quasirandom functions:

First, the test evades the constant functions $f \equiv 1$, $f \equiv -1$ by using the trick of testing f^{odd} : the two constant functions each pass with probability $5/8$.

More interestingly, the test evades the prototypical odd quasirandom function Majority. To see this, first suppose that $\delta = 0$, so we are picking $(\mathbf{x}, \mathbf{y}, \mathbf{z})$ as in the (negated) BLR linearity test. One can show (using the CLT) that from Majority’s point of view, correlating three strings according to XOR is not much different from just picking three independent uniform inputs. I.e., $(\text{Maj}(\mathbf{x}), \text{Maj}(\mathbf{y}), \text{Maj}(-\mathbf{x} \circ \mathbf{y}))$ has a distribution close to uniform on $\{-1, 1\}^3$ and thus $\text{NTW}(\text{Maj}(\mathbf{x}), \text{Maj}(\mathbf{y}), \text{Maj}(-\mathbf{x} \circ \mathbf{y}))$ would be true with probability close to $5/8$. Now for small $\delta > 0$, the “random restriction” first effectively converts Majority into a different symmetric threshold function; say, $f_w = \text{Maj}'$. Its bias will be only $O(\sqrt{\delta})$, and similar reasoning can show (proof omitted) that $\text{NTW}(\text{Maj}(\mathbf{x}), \text{Maj}(\mathbf{y}), \text{Maj}(-\mathbf{x} \circ \mathbf{y}))$ is true with probability only $5/8 + O(\delta)$.

Finally, the test evades the other prototypical quasirandom functions, large odd Parities. To see this, again consider the “random restriction” function f_w .

Sometimes f_w is again a parity function, and otherwise it is the negation of a parity function. In the former case it will pass the (negated) BLR test (and hence the NTW test) with probability 1; however, in the latter case $(f(\mathbf{x}), f(\mathbf{y}), f(\mathbf{z}))$ will have the uniform distribution on the support of $\neg\text{XOR}$ and thus pass NTW only with probability $1/4$ (when it is $(1, 1, 1)$). Further, when the original parity f is large enough compared to δ , the random restriction f_w will be a parity or a negated parity with roughly equal probability; hence the original parity f will pass with probability roughly $(1/2) \cdot 1 + (1/2) \cdot (1/4) = 5/8$.

6 Proof of the upper bound

6.1 The hypercontractive inequality. Our analysis uses the “hypercontractive inequality” for $\{-1, 1\}^n$, proved originally by Bonami [3] and independently by Gross [8]:

THEOREM 6.1. *Suppose $0 \leq \rho \leq 1$ and $q \geq 2$ satisfy $\rho \leq 1/\sqrt{q-1}$. Then for all $f : \{-1, 1\}^n \rightarrow \mathbb{R}$,*

$$\|T_\rho f\|_q \leq \|f\|_2.$$

Here T_ρ is the “noise operator” defined by $T_\rho f = \sum_{S \subseteq [n]} \rho^{|S|} \hat{f}(S) \chi_S$. Equivalently, $(T_\rho f)(x) = \mathbf{E}_{\mathbf{y}}[f(\mathbf{y})]$, where \mathbf{y} is defined to be a random string “ ρ -correlated to x ”; i.e., $y_i = x_i$ with probability ρ , and y_i is uniformly random otherwise.

We will actually need a strengthening of this inequality which addresses the scenario in which ρ is strictly smaller than $1/\sqrt{q-1}$. In this case, one can obtain an extra fractional power of $\|T_\rho f\|_2$ on the right-hand side:

COROLLARY 6.1. *Suppose $0 \leq \rho \leq 1$, $q \geq 2$, and $0 \leq \lambda \leq 1$ satisfy $\rho^\lambda \leq 1/\sqrt{q-1}$. Then for all $f : \{-1, 1\}^n \rightarrow \mathbb{R}$,*

$$\|T_\rho f\|_q \leq \|T_\rho f\|_2^{1-\lambda} \|f\|_2^\lambda.$$

(Taking $\lambda = 1$ recovers Theorem 6.1.)

