

# *On the complexity of polynomial system solving*

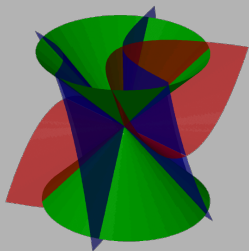


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**LIX – École Polytechnique**

partly based on a joint work with Pascal Koiran & Natacha Portier

XXV<sup>èmes</sup> rencontres arithmétiques de Caen  
Île de Tatihou, June 30. – July 4., 2014

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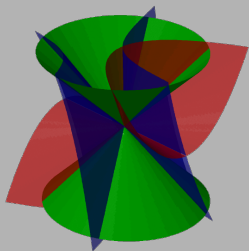


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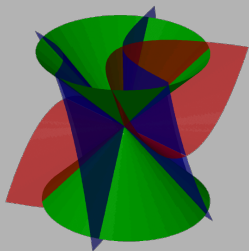
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**PolSys $\mathbb{K}$**

**Input:**  $f_1, \dots, f_s \in \mathbb{K}[X_1, \dots, X_n]$

**Question:** Is there  $\mathbf{a} \in \overline{\mathbb{K}}^n$  s.t.  $f(\mathbf{a}) = 0$ ?

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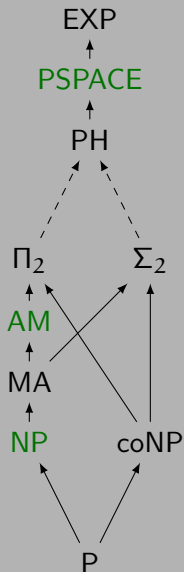
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- ▶ Lower and upper bounds in terms of complexity classes
- ▶  $\mathbb{K}$ : Either  $\mathbb{Z}$  or  $\mathbb{F}_q$  for some  $q = p^s$
- ▶ Variants: Homogeneity, number of polynomials



### Definition

- P Deterministic polynomial time
- NP, coNP Non-deterministic polynomial time
- MA, AM Merlin-Arthur, Arthur-Merlin
- $\Sigma_2, \Pi_2, PH$  Polynomial hierarchy
- PSPACE (Non-)deterministic polynomial space
- EXP Deterministic exponential time

## HOMPOLSYS $\mathbb{K}$

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Question: Is there a **nonzero**  $\mathbf{a} \in \overline{\mathbb{K}}^{n+1}$  s.t.  $f(\mathbf{a}) = 0$ ?

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## Proposition

For  $\mathbb{K} = \mathbb{Z}$  or  $\mathbb{F}_q$ , POLSYS $\mathbb{K}$  and HOMPOLSYS $\mathbb{K}$  are polynomial-time equivalent.

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## Proof.

- ▶ POLSYS $\mathbb{K} \leq_m^P$  HOMPOLSYS $\mathbb{K}$ : Homogenization
- ▶ HOMPOLSYS $\mathbb{K} \leq_m^P$  POLSYS $\mathbb{K}$ : New polynomial  $\sum_i X_i Y_i - 1$ , where  $Y_0, \dots, Y_n$  are fresh variables



## *Glimpse of Elimination Theory*

$$f_1, \dots, f_s \in \mathbb{K}[X_0, \dots, X_n], \quad f_i = \sum_{|\alpha|=d_i} \gamma_{i,\alpha} X^\alpha$$

**For which  $\gamma_{i,\alpha}$  is there a root?**

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**For which  $\gamma_{i,\alpha}$  is there a root?**

There exist  $R_1, \dots, R_h \in \mathbb{K}[\boldsymbol{\gamma}]$  s.t.

$$\begin{cases} R_1(\boldsymbol{\gamma}) = 0 \\ \vdots \\ R_h(\boldsymbol{\gamma}) = 0 \end{cases} \implies \exists \mathbf{a} \neq \mathbf{0}, \quad \begin{cases} f_1(\mathbf{a}) = 0 \\ \vdots \\ f_s(\mathbf{a}) = 0 \end{cases}$$

## *Two Polynomials*

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**Sylvester Matrix**

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## *More generally*

- ▶  $f_1, \dots, f_{n+1} \in \mathbb{K}[X_0, \dots, X_n] \rightsquigarrow$  a **unique** resultant polynomial
  - Sylvester matrix  $\rightsquigarrow$  Macaulay matrices (**exponential size**)

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### RESULTANT $\mathbb{K}$

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## Theorem

Let  $f_1, \dots, f_s \in \mathbb{K}[X_1, \dots, X_n]$ . Then

$$\forall \mathbf{a} \in \overline{\mathbb{K}}, f(\mathbf{a}) \neq 0 \iff \exists q_1, \dots, q_s \in \mathbb{K}[\mathbf{X}], 1 = q_1 f_1 + \dots + q_s f_s.$$

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Sketch of an algorithm.

