

Mechanisation of SETH \Rightarrow OVH

or proving a conditional lower bound
in P using the extraction-framework

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Conditional lower bounds

- Ideally, for any problem A we would like to
 - Find: an algorithm with running time $\mathcal{O}(t(n))$
 - Prove: any algorithm solving A has runtime $\Omega(t(n))$
- Real world is quite different
- We have **no** techniques for proving **unconditional** lower bounds
 - We can prove that $\text{SAT} \in \Omega(n^2)$
- However, we know how to prove **conditional** lower bounds
 - Let $P \neq NP$, then Clique has no poly-time algorithm
 - Many others: 3SUM, APSP, ETH, SETH, Clique \notin FPT,...

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 - Many others: 3SUM, APSP, ETH, **SETH**, Clique \notin FPT,...

Strong Exponential Time Hypothesis (SETH)

- Algorithms for solving kSAT
 - Trivial algorithm: $kSAT \in \mathcal{O}(2^n \cdot \text{poly}(\text{size}))$
 - Paruti: $kSAT \in \mathcal{O}(2^{(1-\mu_k/(k-1))n} \cdot \text{poly}(\text{size}))$
 - Impagliazzo: $kSAT \in \mathcal{O}(2^{(1-d/k)n} \cdot \text{poly}(\text{size}))$
- With big k the runtime tends towards $\mathcal{O}(2^n \cdot \text{poly}(\text{size}))$
 - E.g., $\exists k, kSAT \notin \mathcal{O}(2^{0.9999 \cdot n} \cdot \text{poly}(\text{size}))$
- Strong Exponential Time Hypothesis (SETH)
 - There is no “fast” algorithm for kSAT
 - Formally: $\forall \varepsilon \in \mathbb{R} : \varepsilon > 0, \exists k, kSAT \notin \mathcal{O}(2^{(1-\varepsilon) \cdot n} \cdot \text{poly}(\text{size}))$

Orthogonal Vectors Problem (OV)

- Problem: Given two sets of vectors $A, B \in \mathbb{N}^{d \times n}$, we are to decide whether there are $a \in A$ and $b \in B$ such that $\langle a, b \rangle = 0$
- Given $a, b \in \mathbb{N}^d$, define the dot product of vectors as follows: $\langle a, b \rangle = \sum_{i=0}^{d-1} a_i \cdot b_i$

0	2	1	3	0	1	7	0	2	0	2	0
3	0	0	1	1	0	0	4	1	4	5	2
7	0	1	3	4	2	5	3	0	7	3	2
0	7	1	0	2	2	3	0	6	5	0	0
2	0	0	3	7	0	7	1	6	0	4	1
5	1	5	4	3	1	0	0	1	4	1	1
3	0	8	6	0	3	2	3	3	0	4	3

Orthogonal Vectors Problem (OV)

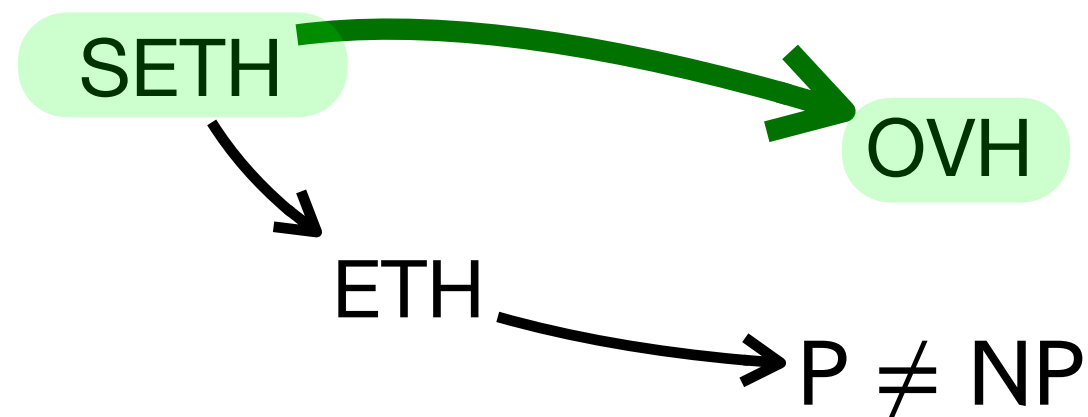
- Naive algorithm: $OV \in \mathcal{O}(n^2 \cdot d)$
- Question: can we solve OV faster?
 - Is $OV \in \mathcal{O}(n^{1.9} \cdot d)$?
 - Is $OV \in \mathcal{O}(n^{1.999} \cdot d^2)$?
 - Or maybe $OV \in \mathcal{O}(n^{1.9999} \cdot d^{100})$?

0	2	1	3	0	1
3	0	0	1	1	0
7	0	1	3	4	2
0	7	1	0	2	2
2	0	0	3	7	0
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7	1	6	0	4	1
0	0	1	4	1	1
2	3	3	0	4	3

Orthogonal Vectors Hypothesis (OVH)

- Orthogonal Vectors Hypothesis (OVH):
 - There is **no** “fast” algorithm for OV
 - That is, $\forall \varepsilon > 0 \wedge \text{OV} \notin \mathcal{O}(n^{2-\varepsilon} \cdot \text{poly}(d))$
- Today’s theorem: if SETH holds, then OVH holds



Proof via Reduction

SETH \implies OVH

- Proof idea:
 - Assuming a “fast” algorithm ov for OV,
construct a “fast” algorithm $ksat$ for kSAT
- Map an instance of kSAT to an instance of OV
 - Define a reduction $f : \text{kSAT} \mapsto \text{OV}$
 - Prove its correctness $\psi \in \text{kSAT} \iff f(\psi) \in \text{OV}$
 - Prove runtime bound for f
- Combine reduction and the algorithm for OV:
 $ksat := ov \circ f$

Remarks

SETH \implies OVH

- Assumption about NP, implication about P
- The reduction is in exp-time, which blows-up an instance exponentially
- Requires tricky work with complexity analysis
- The theorem is quite recent [1]

[1]: Ryan Williams. “A new algorithm for optimal 2-constraint satisfaction and its implications”. 2005

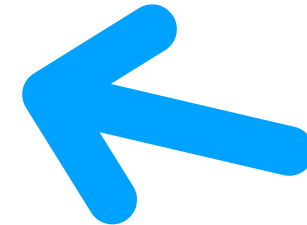
Contributions

- Define reduction and prove its correctness
- Prove runtime bound on the reduction
- Combine previous steps to obtain* $\text{SETH} \implies \text{OVH}$

* (up to some problems with the handling of \mathbb{R})

Contributions

- Define reduction and prove its correctness
 - Pen&Paper proof is well-known
 - RIL: The proof is mechanised
- Prove runtime bound on the reduction
- Combine previous steps to obtain $\text{SETH} \implies \text{OVH}$



Reduction and its Correctness

- Given: a formula

$$\psi = (l_{1,1} \vee \dots \vee l_{1,k}) \wedge \dots \wedge (l_{m,1} \vee \dots \vee l_{m,k})$$

- N variables, M clauses, each clause has at most K literals
- Want: construct two sets A and B such that
$$\exists \alpha \models \psi \iff \exists a \in A, b \in B, \langle a, b \rangle = 0$$

