

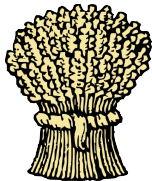
A complexity theory of constructible sheaves

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Outline

- 1 Motivation
- 2 Qualitative/Background
- 3 Quantitative/Effective
- 4 Complexity-theoretic

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Why constructible sheaves ?

- Provides a more natural geometric language, more expressiveness than (first-order) logic.
- It provides a (topological) generalization of quantifier elimination (Tarski-Seidenberg). It is interesting to study quantitative/algorithmic questions in this more general setting.
- Applications in other areas (D -module theory, computational geometry ...).
- Interesting extensions of Blum-Shub-Smale complexity classes leading to \mathbf{P} vs \mathbf{NP} type questions which (paradoxically) might be *easier* to resolve than the classical (B-S-S) ones.
- Quantitative study of sheaf cohomology might be interesting on its own.

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Semi-algebraic sets and maps

- **Semi-algebraic sets** are subsets of \mathbb{R}^n defined by Boolean formulas whose atoms are polynomial equalities and inequalities (i.e. $P = 0$, $P > 0$ for $P \in \mathbb{R}[X_1, \dots, X_n]$).
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Closure of semi-algebraic sets under different operations

Easy facts (i.e. follows more-or-less from the definitions) ...

Semi-algebraic sets are closed under:

- Finite unions and intersections, as well as taking complements.
- Cartesian products (or more generally fibered products over polynomial maps).
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In the language of maps instead of quantifiers

- Let $X \xrightarrow{f} Y$ be a map (between sets).
- Then there are induced maps:

$$\begin{array}{ccc|l}
 & \xrightarrow{f_{\exists}} & & f_{\exists}(A) := f(A) \\
 2^X & \xleftarrow{f^*} & 2^Y & f^*(B) := f^{-1}(B) \\
 & \xrightarrow{f_{\forall}} & & f_{\forall}(A) := Y - f(X - A)
 \end{array}$$

- The pairs (f_{\exists}, f^*) and (f^*, f_{\forall}) are not quite pairs of inverses. But ... they do satisfy adjointness relations (namely):

$$f_{\exists} \dashv f^* \dashv f_{\forall}$$

as functors between the poset categories $2^X, 2^Y$ (the objects are subsets and arrows correspond to inclusions).

This is just a *chic* way of saying that for $A \in 2^X, B \in 2^Y$,
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Tarski-Seidenberg arrow-theoretically

- For any semi-algebraic set \mathbf{X} , let $\mathcal{S}(\mathbf{X})$ denote the set of semi-algebraic subsets of \mathbf{X} .
- Let \mathbf{X}, \mathbf{Y} be semi-algebraic sets, and $\mathbf{X} \xrightarrow{f} \mathbf{Y}$ a polynomial map.
- (Tarski-Seidenberg restated) The restrictions of the maps $f^{\exists}, f^*, f^{\forall}$ give functors (maps)

$$\mathcal{S}(\mathbf{X}) \begin{array}{c} \xrightarrow{f^{\exists}} \\ \xleftarrow{f^*} \\ \xrightarrow{f^{\forall}} \end{array} \mathcal{S}(\mathbf{Y})$$

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Triviality of semi-algebraic maps

Yet harder. More than just Tarski-Seidenberg is true...

We say that a semi-algebraic map $\mathbf{X} \xrightarrow{f} \mathbf{Y}$ is **semi-algebraically trivial**, if there exists $\mathbf{y} \in \mathbf{Y}$, and a semi-algebraic homeomorphism $\phi : \mathbf{X} \rightarrow \mathbf{X}_{\mathbf{y}} \times \mathbf{Y}$ (denoting $\mathbf{X}_{\mathbf{y}} = f^{-1}(\mathbf{y})$) such that the following diagram is commutative.

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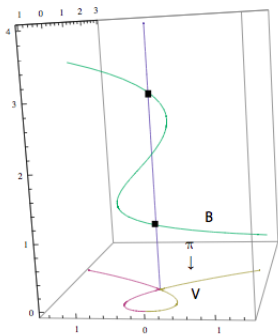
Theorem (Hardt (1980))

Let $\mathbf{X} \xrightarrow{f} \mathbf{Y}$ be a semi-algebraic map. Then, there is a finite partition $\{\mathbf{Y}_i\}_{i \in I}$ of \mathbf{Y} into locally closed semi-algebraic subsets \mathbf{Y}_i , such that for each $i \in I$, $f|_{f^{-1}(\mathbf{Y}_i)} : f^{-1}(\mathbf{Y}_i) \rightarrow \mathbf{Y}_i$ is semi-algebraically trivial.