Proof.

$$\begin{aligned}
\|T_\rho f\|_q^2 &= \|T_{\rho^\lambda} T_{\rho^{1-\lambda}} f\|_q^2 \\
&\leq \|T_{\rho^{1-\lambda}} f\|_2^2 \\
&\quad (\text{by Theorem 6.1}) \\
&= \sum_{S \subseteq [n]} \rho^{2(1-\lambda)|S|} \hat{f}(S)^2 \\
&= \sum_{S \subseteq [n]} (\rho^{2|S|} \hat{f}(S)^2)^{1-\lambda} \cdot (\hat{f}(S)^2)^\lambda \\
&\leq \left(\sum_{S \subseteq [n]} \rho^{2|S|} \hat{f}(S)^2 \right)^{1-\lambda} \cdot \left(\sum_{S \subseteq [n]} \hat{f}(S)^2 \right)^\lambda \\
&\quad (\text{by Hölder's inequality}) \\
&= (\|T_\rho f\|_2^{1-\lambda} \|f\|_2^\lambda)^2.
\end{aligned}$$

The above short proof of Corollary 6.1 was communicated to us by an anonymous reviewer; we are grateful for being able to include it here.

6.2 Analyzing our test. We now formally present and prove the testing upper bound stated in our main Theorem 2.1.

THEOREM 6.2. *The Dictator-vs.-Quasirandom Test \mathcal{T}_n with parameter δ described in Figure 1 has perfect completeness and $(\delta, \delta/\ln(1/\delta))$ -soundness at most $5/8 + 6\sqrt{\delta}$.*

Proof. The completeness is clear. Suppose then f is $(\delta, \delta/\ln(1/\delta))$ -quasirandom. We may also assume $f = f^{\text{odd}}$. Our goal is to show that f passes \mathcal{T}_n with probability at most $5/8 + 6\sqrt{\delta}$. As usual in such proofs, we arithmetize the probability the test passes using Fourier analysis. We have

$$\begin{aligned}
&\mathbf{E}[\text{NTW}(f(\mathbf{x}), f(\mathbf{y}), f(\mathbf{z}))] \\
&= \mathbf{E}\left[\frac{5}{8} + \frac{1}{8}(f(\mathbf{x}) + f(\mathbf{y}) + f(\mathbf{z}))\right] \\
&+ \frac{1}{8}(f(\mathbf{x})f(\mathbf{y}) + f(\mathbf{y})f(\mathbf{z}) + f(\mathbf{x})f(\mathbf{z})) \\
&- \frac{3}{8}f(\mathbf{x})f(\mathbf{y})f(\mathbf{z})].
\end{aligned}$$

Note that the marginal on each of $\mathbf{x}, \mathbf{y}, \mathbf{z}$ is uniform; since we are assuming f odd, $\mathbf{E}[f(\mathbf{x})] = \mathbf{E}[f(\mathbf{y})] = \mathbf{E}[f(\mathbf{z})] = 0$. In addition, it is easy to see that the joint distribution on (\mathbf{x}, \mathbf{y}) is that of δ -correlated strings — we get correlation 0 from \mathcal{D}_{XOR} with probability $1 - \delta$ and correlation 1 from \mathcal{D}_{EQU} with probability δ . Hence

$$\begin{aligned}
(6.2) \quad \mathbf{E}[f(\mathbf{x})f(\mathbf{y})] &= \mathbf{E}_{\mathbf{x}}[f(\mathbf{x}) \cdot (T_\delta f)(\mathbf{x})] \\
&= \sum_S \delta^{|S|} \hat{f}(S)^2 = \sum_{|S| \text{ odd}} \delta^{|S|} \hat{f}(S)^2 \leq \delta^1,
\end{aligned}$$

where we again used the fact that f is odd. By symmetry, the above holds also for $\mathbf{E}[f(\mathbf{y})f(\mathbf{z})]$ and $\mathbf{E}[f(\mathbf{x})f(\mathbf{z})]$. Thus we have established

$$\begin{aligned}
(6.3) \quad \mathbf{E}[\text{NTW}(f(\mathbf{x}), f(\mathbf{y}), f(\mathbf{z}))] \\
\leq \frac{5}{8} + \frac{3}{8}\delta - \frac{3}{8}\mathbf{E}[f(\mathbf{x})f(\mathbf{y})f(\mathbf{z})]
\end{aligned}$$

and it remains to show that $-\mathbf{E}[f(\mathbf{x})f(\mathbf{y})f(\mathbf{z})]$ is small.