Reduction and its Correctness

$$(l_{1,1} \vee \dots \vee l_{1,k})$$

$$(l_{2,1} \vee \dots \vee l_{2,k})$$

$$(l_{3,1} \vee \dots \vee l_{3,k})$$

...

$$(l_{m,1} \vee \dots \vee l_{m,k})$$

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$$(l_{m,1} \vee \dots \vee l_{m,k})$$

$$\alpha = \{x_1 \mapsto \perp, x_2 \mapsto \perp, \dots, x_{n/2} \mapsto \perp, x_{n/2+1} \mapsto ?, \dots, x_n \mapsto ?\}$$

Partial assignment

$x \mapsto \text{Some } \perp \mid \text{Some } \top \mid \text{None}$

Reduction and its Correctness

$$\begin{array}{ccc}
 (l_{1,1} \vee \dots \vee l_{1,k}) & \xrightarrow{\alpha} & \top \\
 (l_{2,1} \vee \dots \vee l_{2,k}) & \xrightarrow{\alpha} & \perp \\
 (l_{3,1} \vee \dots \vee l_{3,k}) & \xrightarrow{\alpha} & ? \\
 \dots & \dots & \\
 (l_{m,1} \vee \dots \vee l_{m,k}) & \xrightarrow{\alpha} & \perp
 \end{array}$$

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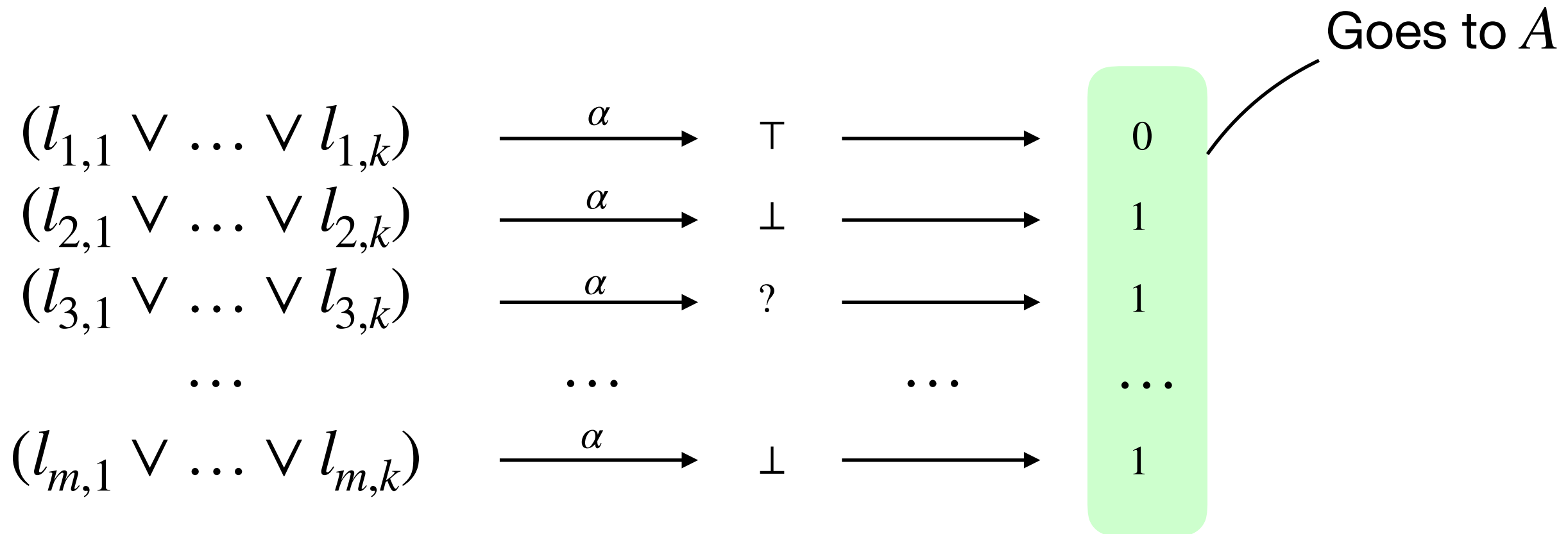
$(l_{1,1} \vee \dots \vee l_{1,k})$	$\xrightarrow{\alpha}$	\top	\longrightarrow	0
$(l_{2,1} \vee \dots \vee l_{2,k})$	$\xrightarrow{\alpha}$	\perp	\longrightarrow	1
$(l_{3,1} \vee \dots \vee l_{3,k})$	$\xrightarrow{\alpha}$	$?$	\longrightarrow	1
\dots	\dots		\dots	\dots
$(l_{m,1} \vee \dots \vee l_{m,k})$	$\xrightarrow{\alpha}$	\perp	\longrightarrow	1

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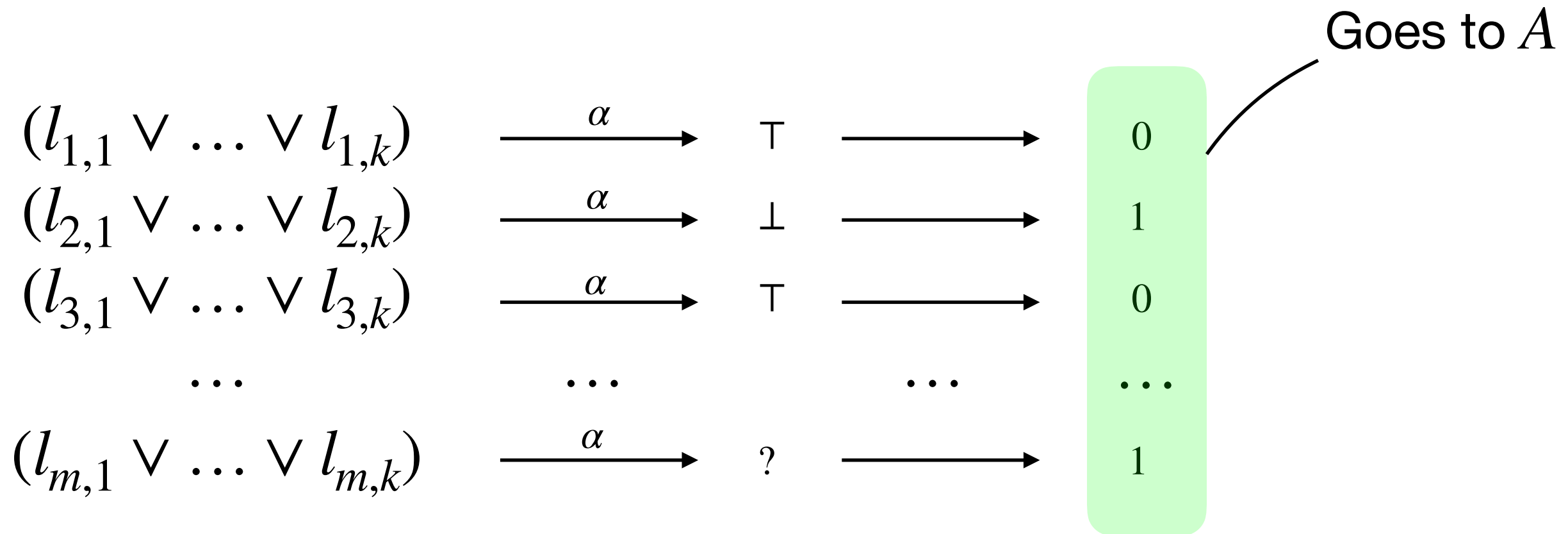