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Generalization of Tarski-Seidenberg, since the image $f(\mathbf{X})$ is a (disjoint) union of a sub-collection of the \mathbf{Y}_i 's (and so in particular semi-algebraic).
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The formalism of “constructible sheaves” seems to be just the right compromise.

Little detour – Pre-sheaves of A -modules

Let A be a fixed commutative ring. For simplicity we will soon take $A = \mathbb{Q}$.

Definition (Pre-sheaf of A -modules)

A *pre-sheaf* \mathcal{F} of A -modules over a topological space X associates to each open subset $U \subset X$ an A -module $\mathcal{F}(U)$, such that that for all pairs of open subsets U, V of X , with $V \subset U$, there exists a *restriction* homomorphism $\tau_{U,V} : \mathcal{F}(U) \rightarrow \mathcal{F}(V)$ satisfying:

$$\tau_{U,U} = \text{id}_{\mathcal{F}(U)}$$

$$\tau_{U,W} = \tau_{V,W} \circ \tau_{U,V} \quad \text{for } U, V, W \text{ open subsets of } X, \text{ with } V \subset U \subset W$$

(For open subsets $U, V \subset X$, $V \subset U$, and $s \in \mathcal{F}(U)$, we will sometimes denote the element $\tau_{U,V}(s) \in \mathcal{F}(V)$ simply by $s|_V$.)

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Sheaves with constant coefficients

Definition (Sheaf of A -modules)

A pre-sheaf \mathcal{F} of A -modules on \mathbf{X} is said to be a *sheaf* if it satisfies the following two axioms. For any collection of open subsets $\{\mathbf{U}_i\}_{i \in I}$ of \mathbf{X} with $\mathbf{U} = \bigcup_{i \in I} \mathbf{U}_i$;

- ① if $s \in \mathcal{F}(\mathbf{U})$ and $s|_{\mathbf{U}_i} = 0$ for all $i \in I$, then $s = 0$;
- ② if for all $i \in I$ there exists $s_i \in \mathcal{F}(\mathbf{U}_i)$ such that

$$s_i|_{\mathbf{U}_i \cap \mathbf{U}_j} = s_j|_{\mathbf{U}_i \cap \mathbf{U}_j}$$

for all $i, j \in I$, then there exists $s \in \mathcal{F}(\mathbf{U})$ such that $s|_{\mathbf{U}_i} = s_i$ for each $i \in I$.

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Stalks of a sheaf

Definition (Stalk of a sheaf at a point)

Let \mathcal{F} be a (pre)-sheaf of A -modules on X and $x \in X$. The *stalk* \mathcal{F}_x of \mathcal{F} at x is defined as the inductive limit

$$\mathcal{F}_x = \varinjlim_{U \ni x} \mathcal{F}(U).$$

Derived category of sheaves on X

- One first considers the category whose objects are *complexes of sheaves* on X , and whose morphisms are *homotopy classes* of morphisms of complexes of sheaves.
- One then localizes with respect to a class of arrows so that complexes homotopic to 0 become isomorphic, to obtain the derived category $D(X)$ (resp. $D^b(X)$).
- This is no longer an abelian category but a *triangulated category*. Exact sequences replaced by distinguished triangles and so on...
- For our purposes it is “ok” to think of an object in $D(X)$ as a “complex of sheaves”.
- If $X = \{\text{pt}\}$, then an object in $D^b(X)$ is represented by a bounded complex C^\bullet of A -modules, and C^\bullet is isomorphic in the derived category to the complex $H^*(C^\bullet)$ (with all differentials = 0).
- In other words, $C^\bullet \cong \bigoplus_{n \in \mathbb{Z}} H^n(C^\bullet)[-n]$. But this is *not true* in general (i.e. if X is not a point).