By the Fourier decomposition we have

$$\begin{aligned}
(6.4) \quad \mathbf{E}[f(\mathbf{x})f(\mathbf{y})f(\mathbf{z})] \\
= \sum_{A, B, C \subseteq [n]} \hat{f}(A)\hat{f}(B)\hat{f}(C)\mathbf{E}[\mathbf{x}_A \mathbf{y}_B \mathbf{z}_C].
\end{aligned}$$

As we have already seen, $\mathbf{E}[\mathbf{x}_i] = \mathbf{E}[\mathbf{y}_i] = \mathbf{E}[\mathbf{z}_i] = 0$ and $\mathbf{E}[\mathbf{x}_i \mathbf{y}_i] = \mathbf{E}[\mathbf{y}_i \mathbf{z}_i] = \mathbf{E}[\mathbf{x}_i \mathbf{z}_i] = \delta$; further, it is clear from (5.1) that $\mathbf{E}[\mathbf{x}_i \mathbf{y}_i \mathbf{z}_i] = -(1 - \delta)$ (the \mathcal{D}_{XOR} part contributes -1 and the \mathcal{D}_{EQU} part contributes 0). Hence in (6.4) we get a contribution only if A, B, C cover each index exactly 0, 2, or 3 times, with contributions of 1, δ , and $-(1 - \delta)$, respectively. This means that the sets must be expressible as $SUPUQ, SUQUR,$ and $SUPUR$ for disjoint S, P, Q, R . Hence (6.4) becomes

$$\begin{aligned}
(6.5) \quad \sum_{S \subseteq [n]} (-1)^{|S|} (1 - \delta)^{|S|} \sum_{\substack{P, Q, R \text{ disj} \\ \text{and disj from } S}} \delta^{|P|+|Q|+|R|} \hat{f}(S \cup P \cup Q) \hat{f}(S \cup Q \cup R) \hat{f}(S \cup P \cup R).
\end{aligned}$$

Since f is odd, the product of Fourier coefficients is 0 unless each of the sets $S \cup P \cup Q, S \cup Q \cup R, S \cup P \cup R$ have odd cardinality; it is easy to see that this forces $|S|$ to be odd.

Next, let us write $\bar{S} = [n] \setminus S$ and introduce the function $F_S : \{-1, 1\}^{\bar{S}} \rightarrow [-1, 1]$ defined by

$$F_S(u) = \widehat{f_{u \rightarrow \bar{S}}}(S);$$

i.e., $F_S(u)$ is the correlation with parity-on- S of the restriction of f given by substituting u into the coordinates \bar{S} . One can check that for any $V \subseteq \bar{S}$,

$$\widehat{F_S}(V) = \hat{f}(S \cup V).$$

Thus we may write (6.5) as

$$\begin{aligned}
&\sum_{|S| \text{ odd}} (-1)^{|S|} (1 - \delta)^{|S|} \sum_{\substack{P, Q, R \text{ disj} \\ \text{and disj from } S}} \delta^{|P|+|Q|+|R|} \\
&\cdot \widehat{F_S}(P \cup Q) \widehat{F_S}(Q \cup R) \widehat{F_S}(P \cup R) \\
&= - \sum_{|S| \text{ odd}} (1 - \delta)^{|S|} \sum_{\substack{P, Q, R \text{ disj} \\ \text{and disj from } S}} T_{\sqrt{\delta}} \widehat{F_S}(P \cup Q) \\
&\cdot T_{\sqrt{\delta}} \widehat{F_S}(Q \cup R) T_{\sqrt{\delta}} \widehat{F_S}(P \cup R) \\
&= - \sum_{|S| \text{ odd}} (1 - \delta)^{|S|} \mathbf{E}_{\mathbf{u}}[(T_{\sqrt{\delta}} F_S)(\mathbf{u})^3],
\end{aligned}$$

where in the final expression \mathbf{u} has the uniform distribution on $\{-1, 1\}^S$. Summarizing, we have

$$(6.6) \quad -\mathbf{E}[f(\mathbf{x})f(\mathbf{y})f(\mathbf{z})] \\ = \sum_{|S| \text{ odd}} (1-\delta)^{|S|} \mathbf{E}_{\mathbf{u}}[(T_{\sqrt{\delta}}F_S)(\mathbf{u})^3].$$