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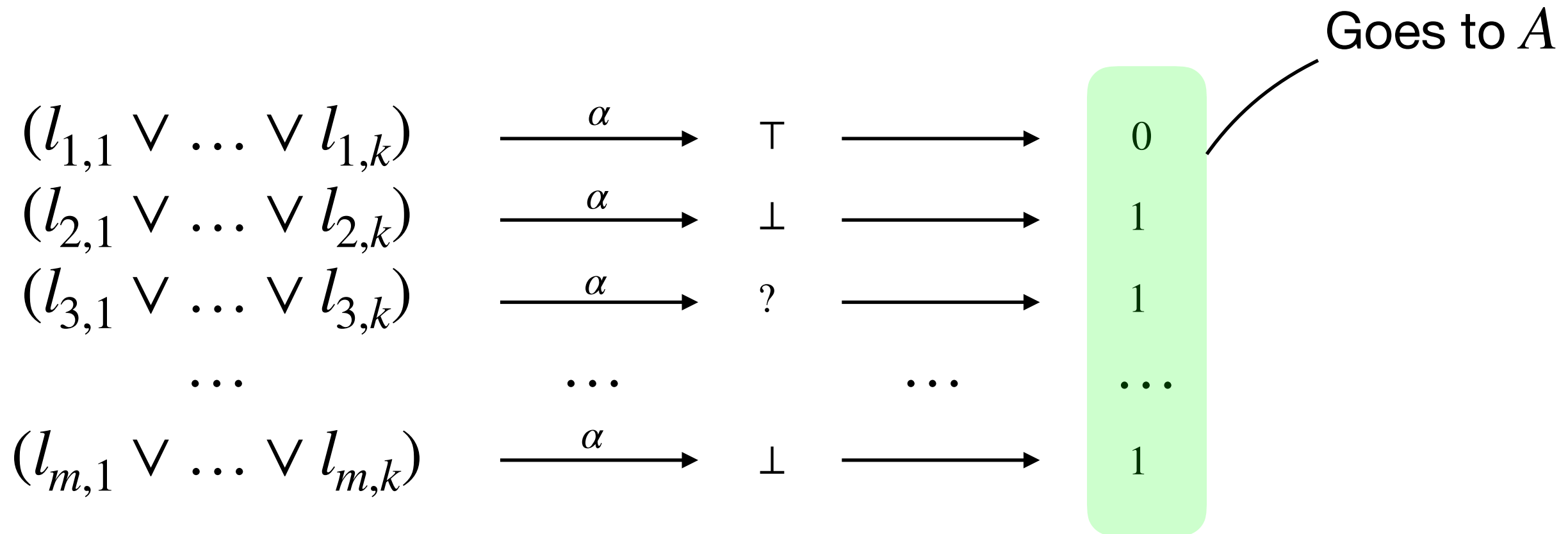
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Reduction and its Correctness



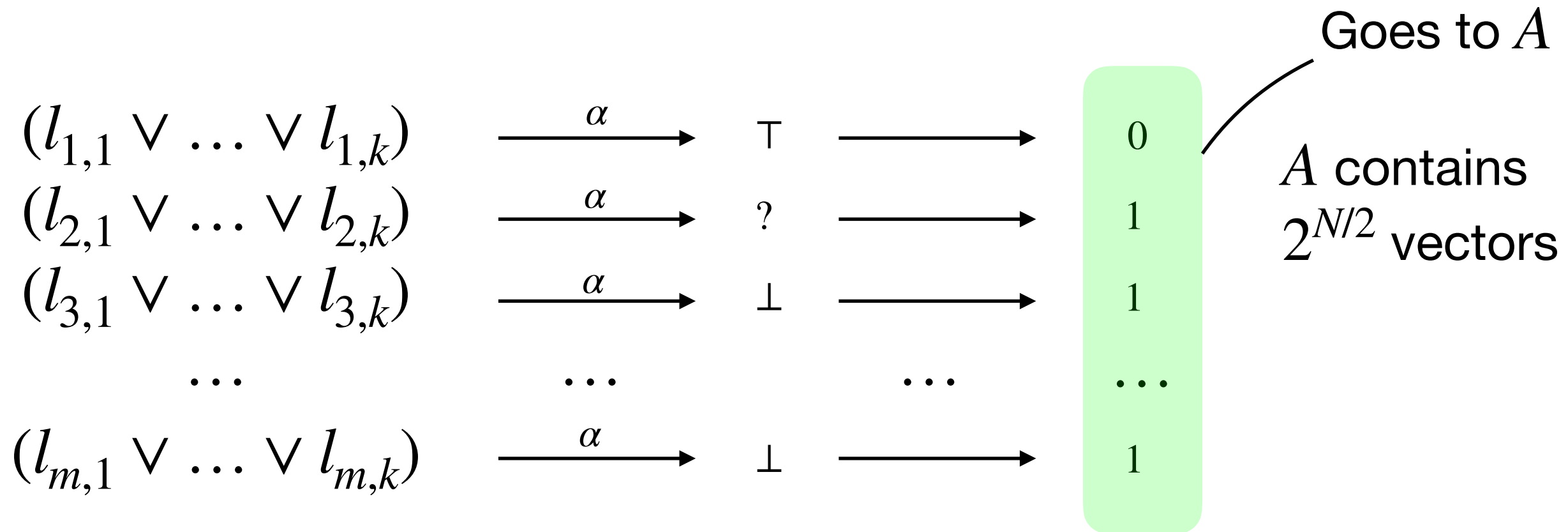
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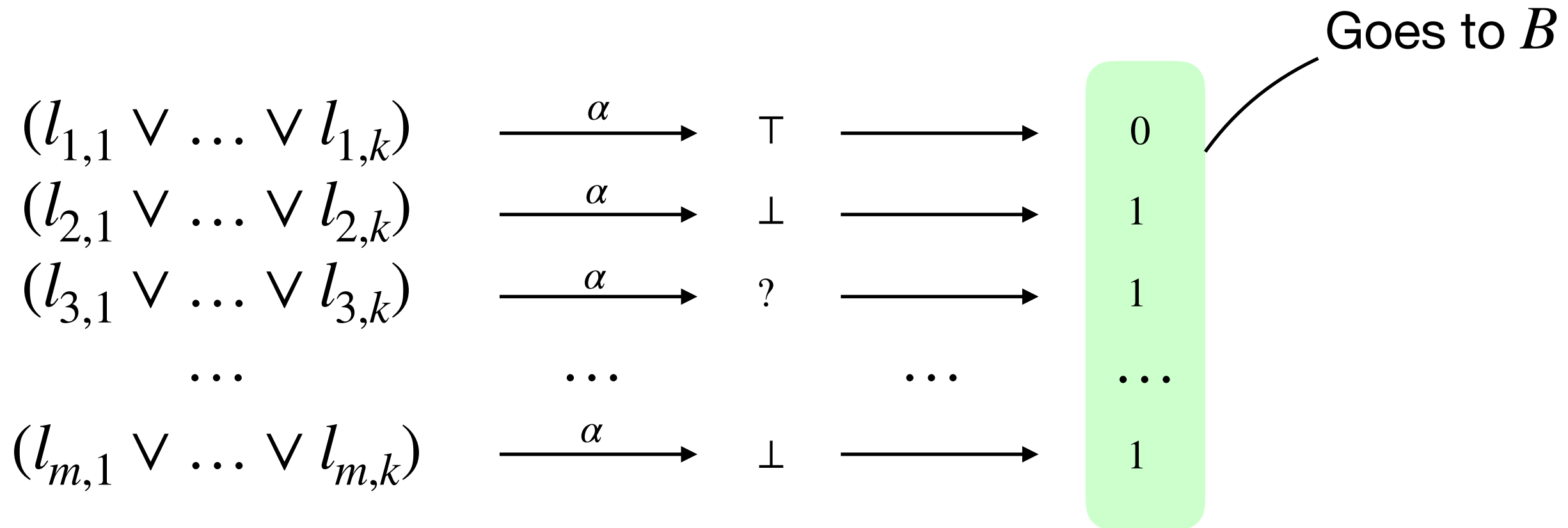
Reduction and its Correctness