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Operations on sheaves, derived images

Let \mathcal{F} be a sheaf on \mathbf{X} , and \mathcal{G} a sheaf on \mathbf{Y} , and $f : \mathbf{X} \rightarrow \mathbf{Y}$ a continuous map. Then, there exists naturally defined sheaves:

- $f^{-1}(\mathcal{G})$ – a sheaf on \mathbf{X} (pull back). (f^{-1} is an exact functor.)
- The derived direct image denoted $Rf_*(\mathcal{F})$ is an object in $D(\mathbf{Y})$ (and thus should be thought of as a complex of sheaves on \mathbf{Y}).
- We denote for $i \in \mathbb{Z}$, $R^i f_*(\mathcal{F})$ the sheaf $\mathcal{H}^i(Rf_*(\mathcal{F}))$ – but these separately don't determine $Rf_*(\mathcal{F})$.
- In the special case when $\mathcal{F} = A_{\mathbf{X}}$ (the constant sheaf on \mathbf{X}), $Rf_*(\mathcal{F})$ is obtained by associating to each open $U \subset \mathbf{Y}$, a complex of A -modules obtained by taking sections of a flabby resolution of the sheaf $A_{f^{-1}(U)}$.
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High school example – discriminant of a real quadratic

Logical formulation

$$(\exists X)X^2 + 2BX + C = 0$$

$$\Leftrightarrow$$

$$B^2 - C \geq 0$$

High school example – discriminant of a real quadratic

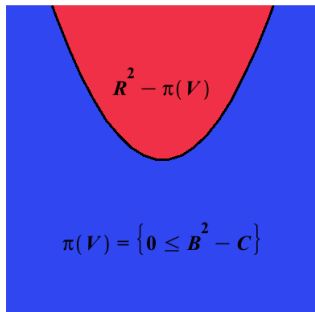
Geometric formulation

Defining $V \subset \mathbb{R}^3$ (with coordinates X, B, C) defined by $X^2 + 2BX + C = 0$ and $\pi : \mathbb{R}^3 \rightarrow \mathbb{R}^2, (x, b, c) \mapsto (b, c)$,

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Sheaf theoretic formulation

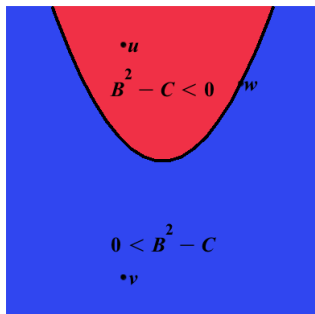
Denoting $j : V \hookrightarrow \mathbb{R}^3$, consider the sheaf $j_*(\mathbb{Q}_V) \cong \mathbb{Q}_{\mathbb{R}^3}|_V$, and its (derived) direct image $R\pi_*(j_*(\mathbb{Q}_V))$.

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The stalks of $R\pi_*(j_*(\mathbb{Q}_V))$ induce a finer partition:

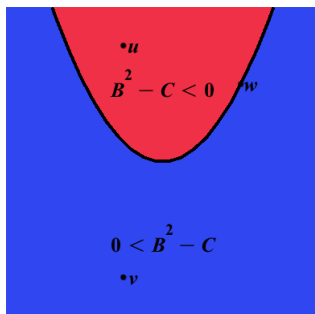


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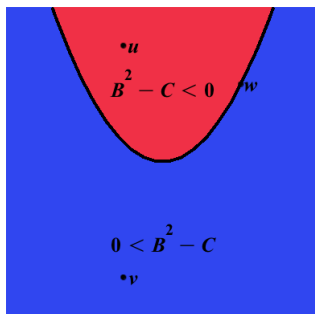
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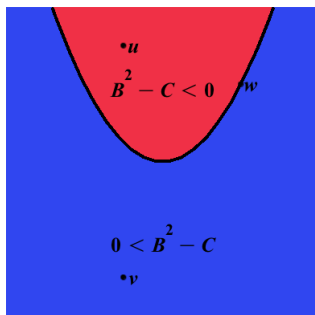
$$(R\pi_*(j_*\mathbb{Q}_V))_u \cong 0, \quad (R\pi_*(j_*\mathbb{Q}_V))_v \cong \mathbb{Q} \oplus \mathbb{Q},$$