- ▶ Write  $q_i = \sum_{|\alpha| \leq D} q_{i,\alpha} \mathbf{X}^\alpha$  where the  $q_{i,\alpha}$ 's are indeterminates.
- ▶  $\sum_i q_i f_i = 1$  is a **linear system** of  $D^n$  equations on  $sD^n$  variables.
- ▶ Linear systems can be solved in logarithmic space.
- ▶ Do not store the linear system, but compute entries on demand.  
 $\implies \text{PoLSys}_{\mathbb{K}}$  can be solved in space  $\text{poly}(n \log D, \log s)$ .

# *Polynomial System Solving in PSPACE*

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## **Theorem**

[Kollár'88, Fitchas-Galligo'90]

The  $q_i$ 's can be chosen such that  $\deg(q_i) \leq \max(3, d)^n$ .

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More specifically,  $\text{PoLSys}_{\mathbb{K}} \in \text{DSPACE}((n \log d \log s)^{\mathcal{O}(1)})$ .

**Theorem**

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### Proof idea.

- ▶ The resultant can be expressed as a gcd of  $n$  determinants of Macaulay matrices.
- ▶ Macaulay matrices can be represented by polynomial-size boolean circuits.
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## Theorem

[Koiran-Perifel'07]

The same holds true in Valiant's algebraic model of computation.

- ▶  $f_1, \dots, f_{n+1} \in \mathbb{K}[X_0, \dots, X_n]$ , homogeneous, of degrees  $d_1, \dots, d_n$
- ▶  $D = \sum_i (d_i - 1)$ ,  $\mathcal{M}_D^n = \{X_0^{\alpha_0} \cdots X_n^{\alpha_n} : \alpha_0 + \dots + \alpha_n = D\}$

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## Definition

The first Macaulay matrix is defined as follows:

- ▶ Its rows and columns are indexed by  $\mathcal{M}_D^n$ ;
- ▶ The row indexed by  $\mathbf{X}^\alpha$  represents

$$\frac{\mathbf{X}^\alpha}{X_i^{d_i}} f_i, \text{ where } i = \min\{j : d_j \leq \alpha_j\}.$$

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- ▶ Resultant : GCD of the determinants of  $n$  Macaulay matrices

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- ▶ Let  $\mathcal{M}$  be a PSPACE Turing Machine and  $\mathcal{G}_{\mathcal{M}}^x$  its *graph of configurations*, with initial configuration  $c_i$  and accepting configuration  $c_a$ ;
- ▶  $\mathcal{G}_{\mathcal{M}}^x$  can be represented by a boolean circuit;
- ▶ There exists a path  $c_i \rightsquigarrow c_a$  in  $\mathcal{G}_{\mathcal{M}}^x$  iff  $\mathcal{M}$  accepts  $x$ ;
- ▶ Let  $A \simeq$  adjacency matrix of  $\mathcal{G}_{\mathcal{M}}^x$ :  $\det(A) \neq 0 \iff \exists c_i \rightsquigarrow c_a$ .

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$$\text{NP} \subseteq \text{MA} \subseteq \text{AM}$$

## *Polynomial system mod primes*

- ▶ Let  $f = (f_1, \dots, f_s)$ , with  $f_i \in \mathbb{Z}[X_1, \dots, X_n]$ ;
- ▶ Let  $\pi_f(x)$  be the set of prime numbers  $\leq x$ , s.t.  $f$  has a root mod  $p$ .

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There exist polynomial-time computable  $A$  and  $x_0$  s.t.

- ▶ If  $f$  has no root in  $\mathbb{C}$ , then  $|\pi_f(x_0)| \leq A$ ;
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## Proof idea.

- ▶ Using Hilbert's Nullstellensatz, there exists  $b \in \mathbb{Z}$  and  $q_i \in \mathbb{Z}[X]$  such that  $q_1 f_1 + \dots + q_s f_s = b$ , with  $\log b = \exp(s, d)$ .
- ▶ Using effective quantifier elimination, consider a root  $\alpha$  of  $f$  such that  $\mathbb{Q}(\alpha) = \mathbb{Q}/\langle R \rangle$  where  $R$  is "small". Roots of  $R$  in  $\mathbb{F}_p$  yield roots of  $f$  in  $\mathbb{F}_p$ . Use an Effective Chebotarev Density Theorem (ERH) to prove that  $R$  has "many" roots.