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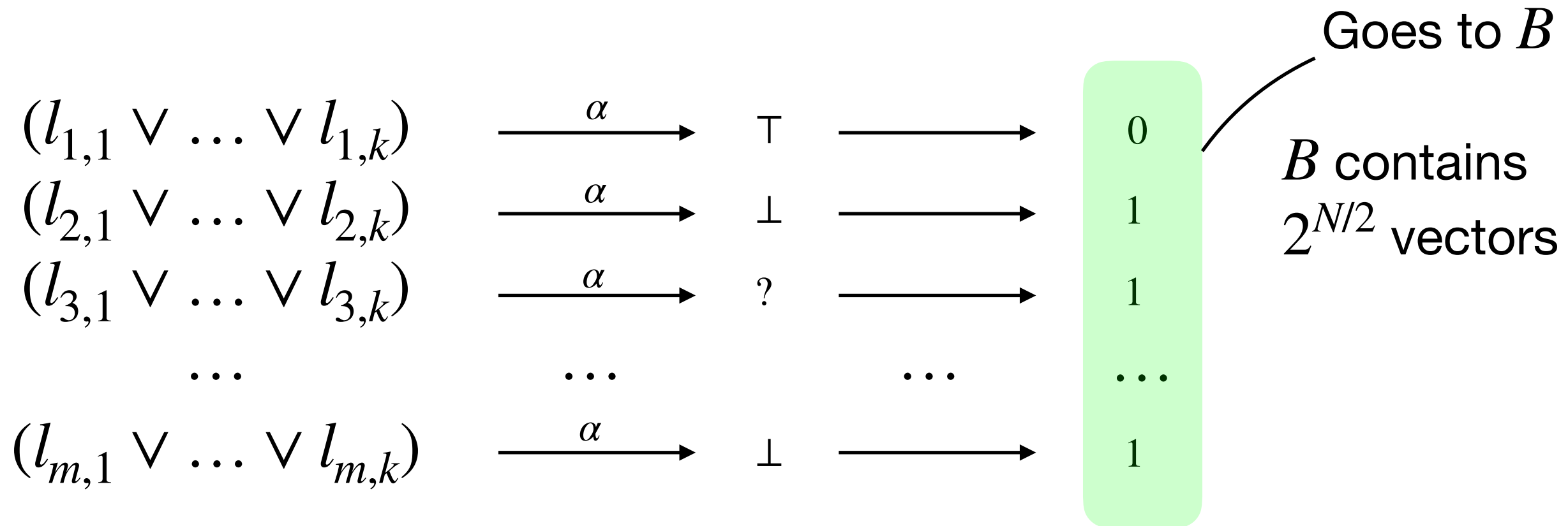
Repeat this $2^{N/2}$ times

Reduction and its Correctness



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Reduction and its Correctness



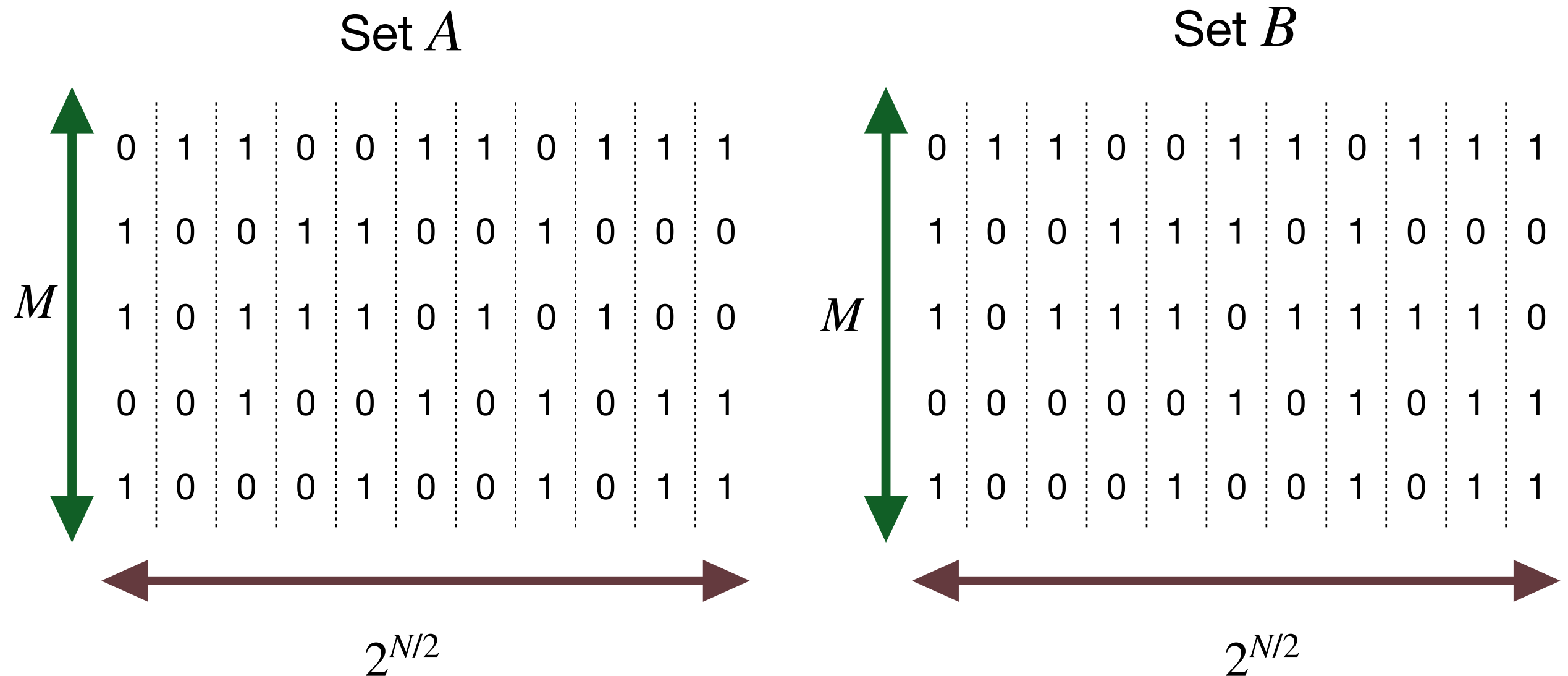
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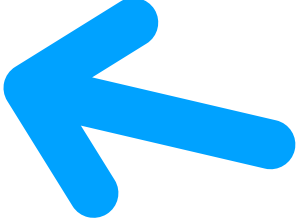
Reduction and its Correctness