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Example: Hopf vs trivial

Suppose that:

$$\mathbf{X} = \mathbb{S}^3 := \{(z_1, z_2) \in \mathbb{C}^2 \mid |z_1|^2 + |z_2|^2 = 1\},$$

$$\mathbf{X}' = \mathbb{S}^1 \times \mathbb{S}^2,$$

$$\mathbf{Y} = \mathbb{P}_{\mathbb{C}}^1 \cong \mathbb{S}^2,$$

$$f : \mathbf{X} \rightarrow \mathbf{Y}, (z_1, z_2) \mapsto (z_1 : z_2) \text{ (Hopf fibration),}$$

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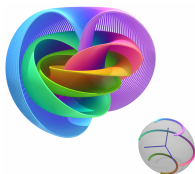
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The higher derived images of the sheaves $\mathbb{Q}_{\mathbf{X}}$ and $\mathbb{Q}_{\mathbf{X}'}$ under f and g

They are isomorphic !

$$R^0 f_*(\mathbb{Q}_{\mathbf{X}}) \cong \mathbb{Q}_{\mathbf{Y}} \cong R^0 g_*(\mathbb{Q}_{\mathbf{X}'}),$$

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but ...

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$$Rf_*(\mathbb{Q}_{\mathbf{X}})_{\mathbf{y}} \cong Rg_*(\mathbb{Q}_{\mathbf{X}'})_{\mathbf{y}} \cong \mathbb{Q}[-1] \oplus \mathbb{Q},$$

but ...

$$Rf_*(\mathbb{Q}_{\mathbf{X}}) \not\cong \mathbb{Q}_{\mathbf{Y}}[-1] \oplus \mathbb{Q}_{\mathbf{Y}} \cong Rg_*(\mathbb{Q}_{\mathbf{X}'}),$$

and to see that they are not isomorphic one has to notice ...

$$\mathbb{H}^*(\mathbf{Y}, Rf_*(\mathbb{Q}_{\mathbf{X}})) \cong \mathbb{H}^*(\mathbb{S}^3, \mathbb{Q}),$$

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Constructible sheaves

Definition (Constructible Sheaves)

Let \mathbf{X} be a locally closed semi-algebraic set. Following [Kashiwara-Schapira], an object $\mathcal{F} \in \text{Ob}(\mathbf{D}^b(\mathbf{X}))$ is said to be *constructible* if it satisfies the following two conditions:

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Sheaf-theoretic version of Tarski-Seidenberg

Theorem (Kashiwara (1975), Kashiwara-Schapira (1979))

Let $\mathbf{X} \xrightarrow{f} \mathbf{Y}$ be a continuous semi-algebraic map. Then for $\mathcal{F} \in \mathcal{CS}(\mathbf{X})$ and $\mathcal{G} \in \mathcal{CS}(\mathbf{Y})$, then

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More generally, the category of constructible sheaves is closed under the six operations of Grothendieck – namely, Rf_ , $Rf_!$, f^{-1} , $f^!$, \otimes , $R\mathcal{H}om$ – where f is a continuous semi-algebraic map.*

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- Long history, starting with **non-elementary-recursive** bound of Tarski's original algorithm, **doubly exponential algorithm** due to Collins (1975) (and also Wuthrich (1976)) using **Cylindrical Algebraic Decomposition**.
- For each $n \geq 0$, let $\pi_n : \mathbb{R}^n \rightarrow \mathbb{R}^{\lfloor n/2 \rfloor}$ denote the projection map forgetting the last $n - \lfloor n/2 \rfloor$ coordinates.
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Theorem (B., Vorobjov)

*The semi-algebraic partition in Hardt triviality theorem has at most **doubly exponential** complexity.*

Unknown, whether it is actually singly exponential.

However, ...

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The number of homotopy types of fibers is bounded singly exponentially. More precisely, if $S \subset \mathbb{R}^n \times \mathbb{R}^m$ is a semi-algebraic set defined by s polynomials of degrees at most d , and $\pi : \mathbb{R}^n \times \mathbb{R}^m \rightarrow \mathbb{R}^m$ the projection to the second factor, then the number of homotopy types amongst the fibers $S_y, y \in \mathbb{R}^m$ (where $S_y = S \cap \pi^{-1}(y)$) is bounded by $(sd)^{O(mn)}$.