**Theorem**

Let  $\mathcal{U}$  be a universe and  $\{S_x \subseteq \mathcal{U} : x \in \Sigma^*\}$  a collection of sets s.t. for all  $x$ , either  $|S_x| \leq \alpha|\mathcal{U}|$  or  $|S_x| \geq 4\alpha|\mathcal{U}|$ , and  $S_x \in \text{NP}$ . Then the following problem is in AM: Given  $x$ , does  $|S_x| \geq 4\alpha|\mathcal{U}|$ ?

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### Proof idea.

- ▶  $4\alpha \simeq 1$ : Arthur chooses  $y \in \mathcal{U}$  at random, and asks Merlin a certificate that  $y \in S_x$ . If  $|S_x| \simeq |\mathcal{U}|$ ,  $\Pr(y \in S_x) \simeq 1$ .
- ▶  $\alpha \ll 1$ : Consider a set  $T$  of size  $4\alpha|\mathcal{U}|$  and a family of universal hash functions  $h : \mathcal{U} \rightarrow T$ .
  1. Arthur chooses  $h$  and  $t \in T$  at random.
  2. Merlin must return  $y \in S_x$  s.t.  $h(y) = t$ , with a certificate

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**Proof** ( $\text{POLSYS}_{\mathbb{Z}} \in \text{AM}$ ).  $\mathcal{U} = \{p \leq x_0 : p \text{ is prime}\}$ ,  $S_f = \pi_f(x_0)$ .



## *Lower bounds for non-square systems*

### **Proposition**

[Folklore]

For  $\mathbb{K} = \mathbb{Z}$  or  $\mathbb{F}_p$ ,  $\text{POLSYS}_{\mathbb{K}}$  &  $\text{HOMPOLSYS}_{\mathbb{K}}$  are **NP-hard**.

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**Proof.** Case  $\text{HomPolSys}_{\mathbb{F}_p}$ , with  $p \neq 2$ :

## BoolSys

### ▶ Boolean variables

$u_1, \dots, u_n$

### ▶ Equations

- $u_i = \text{True}$
- $u_i = \neg u_j$
- $u_i = u_j \vee u_k$

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[Folklore]

For  $\mathbb{K} = \mathbb{Z}$  or  $\mathbb{F}_p$ ,  $\text{POLSYS}_{\mathbb{K}}$  &  $\text{HOMPOLSYS}_{\mathbb{K}}$  are **NP-hard**.

**Proof.** Case  $\text{HOMPOLSYS}_{\mathbb{F}_p}$ , with  $p \neq 2$ :

### BoolSys

▶ **Boolean** variables

$u_1, \dots, u_n$

▶ **Equations**

- $u_i = \text{True}$
- $u_i = \neg u_j$
- $u_i = u_j \vee u_k$

### HOMPOLSYS $_{\mathbb{K}}$

▶ **Variables (over  $\mathbb{F}_p$ )**  $X_0$  and

$X_1, \dots, X_n$

▶ **Polynomials**  $X_0^2 - X_i^2$  for every  $i > 0$  and

- $X_0 \cdot (X_i + X_0)$
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*Lower bound for the resultant in char. 0*

**Proposition**

[Heintz-Morgenstern'93]

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**Note.** PARTITION $\mathbb{F}_p \in P$

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## *A randomized reduction*

- ▶ Define  $g_i = \sum_{j=1}^s \alpha_{ij} f_j$ ,  $0 \leq i \leq n$ :  $f(\mathbf{a}) = \mathbf{0} \implies g(\mathbf{a}) = \mathbf{0}$ .

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## Theorem

[G.-Koiran-Portier'10-13]

Let  $p$  be a prime number.  $\text{RESULTANT}_{\mathbb{F}_q}$  is NP-hard for **degree-2** polynomials for some  $q = p^s$ , under **randomized reductions**.

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- ▶ New variables:  $Y_1, \dots, Y_{s-n-1}$

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$$g(\mathbf{X}, \mathbf{Y}) = \left( \begin{array}{l} \\ \\ \\ \\ \\ \end{array} \right)$$

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$\mathbf{a}$  root of  $f \implies (\mathbf{a}, \mathbf{0})$  root of  $g$

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# Thank you!