$f : \psi \mapsto (A, B)$ such that $\exists \alpha \models \psi \iff \exists a \in A, b \in B, \langle a, b \rangle = 0$

For ψ with (N, M, K) , f generates an instance $(n := 2^{N/2}, d := M)$



Contributions

- Define reduction and prove its correctness 
- Prove runtime bound on the reduction
 - Pen&Paper proof is well-known
 - RIL: O-Notation is introduced
 - RIL: The proof is mechanised
- Combine previous steps to obtain $\text{SETH} \implies \text{OVH}$

Complexity of the Reduction

- The reduction is defined ✓
- Want to prove: $f \in \mathcal{O}(2^{N/2}) \cdot \text{poly}(\text{size})$
- That is, we need the runtime-bound in terms of N, M, K :

```
time_reduction ( $\psi : \text{cnf}$ ) :=  
   $k_0 * 2^{(N/2)} * N^{k_1} * M^{k_2} * K^{k_3}$ 
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- One cannot just run “extract; solvrec” from the extraction framework, since it gives bounds of the form:

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time_reduction ( $\psi$  : cnf) := time_sizeN  $\psi$  +  
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- Extraction framework:

```
time_sizeN  $\psi$  + time_div2 (sizeN  $\psi$ ) + time_cnf_varset  $\psi$  +  
time_firstn (div2 (sizeN  $\psi$ )) (cnf_varset  $\psi$ ) + 6
```

Complexity of the Reduction

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```

- I can upper-bound each function call:

```
194 * (1 + sizeN  $\psi$ ) * (1 + sizeK  $\psi$ )^2 * (1 + sizeM  $\psi$ )^2 +  
(8 + 7*sizeN  $\psi$ ) + 174 * (1 + sizeK  $\psi$ )^2 * (1 + sizeM  $\psi$ )^2  
+ (8 + 17 * sizeN  $\psi$ ) + 6
```

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```

- In the end, it can be bounded by this monomial:

```
414 * (1 + sizeN  $\psi$ ) * (1 + sizeK  $\psi$ )^2 * (1 + sizeM  $\psi$ )^2
```


O-Notation

- Simple for 1-dimensional case:

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$$f \in \mathcal{O}(g) := \exists a, N : \forall n_1 > N, \dots, n_k > N : g(n_1, \dots, n_k) \leq a \cdot f(n_1, \dots, n_k)$$

There is a paper discussing this issue [1]

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- Not clear for a function $f : X \rightarrow Y$, where type X might have no order ($<$)

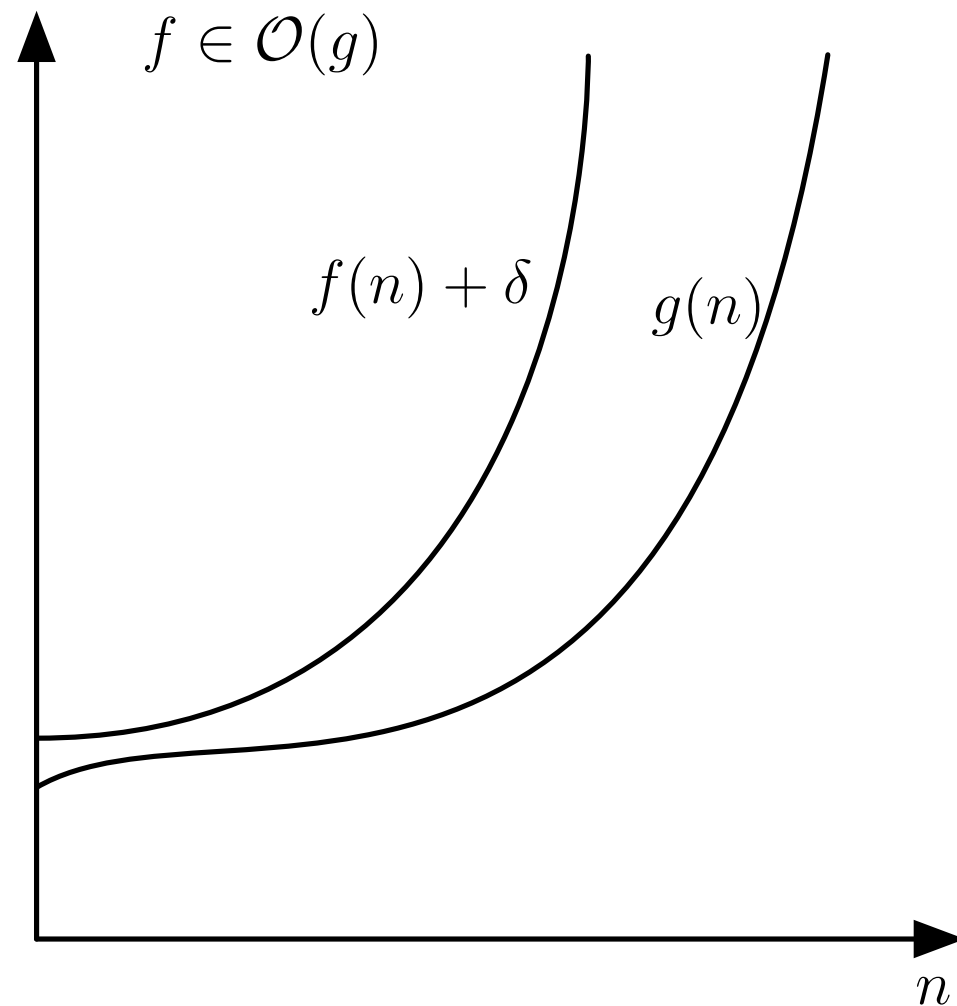
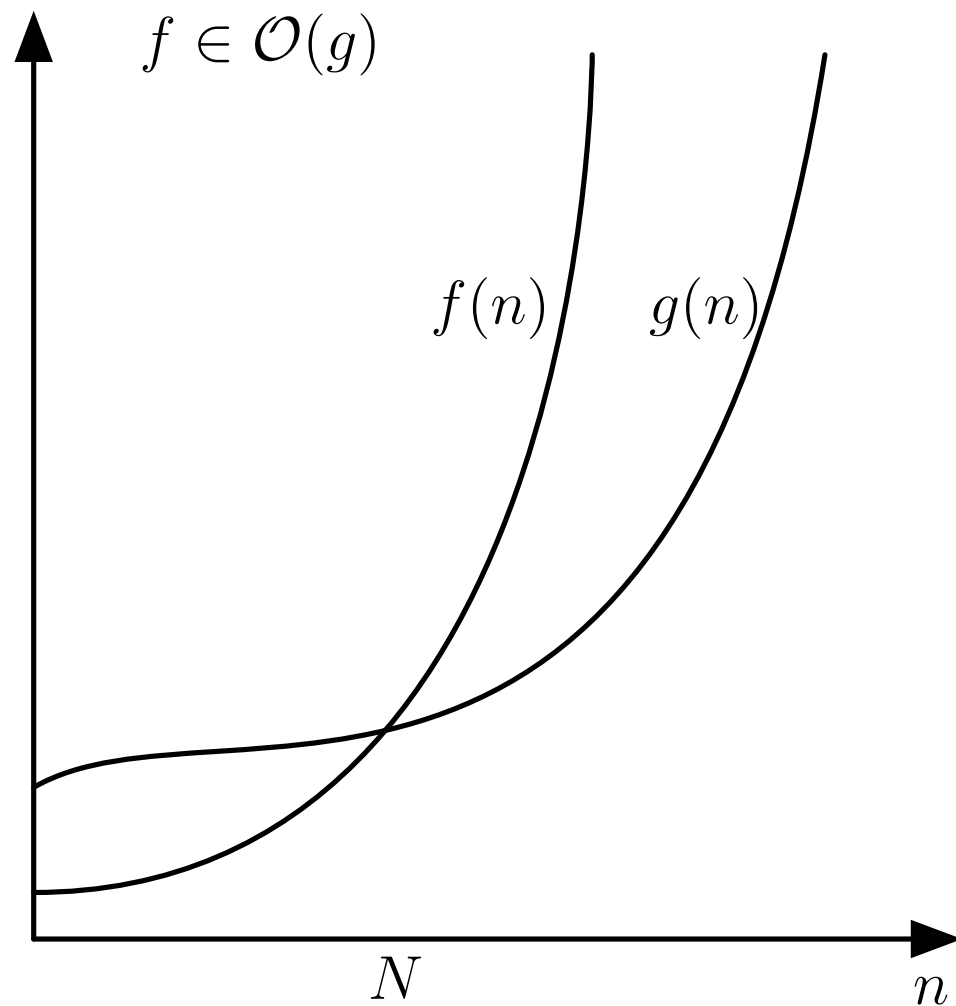
There is a paper discussing this issue [1]

There is a mechanisation [2] in terms of filters, but it hard to use

[1]: R. R. Howell, "On Asymptotic Notation with Multiple Variables", 2008

[2]: A. Guéneau et. Al., "A Fistful of Dollars: Formalizing Asymptotic Complexity Claims via Deductive Program Verification", 2018

O-Notation



$$\exists a, N : \forall n > N : g(n) \leq a \cdot f(n)$$

$$\exists a, \delta : \forall n : g(n) \leq a \cdot f(n) + \delta$$

n should be of an ordered type

n can be of any type X
(for $f, g : X \rightarrow \mathbb{N}$)



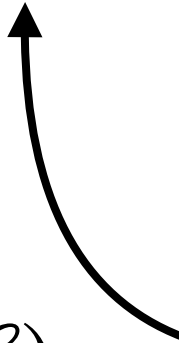
O-Notation

For an arbitrary type X

And some complexity parameters, e.g. $n, k : X \rightarrow \mathbb{N}$

- $a \leq b \implies n^a \in \mathcal{O}(n^b)$
- $a < b \implies n^a \in o(n^b)$
- $f \in \mathcal{C} \wedge g \in \mathcal{C} \implies f + g \in \mathcal{O}(\mathcal{C})$
- $\text{poly}(n) := \mathcal{O}(n^{\mathcal{O}(1)})$
- $2^n \notin \text{poly}(n)$
- $(\log n)^k \in \text{Any}(k) \times \text{poly}(n)$
- $n^k \notin \text{Any}(k) \times \text{poly}(n)$

Size
Number of vertices
Number of items



- Equivalent to the asymptotic O-Notation for “reasonable” functions $\mathbb{N} \rightarrow \mathbb{N}$

O-Notation and Composition

- Main benefit: lemmas about composition
- The notion seems very promising