So far we have made only elementary Fourier manipulations; we now come to the more interesting part of the proof. Recall that

$$T_{\sqrt{\delta}}F_S = \widehat{F_S}(\emptyset) + \sqrt{\delta} \sum_{|V|=1} \widehat{F_S}(V)\chi_V + \delta \sum_{|V|=2} \widehat{F_S}(V)\chi_V + \dots$$

For δ very small, one feels that $T_{\sqrt{\delta}}F_S$ should almost be a constant function; specifically, the constant $\widehat{F_S}(\emptyset) = \hat{f}(S)$. If this were correct we would get that (6.6) is at most

$$(6.7) \quad \sum_{|S| \text{ odd}} (1-\delta)^{|S|} |\hat{f}(S)|^3.$$

This is precisely the critical term in Håstad's Dictator-vs.-Quasirandom Test based on XOR, so we know it will be small. Specifically,

$$(6.8) \quad (6.7) \leq \max_{|S| \text{ odd}} \{(1-\delta)^{|S|} |\hat{f}(S)|\} \cdot \sum_{|S| \text{ odd}} \hat{f}(S)^2 \\ \leq \max \left\{ \max_{0 < |S| \leq \ln(1/\delta)/\delta} |\hat{f}(S)|, (1-\delta)^{\ln(1/\delta)/\delta} \right\} \leq \sqrt{\delta},$$

where we used Parseval, and the second-to-last step used that f is $(\delta, \delta/\ln(1/\delta))$ -quasirandom.

We now need to make this more precise and understand the deviation of F_S from its mean. Write $\tilde{F}_S = F_S - \hat{f}(S)$, so that $\mathbf{E}[\tilde{F}_S] = 0$. Then

$$(6.6) = \sum_{|S| \text{ odd}} (1-\delta)^{|S|} \mathbf{E}_{\mathbf{u}}[(\hat{f}(S) + (T_{\sqrt{\delta}}\tilde{F}_S)(\mathbf{u}))^3] \\ \leq \sum_{|S| \text{ odd}} (1-\delta)^{|S|} \cdot 4(|\hat{f}(S)|^3 + \mathbf{E}_{\mathbf{u}}[(T_{\sqrt{\delta}}\tilde{F}_S)(\mathbf{u})]^3) \\ \text{(using } (a+b)^3 \leq 4(|a|^3 + |b|^3)\text{)} \\ = 4 \sum_{|S| \text{ odd}} (1-\delta)^{|S|} |\hat{f}(S)|^3 \\ + 4 \sum_{|S| \text{ odd}} (1-\delta)^{|S|} \|T_{\sqrt{\delta}}\tilde{F}_S\|_3^3 \\ \leq 4\sqrt{\delta} + 4 \sum_{|S| \text{ odd}} (1-\delta)^{|S|} \|T_{\sqrt{\delta}}\tilde{F}_S\|_3^3,$$

where we used (6.8). Combining this with (6.3), we

conclude

$$(6.9) \quad \mathbf{E}[\text{NTW}(f(\mathbf{x}), f(\mathbf{y}), f(\mathbf{z}))] \\ \leq \frac{5}{8} + \frac{3}{8}\delta + \frac{3}{2}\sqrt{\delta} + \frac{3}{2} \sum_{|S| \text{ odd}} (1-\delta)^{|S|} \|T_{\sqrt{\delta}}\tilde{F}_S\|_3^3,$$

and it remains to analyze the final term,

$$(6.10) \quad \sum_{|S| \text{ odd}} (1-\delta)^{|S|} \|T_{\sqrt{\delta}}\tilde{F}_S\|_3^3.$$