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Complexity of the direct image functor

Theorem (B. 2014)

The complexity (both quantitative and algorithmic) of the (direct image) functor $R\pi_{n,} : \mathcal{CS}(\mathbb{R}^n) \rightarrow \mathcal{CS}(\mathbb{R}^{\lfloor n/2 \rfloor})$ is bounded singly exponentially.*

More precisely:

Let $F \in \mathcal{CS}(\mathbb{R}^n)$ have compact support, and such that there exists a semi-algebraic partition of \mathbb{R}^n subordinate to F defined by the sign conditions on s polynomials of degree at most d , then

- (a) there exists a semi-algebraic partition of $\mathbb{R}^{\lfloor n/2 \rfloor}$ subordinate to $R\pi_*(F)$ having complexity $(sd)^{n^{O(1)}}$;
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Theorem (B. 2014)

The complexity (both quantitative and algorithmic) of the (direct image) functor $R\pi_{n,*} : \mathcal{CS}(\mathbb{R}^n) \rightarrow \mathcal{CS}(\mathbb{R}^{\lfloor n/2 \rfloor})$ is bounded singly exponentially.

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Proof ingredients

- Several ingredients recently developed for studying algorithmic and quantitative questions in semi-algebraic geometry.
- Ideas used to prove singly exponential bounds on the number of homotopy types of the fibers of definable maps (B.-Vorobjov (2007)).
- Singly exponential sized covering by contractibles (B.-Pollack-Roy (2008)).
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Blum-Shub-Smale complexity classes over \mathbb{R}

- Let \mathcal{S} denote the (poset) category of sequences $(S_n \in \mathcal{S}(\mathbb{R}^{m(n)}))_{n>0}$ where each $m(n)$ is a non-negative integer valued function.
- We say that $\mathbf{L} \in \mathcal{S}$ is in $\mathbf{P}_{\mathbb{R}}$, iff there exists a B-S-S machine recognizing \mathbf{L} in polynomial time.
- Recall that we also have sequences of maps:

$$\left(\begin{array}{ccc} & \xrightarrow{\pi_{m,\exists}} & \\ \mathcal{S}(\mathbb{R}^m) & & \mathcal{S}(\mathbb{R}^{\lfloor m/2 \rfloor}) \\ & \xleftarrow{\pi_m^*} & \\ & \xrightarrow{\pi_{m,\forall}} & \end{array} \right)_{m>0} .$$

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$NP_{\mathbb{R}}$, $co-NP_{\mathbb{R}}$, $PH_{\mathbb{R}}$ and all that ...

π_m^* , $\pi_{m,\exists}$, $\pi_{m,\forall}$ induce in a natural way the following endo-functors

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(Aside) As mentioned before the pairs (π_{\exists}, π^*) , (π^*, π_{\forall}) are not quite pairs of inverse functors, but they form an adjoint triple:

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We have the following obvious equality and inclusions:

$$\mathbf{P}_{\mathbb{R}} = \pi^*(\mathbf{P}_{\mathbb{R}}),$$

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Complexity classes of constructible sheaves

Definition (Informal definition of the class $\mathcal{P}_{\mathbb{R}}$)

Informally we define the class $\mathcal{P}_{\mathbb{R}}$ as the set of sequences

$(F_n \in \mathcal{CS}(\mathbb{R}^{m(n)}))_{n>0}$ such that

- (a) there exists a corresponding sequence of semi-algebraic partitions of $\mathbb{R}^{m(n)}$, subordinate to F_n , in which *point location can be performed efficiently*;
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Example 0

Constant sheaf on compact sequences in $\mathbf{P}_{\mathbb{R}}$

Let $(S_n \in \mathcal{S}(\mathbb{R}^{m(n)}))_{n>0} \in \mathbf{P}_{\mathbb{R}}^c$. Let $j_n : S_n \hookrightarrow \mathbb{R}^n$ be the inclusion map. Then,

$$(j_{n,*} \mathbb{Q}_{S_n})_{n>0} \in \mathcal{P}_{\mathbb{R}}.$$

Example 1

Systems of few quadrics

Let $s > 0$ be fixed, and consider for each $n > 0$, the compact real algebraic set $V_n \subset (\mathbf{S}^{\binom{n+1}{2}-1})^s \times \mathbf{S}^n$ defined by

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For each $n > 0$, let $V_n \subset \mathbf{S}^{n-1} \times \mathbf{S}^{n^2-1}$ be the semi-algebraic set defined by

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Reminiscent of the classical B-S-S complexity class $\mathbf{P}_{\mathbb{R}}$...