```
Variable f : X -> Y.  
Variable F : ParamCompl X.  
Hypothesis H1 : L_computable_inParamTime f F.  
  
Variable g : Y -> Z.  
Variable G : ParamCompl Y.  
Hypothesis H2 : L_computable_inParamTime g G.  
  
Lemma computable_inParamTime_composition:  
  L_computable_inParamTime (g ∘ f) (O (F + (G ∘ f))).
```

Complexity of the Reduction

- Unfortunately, I decided to switch to O-Notation too late
- A lot of work has been done in terms of concrete functions.
Like this one:

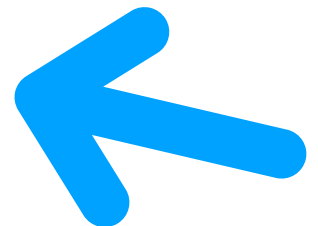
```
414 * (1 + sizeN ψ) * (1 + sizeK ψ) ^ 2 * (1 + sizeM ψ) ^ 2
```

- Eventually, I proved the following lemma

```
Lemma time_reduction :  
  L_computable_inParamTime reduction  
    ([fun ψ => 2^(sizeN ψ / 2)] ⊗ poly size).
```

Contributions

- Define reduction and prove its correctness ✓
- Prove runtime bound on the reduction ✓
- Combine previous steps to obtain $\text{SETH} \implies \text{OVH}$
 - Pen&Paper proof is well-known
 - RIL: The proof is mechanised
 - RIL: There are problems with the handling of \mathbb{R}



Statement of the Theorem

$\text{SETH} := \forall \varepsilon > 0, \exists k, k\text{SAT} \notin \mathcal{O}(2^{(1-\varepsilon) \cdot n} \cdot \text{poly}(\text{size}))$

```
Definition SETH :=  
  forall (ε : Q),  
    ε > 0 ->  
      exists k, L_undecidable_inParamTime  
        (SAT k) (O(⟦fun ψ => 2^((1-ε)*sizeN ψ)⟧) ⊗ poly size).
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OVH := $\forall \varepsilon > 0 : \text{OV} \notin \mathcal{O}(n^{2-\varepsilon} \cdot \text{poly}(d))$

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Definition OVH :=  
  forall (ε : Q),  
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        OV ((⟦_n⟧ ↑ ⟦fun _ => 2 - ε⟧) ⊗ poly _d).
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Main theorem:

Theorem SETH_implies_OVH: SETH \rightarrow OVH.

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```

Fake rational number

Q := nat

Main theorem:

Theorem SETH_implies_OVH: SETH -> OVH.

Coq has no support
for \mathbb{Q}/\mathbb{R} powers

Proof of the Theorem

- Let ov solves OV in $\mathcal{O}(n^{2-\varepsilon} \cdot \text{poly}(d))$ for some $\varepsilon > 0$
- We can show that $ksat := ov \circ f$ solves kSAT in time $\mathcal{O}(2^{(1-\varepsilon/2)N}) \cdot \text{poly}(\text{size})$ for any k

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- Also know that $f \in \mathcal{O}(2^{N/2}) \cdot \text{poly}(\text{size})$
- For ψ with (N, M, K) , f generates an instance $(n := 2^{N/2}, d := M)$

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- The runtime of $ksat$:
 $\mathcal{O}(2^{N/2}) \cdot \text{poly}(\text{size}) + \mathcal{O}((n \circ f)^{2-\varepsilon} \cdot \text{poly}(d \circ f))$