To do this we will use Corollary 6.1. First, though, we point out why a more naive bound would not be useful. Suppose we were to use

$$\|T_{\sqrt{\delta}}\tilde{F}_S\|_3^3 = \mathbf{E}[|T_{\sqrt{\delta}}\tilde{F}_S|^3] \\ \leq \|T_{\sqrt{\delta}}\tilde{F}_S\|_{\infty} \cdot \mathbf{E}[|T_{\sqrt{\delta}}\tilde{F}_S|^2] \leq 2\|T_{\sqrt{\delta}}\tilde{F}_S\|_2^2,$$

where we invoked the simple bound

$$\|T_{\sqrt{\delta}}\tilde{F}_S\|_{\infty} \leq \|T_{\sqrt{\delta}}F_S\|_{\infty} + |\hat{f}(S)| \\ \leq \|F_S\|_{\infty} + |\hat{f}(S)| \leq \|f\|_{\infty} + \|f\|_{\infty} \leq 2.$$

Now

$$(6.11) \quad \|T_{\sqrt{\delta}}\tilde{F}_S\|_2^2 = \sum_{\emptyset \neq V \subseteq \bar{S}} \delta^{|V|} \widehat{F_S}(V)^2 \\ = \sum_{\emptyset \neq V \subseteq \bar{S}} \delta^{|V|} \hat{f}(S \cup V)^2,$$

and thus we would get

$$(6.12) \quad (6.10) \leq 2 \sum_{|S| \text{ odd}} (1-\delta)^{|S|} \sum_{\emptyset \neq V \subseteq \bar{S}} \delta^{|V|} \hat{f}(S \cup V)^2 \\ = 2 \sum_{U \subseteq [n]} \hat{f}(U)^2 \mathbf{Pr}_{\mathbf{S} \subseteq_{1-\delta} U} [|\mathbf{S}| \text{ odd and } \mathbf{S} \neq U]$$

where $\mathbf{S} \subseteq_{1-\delta} U$ means \mathbf{S} is a subset of U chosen by including each coordinate with probability $1-\delta$. But for $|U| \gg 1/\delta$,

$$\mathbf{Pr}_{\mathbf{S} \subseteq_{1-\delta} U} [|\mathbf{S}| \text{ odd and } \mathbf{S} \neq U] \approx 1/2,$$

and there is no way we could get an upper bound better than 1 on $\sum_{|U| \gg 1/\delta} \hat{f}(U)^2$, even assuming f is quasirandom. We can also note that it is extremely important not to increase the $\sqrt{\delta}$ in any estimation on $\|T_{\sqrt{\delta}}\tilde{F}_S\|_3^3$; if we had any $\delta' > \delta$ in the above failed estimate, we wouldn't have a probability distribution on subsets of U , and wouldn't even be able to get an upper bound of 1.

With these issues explained, we now proceed with applying Corollary 6.1 to (6.10). Let λ be such that

$$(6.13) \quad \sqrt{\delta}^\lambda = 1/\sqrt{3-1} = 1/\sqrt{2}.$$

By our assumption that $0 < \delta < 1/8$ we have $0 < \lambda < 1/3$. Now the corollary implies

$$(6.14) \quad (6.10) \leq \sum_{|S| \text{ odd}} (1-\delta)^{|S|} \|T_{\sqrt{\delta}} \tilde{F}_S\|_2^{3-3\lambda} \|\tilde{F}_S\|_2^{3\lambda}.$$