- The class $\mathcal{P}_{\mathbb{R}}$ is stable under various sheaf operations – direct sums, tensor products, truncation functors.
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Complexity classes of constructible sheaves (cont).

- The functors $\pi_m^{-1}, R\pi_{m,*}$ induce in a natural way endo-functors

$$\mathcal{CS} \begin{array}{c} \xleftarrow{\pi^{-1}} \\ \xrightarrow{R\pi_*} \end{array} \mathcal{CS}.$$

where \mathcal{CS} is the category of sequences $(F_n \in \mathcal{CS}(\mathbb{R}^{m(n)}))_{n>0}$.

- We have the adjunction: $\pi^{-1} \dashv R\pi_*$.
- Similar to the set-theoretic case, the following equality and containment can be checked easily.

$$\pi^{-1}(\mathcal{P}_{\mathbb{R}}) = \mathcal{P}_{\mathbb{R}},$$

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- We define: $\Lambda_{\mathbb{R}}$ as the closure of the class $R\pi_*(\mathcal{P}_{\mathbb{R}})$ under the “easy” sheaf operations (namely, truncations, tensor products, direct sums and pull-backs), and define $\mathcal{PH}_{\mathbb{R}}$ by iteration as before.

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Examples of sequences in $\Lambda_{\mathbb{R}}$

Suppose that $(j_n : S_n \hookrightarrow \mathbb{R}^{m(n)})_{n>0}$ belong to $\text{NP}_{\mathbb{R}}^c$ or to $\text{co-NP}_{\mathbb{R}}^c$.

Proposition

Then,

$$(j_{n,*} \mathbb{Q}_{S_n} \in \text{CS}(\mathbb{R}^{m(n)}))_{n>0} \in \Lambda_{\mathbb{R}}.$$

Another example

Let $V_n \subset \mathbf{S}^{N_n, 4-1} \times \mathbf{S}^n$ defined by

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Conjecture and relation with the classical questions

Conjecture

$$\mathcal{P}_{\mathbb{R}} \neq \Lambda_{\mathbb{R}}.$$

Theorem (B., 2014)

$$\mathbf{P}_{\mathbb{R}}^c \neq \mathbf{NP}_{\mathbb{R}}^c \Rightarrow \mathcal{P}_{\mathbb{R}} \neq \Lambda_{\mathbb{R}}.$$

Possibly – using the real analog of Toda's theorem (B.-Zell (2010)) – there is even the stronger implication:

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Theorem

Let $\mathbf{L} = (S_n \in \mathcal{S}(\mathbb{R}^{m(n)}))_{n>0} \in \mathbf{P}_{\mathbb{R}}$. Then, there exists a constant $c_{\mathbf{L}}$, such that

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for all $n > 0$.

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... But there might be other finer topological/geometric invariants – perhaps, related to complexity of stratification or desingularization

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Complexity theory of constructible functions

Let \mathbf{X}, \mathbf{Y} be compact semi-algebraic sets, and $f : \mathbf{X} \rightarrow \mathbf{Y}$ a semi-algebraic continuous map. Then, we have the following commutative diagram:

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where we denote by $\mathcal{CF}(\mathbf{X})$ the set of constructible functions $f : \mathbf{X} \rightarrow \mathbb{R}$ on a semi-algebraic set \mathbf{X} .

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Open problems and future directions

- Study more precisely the complexity of sheaf operations.
- Develop a theory of completeness which generalizes the classical theory.
- Get rid of the compactness/properness restrictions or understand better their significance.
- Role of adjointness in complexity questions ? For example, other pairs of adjoint functors such as the pair $(F \overset{L}{\otimes} \cdot \dashv R\mathcal{H}om(\cdot, F))$? More input from abstract category theory ?
- Applications of algorithmic/quantitative sheaf theory in other areas – such as D -modules, algebraic theory of PDE's, computational geometry/topology.
- Study the (simpler) complexity theory of **constructible functions** instead of sheaves (B-S-S analog of Valiant). This has been developed somewhat including a theory of reduction and complete problems (B. (2014).

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