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- For ψ with (N, M, K) , f generates an instance $(n := 2^{N/2}, d := M)$
- The runtime of $ksat$:
$$\begin{aligned} & \mathcal{O}(2^{N/2}) \cdot \text{poly}(\text{size}) + \mathcal{O}((n \circ f)^{2-\varepsilon} \cdot \text{poly}(d \circ f)) \subseteq \\ & \mathcal{O}(2^{N/2}) \cdot \text{poly}(\text{size}) + \mathcal{O}(2^{N/2})^{2-\varepsilon} \cdot \text{poly}(M) \subseteq \\ & \mathcal{O}(2^{N/2}) \cdot \text{poly}(\text{size}) + \mathcal{O}(2^{N/2})^{2-\varepsilon} \cdot \text{poly}(\text{size}) \subseteq \\ & (\mathcal{O}(2^{N/2}) + \mathcal{O}(2^{N/2})^{2-\varepsilon}) \cdot \text{poly}(\text{size}) \subseteq \\ & (\mathcal{O}(2^{N/2}) + \mathcal{O}(2^{(1-\varepsilon/2)N})) \cdot \text{poly}(\text{size}) \subseteq \\ & \mathcal{O}(2^{(1-\varepsilon/2)N}) \cdot \text{poly}(\text{size}) \quad \checkmark \end{aligned}$$

Contributions

- Defined reduction and proved its correctness
- Proved runtime bound on the reduction
- Introduced the O-Notation
- Mechanised SETH and OVH
- Proved $\text{SETH} \implies \text{OVH}$ (up to the handling of \mathbb{R})

	spec	proof
Auxiliary Things	681	1346
Operations on Partial Assignments	267	894
Reduction	139	615
ONotation	207	790
SETH implies OVH	53	256
	1347	3901

Total LOC: 5248

Future work:

- Further investigate the O-Notation
- Fix the problem with rational numbers
- SETH depends on the computational model
(so, SETH_L doesn't imply SETH_{RAM})

Backup Slides

Definition for O-Notation

```
Inductive ParamCompl (X : Type) : Type :=
| id__pc (f : X -> nat) : ParamCompl X
| o__pc : ParamCompl X -> ParamCompl X
| O__pc : ParamCompl X -> ParamCompl X
| add__pc : ParamCompl X -> ParamCompl X -> ParamCompl X
| mul__pc : ParamCompl X -> ParamCompl X -> ParamCompl X
| exp__pc : ParamCompl X -> ParamCompl X -> ParamCompl X
| Any__pc : ParamCompl X -> ParamCompl X.
```

Reserved Notation "f \in p F" (at level 65).

Fixpoint InParamCompl {X : Type} (f : X -> nat) (F : ParamCompl X) : Prop :=

match F with

| [[F]] => forall x, f x <= F x

| O(F) => exists g, g \in p F /\ forall x, f x <= a * g x + b

| o(F) => exists g, g \in p F /\ forall a b, exists δ , forall x, a * f x + b <= g x + δ

| F1 \oplus F2 => exists g1 g2, g1 \in p F1 /\ g2 \in p F2 /\ forall x, f x <= g1 x + g2 x

| F1 \otimes F2 => exists g1 g2, g1 \in p F1 /\ g2 \in p F2 /\ forall x, f x <= g1 x * g2 x

| F1 \uparrow F2 => exists g1 g2, (forall x, 0 < g1 x) /\ g1 \in p F1 /\ g2 \in p F2 /\ forall x, f x <= g1 x ^ g2 x

| Any(F) => exists G, monotonic G /\ exists g, g \in p F /\ forall x, f x <= G (g x)

end

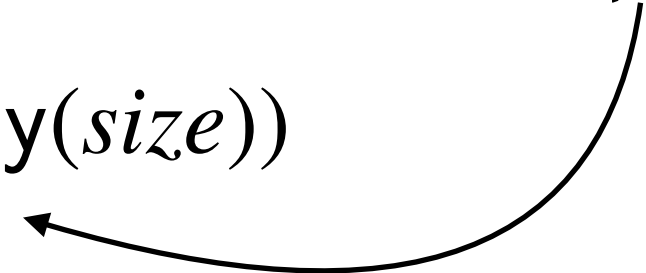
where "f \in p F" := (InParamCompl f F).

Notation "f \notin p F" := (~ InParamCompl f F) (at level 65).

Exponential Time Hypothesis (ETH)

- Algorithms for solving 3SAT
 - Trivial algorithm: $3SAT \in \mathcal{O}(2^n \cdot \text{poly}(size))$
 - Monien and Speckenmeyer: $3SAT \in \mathcal{O}(2^{0.7n} \cdot \text{poly}(size))$
 - Schöning, randomized: $3SAT \in \mathcal{O}(2^{0.42n} \cdot \text{poly}(size))$
 - Moser, Scheder: $3SAT \in \mathcal{O}(2^{0.42n} \cdot \text{poly}(size))$
 - ...
 - PPSZ algorithm, randomized: $3SAT \in \mathcal{O}(2^{0.387n} \cdot \text{poly}(size))$
- Exponential Time Hypothesis (ETH)
 - There is no “fast” algorithm for 3SAT
 - Formally: $\exists \varepsilon > 0, 3SAT \notin \mathcal{O}(2^{\varepsilon \cdot n} \cdot \text{poly}(size))$

