



max planck institut
informatik

Complexity Theory of Polynomial-Time Problems

Lecture 2: SETH and OV

Karl Bringmann

Tutorial Slot

Tuesday, 16:15 - 18:00

works for everybody?

alternative time slot:

	Mo	Tue	Wed	Thu	Fri
10-12					
12-14					new
14-16					
16-18		current			



I. SETH



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Satisfiability Problem

$$(x_1 \vee \neg x_2 \vee x_4) \wedge (x_3 \vee \neg x_3) \wedge (\neg x_1 \vee x_2 \vee x_3 \vee x_4)$$

CNF-SAT: boolean *variables* x_1, \dots, x_N
clauses C_1, \dots, C_M are an OR over *literals*
decide whether an assignment of x_1, \dots, x_N *satisfies* ALL clauses
unbounded *clause width*

= variable or
negated variable

= number of literals per clause

k-SAT: clause width bounded by k
thus $M \leq N^k$



Satisfiability Hypotheses

$P \neq NP$: **k-SAT** not in time $\text{poly}(N)$ $\forall k \geq 3$ or $\exists k \geq 3$



ETH (Exponential Time Hypothesis) [Impagliazzo, Paturi, Zane'01]

k-SAT not in time $2^{o(N)}$ $\forall k \geq 3$ or $\exists k \geq 3$



SETH (Strong Exponential Time Hypothesis)

$\forall \varepsilon > 0: \exists k \geq 3$: **k-SAT** not in time $O(2^{(1-\varepsilon)N})$

best-known algorithm for k-SAT: $O(2^{(1-c_k)n})$ where $c_k = \Theta(1/k)$

[Paturi, Pudlak, Saks, Zane'98]



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$\forall \varepsilon > 0: \exists k \geq 3$: **k-SAT** not in time $O(2^{(1-\varepsilon)N})$



“CNF-SETH”

CNF-SAT not in time $O(\text{poly}(M) 2^{(1-\varepsilon)N})$

best-known algorithm for CNF-SAT:

[Calabro, Impagliazzo, Paturi'06]

$O(2^{(1-x)N})$ where $x = \Theta(1/\log(M/N))$



Satisfiability Hypotheses

$P \neq NP$: **k-SAT** not in time $\text{poly}(N)$

$\forall k \geq 3$ or $\exists k \geq 3$



ETH (Exponential Time Hypothesis)

[Impagliazzo, Paturi, Zane'01]

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“CNF-SETH”