We use

$$\begin{aligned} \|\tilde{F}_S\|_2^{3\lambda} &= (\|\tilde{F}_S\|_2^2)^{3\lambda/2} \\ &= \left(\sum_{\emptyset \neq V \subseteq \bar{S}} \hat{f}(S \cup V)^2 \right)^{3\lambda/2} \leq (\|f\|_2)^{3\lambda/2} \leq 1 \end{aligned}$$

and

$$\begin{aligned} \|T_{\sqrt{\delta}} \tilde{F}_S\|_2^{3-3\lambda} &= \|T_{\sqrt{\delta}} \tilde{F}_S\|_2^2 \cdot \|T_{\sqrt{\delta}} \tilde{F}_S\|_2^{1-3\lambda} \\ &\leq \left(\sum_{\emptyset \neq V \subseteq \bar{S}} \delta^{|V|} \hat{f}(S \cup V)^2 \right) \cdot \sqrt{\delta}^{1-3\lambda} \\ &\quad (\text{using (6.11) and } \lambda < 1/3) \\ &= 2^{3/2} \sqrt{\delta} \cdot \sum_{\emptyset \neq V \subseteq \bar{S}} \delta^{|V|} \hat{f}(S \cup V)^2 \\ &\quad (\text{using (6.13)}). \end{aligned}$$

Substituting these into (6.14) and using the calculation in (6.12) yields

$$\begin{aligned} (6.10) &\leq 2^{3/2} \sqrt{\delta} \cdot \sum_{U \subseteq [n]} \hat{f}(U)^2 \Pr_{\mathbf{S} \subseteq_{1-\delta} U} [|\mathbf{S}| \text{ odd and } \mathbf{S} \neq U] \\ &\leq 2^{3/2} \sqrt{\delta} \cdot \sum_{U \subseteq [n]} \hat{f}(U)^2 \leq 2^{3/2} \sqrt{\delta}. \end{aligned}$$

Finally, substituting this into (6.9) yields

$$\begin{aligned} \mathbf{E}[\text{NTW}(f(\mathbf{x}), f(\mathbf{y}), f(\mathbf{z}))] \\ \leq \frac{5}{8} + \frac{3}{8} \delta + \frac{3}{2} \sqrt{\delta} + 3\sqrt{2} \sqrt{\delta} \leq \frac{5}{8} + 6\sqrt{\delta}, \end{aligned}$$

as claimed.

7 Future work

Despite constructing the required Dictator-vs.-Quasirandom Test, we are unable to prove that satisfiable Max-NTW instances are $(5/8 + \epsilon)$ -hard to approximate. There is strong evidence that the known formal encapsulation of the Rule of Thumb cannot be used in our case. The reason is as follows: Our

Dictator-vs.-Quasirandom Test from Section 5 has the property that under \mathcal{D}_δ , each pair of bits has small but nonzero correlation δ . As discussed in Section 5.1, the correct test seems forced and thus it appears there is no way to avoid this pairwise correlation. But this would seem to rule out constructing the “two-function Dictator-vs.-Quasirandom Tests” necessary for the formal Rule of Thumb theorem. To see this, suppose we try to generalize \mathcal{D}_δ to a distribution on $(2d+1)$ -tuples $(a, \vec{b}, \vec{c}) \in \{-1, 1\} \times \{-1, 1\}^d \times \{-1, 1\}^d$. One can see that the marginal on each triple $(a, \vec{b}_\ell, \vec{c}_\ell)$ must be \mathcal{D}_δ : this is because the g function could always “ignore” all but the ℓ th index in each of its index groups J_i . But recall that each \vec{b}_ℓ has correlation δ with a . If $d = |J_i| \gg 1/\delta$, then by taking a majority over each of its index groups J_i , the g function can effectively “know” the bit a and hence confound the test.

Thus it seems there is little hope for proving the desired NP-hardness result with today’s PCP technology. Further, proving the result based on the Unique Games Conjecture is also out of the question: the Unique Games Conjecture inherently has imperfect completeness, so using it would defeat the purpose.

Only one window of opportunity remains: trying to prove the hardness result assuming Khot’s “ d -to-1 Conjecture” [16] for some constant d . This would give us both the perfect completeness we need and let us make $\delta \ll 1/d$ in order to overcome the small pairwise correlation in the test. However, the Dictator-vs.-Quasirandom Testing needed would become significantly more complicated to analyze.

In a forthcoming paper, we will indeed show Zwick’s conjecture $\text{NP} \subseteq \text{naPCP}_{1,5/8+\epsilon}(O(\log n), 3)$ assuming the d -to-1 Conjecture for any constant d .

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