$$\mathcal{O}(2^{\sqrt{n}} \cdot \text{poly}(size))$$

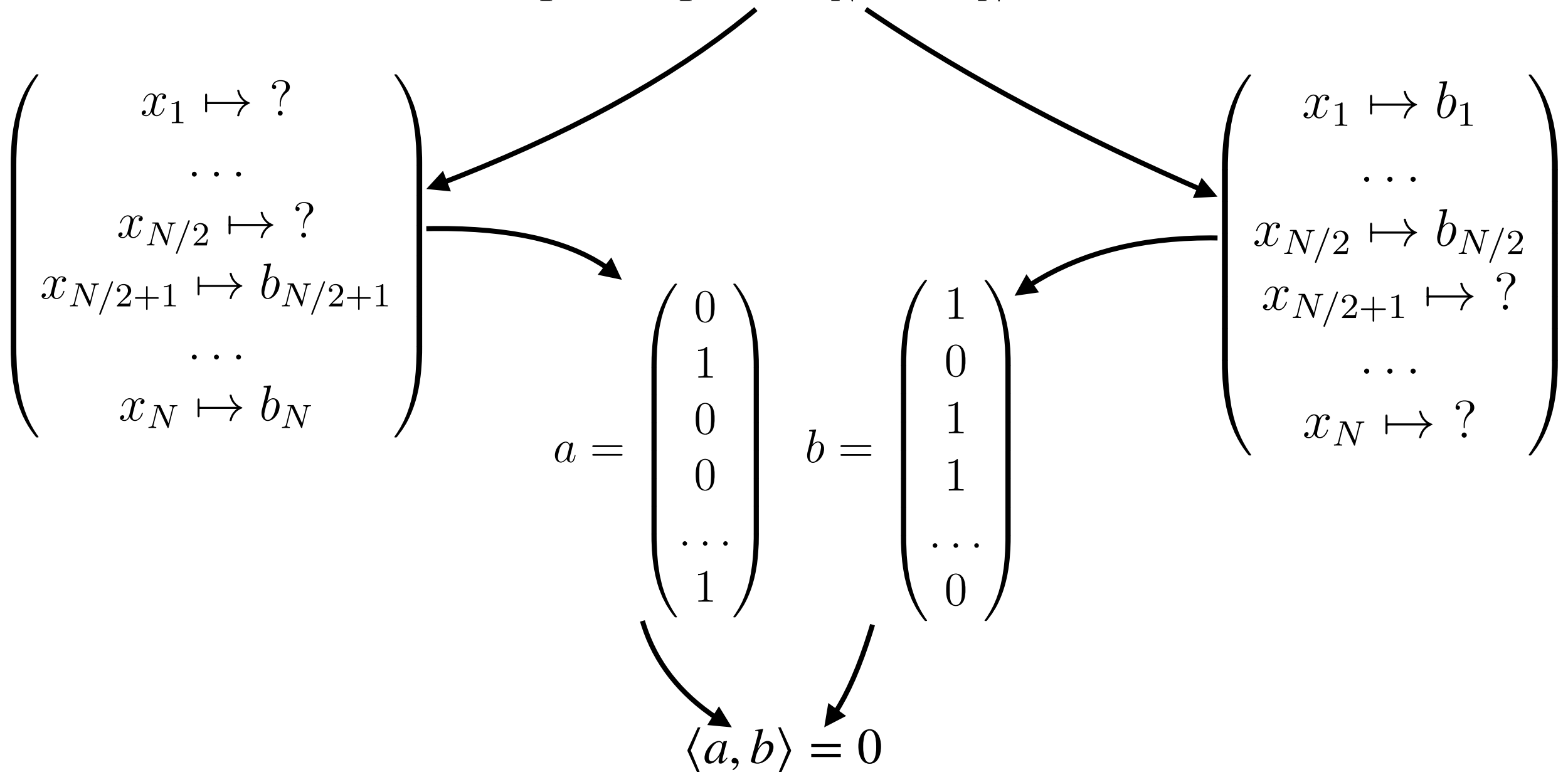


Reduction and its Correctness

Reduction and its Correctness

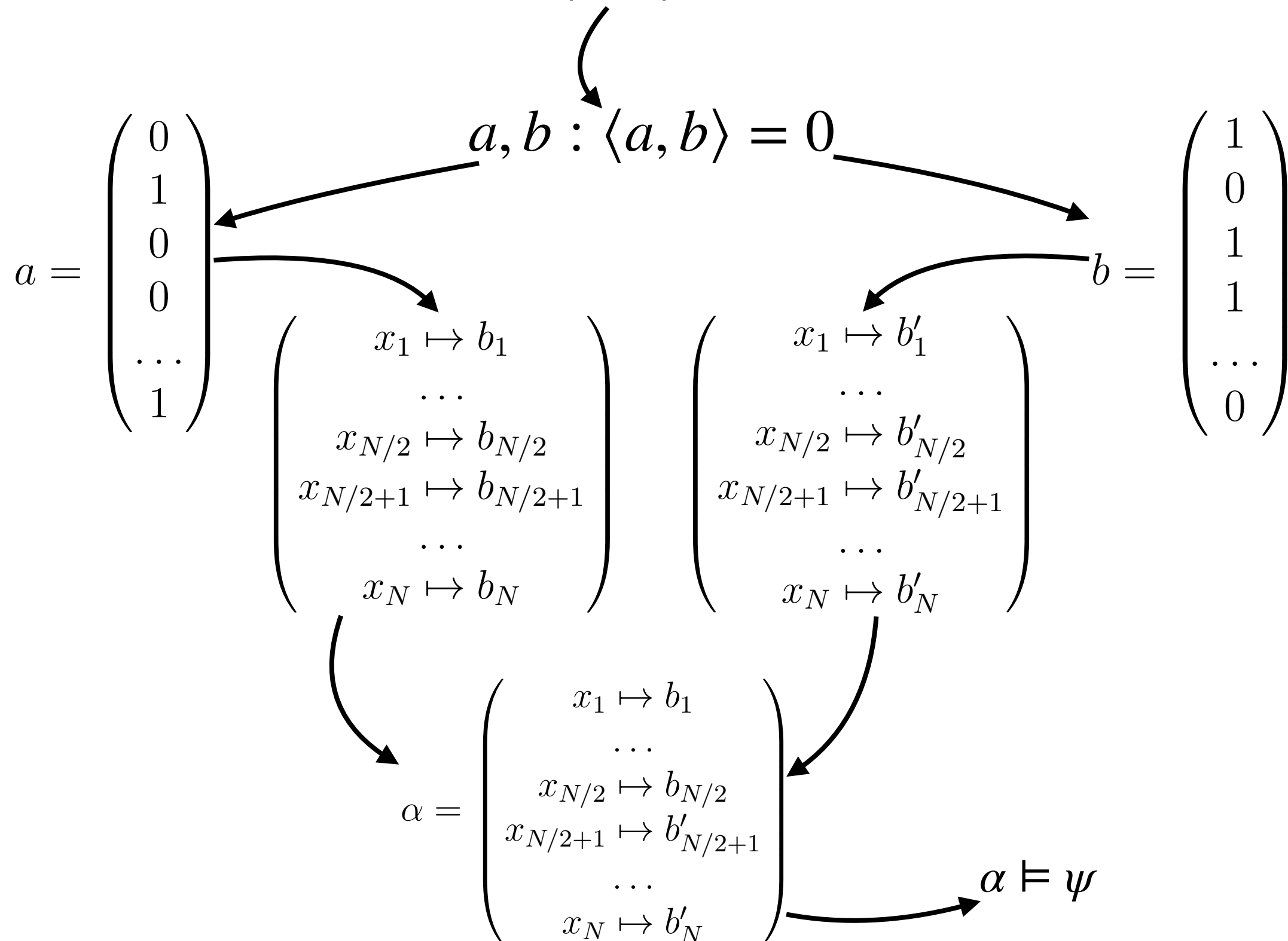
$$\exists \alpha \models \psi \implies \exists a \in A, b \in B, \langle a, b \rangle = 0$$

Let $\alpha = \{x_1 \mapsto b_1, \dots, x_N \mapsto b_N\}$ and $\alpha \models \psi$



Reduction and its Correctness

$$\exists a \in A, b \in B, \langle a, b \rangle = 0 \implies \exists \alpha \models \psi$$



LOC

spec	proof	
466	756	Base.v
95	301	CNF.v
40	96	InnerProduct.v
207	790	ONotation.v
48	156	PartialAssign.v
219	738	PartialAssignOperations.v
72	182	SAT.v
53	256	SETH.v
8	11	OV.v
139	615	EvenSAT_to_OV.v
1347	3901	-> 5248

O-Notation

- Using this notion we can reformulate the old predicates

```
Definition L_computable_inParamTime
  {X Y} `{RX : registered X} `{RY : registered Y} (f : X -> Y) (F : ParamCompl X) :=
  exists (fT : X -> nat),
  fT ∈p F /\ is_computable_time
    (t:=TyArr (TyB X) (TyB Y)) f (fun x _ => (fT x,tt)).
```

```
Definition L_decidable_inParamTime
  {X} `{R : registered X} (P : X -> Prop) (F : ParamCompl X) :=
  exists (Pdec : X -> bool),
  L_computable_inParamTime Pdec F /\ forall x, P x <-> Pdec x = true.
```

Definition from the
extraction framework

O-Notation

Context {X : Type} {Y : Type} (A : X → Prop) (B : Y → Prop).

Variable r : X → Y.

Hypothesis H_r_is_correct : forall x, A x <=> B (r x).

Variable R : ParamComp1 X.

Hypothesis H : L_computable_inParamTime r R.

Variable F : ParamComp1 Y.

Hypothesis H_B_is_dec_in_FB: L_decidable_inParamTime B F.

Lemma hmmm: L_decidable_inParamTime A (O (R + (F ∘ r))).