CNF-SAT not in time $O(\text{poly}(M) 2^{(1-\varepsilon)N})$



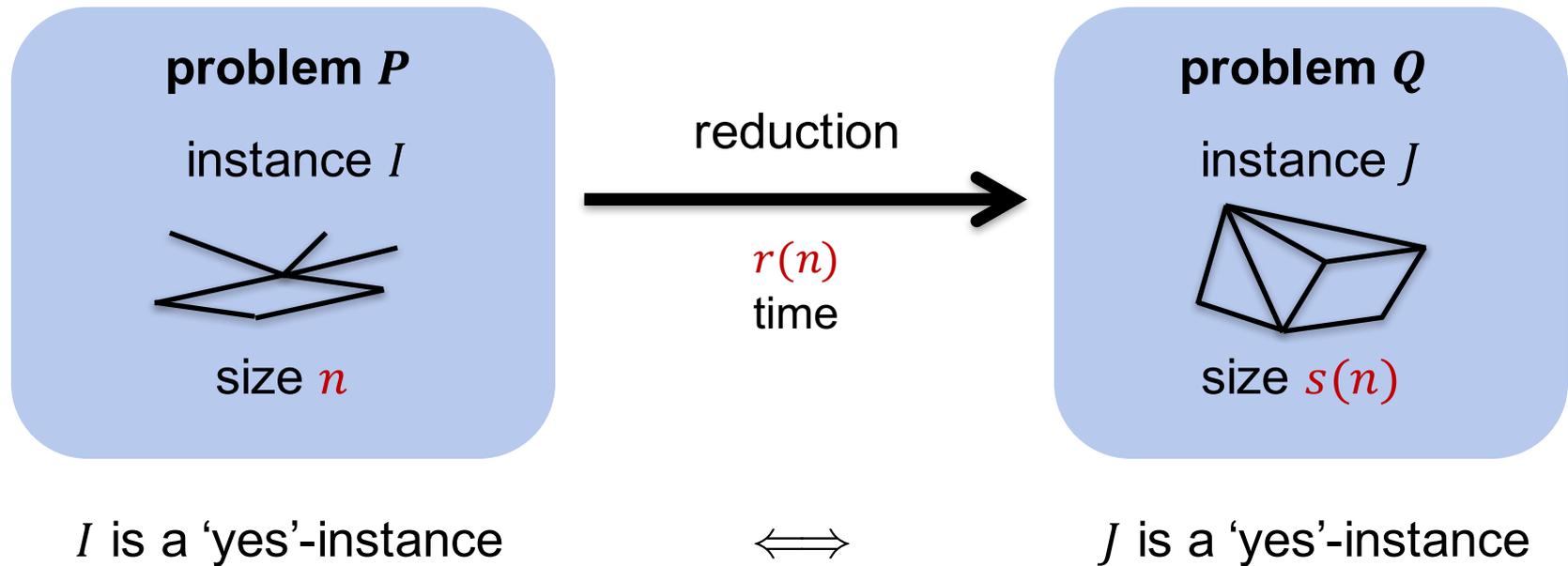
OV-Hypothesis

OV not in time $O(\text{poly}(d) n^{2-\varepsilon})$



Reminder: Definition of Reductions

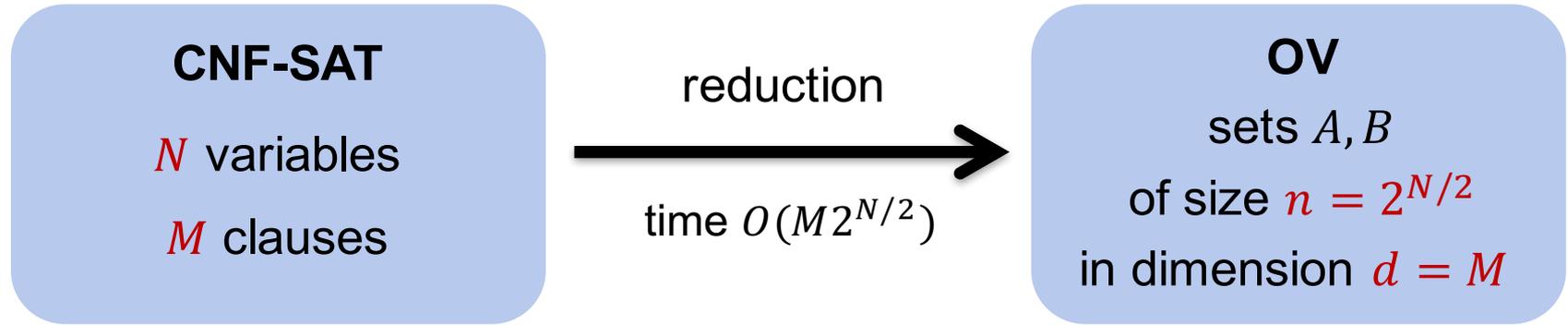
transfer hardness of one problem to another one by reductions



$t(n)$ algorithm for Q implies a $r(n) + t(s(n))$ algorithm for P

if P has no $r(n) + t(s(n))$ algorithm then Q has no $t(n)$ algorithm

SETH-Hardness for OV



$O(2^{(1-\varepsilon/2)N} \text{poly}(M))$ algorithm

\Leftarrow

$O(n^{2-\varepsilon} \text{poly}(d))$ algorithm

Thm: SETH implies OVH

[Williams'05]

$O(2^{(1-1/O(\log(M/N)))N})$ algorithm

\Leftarrow

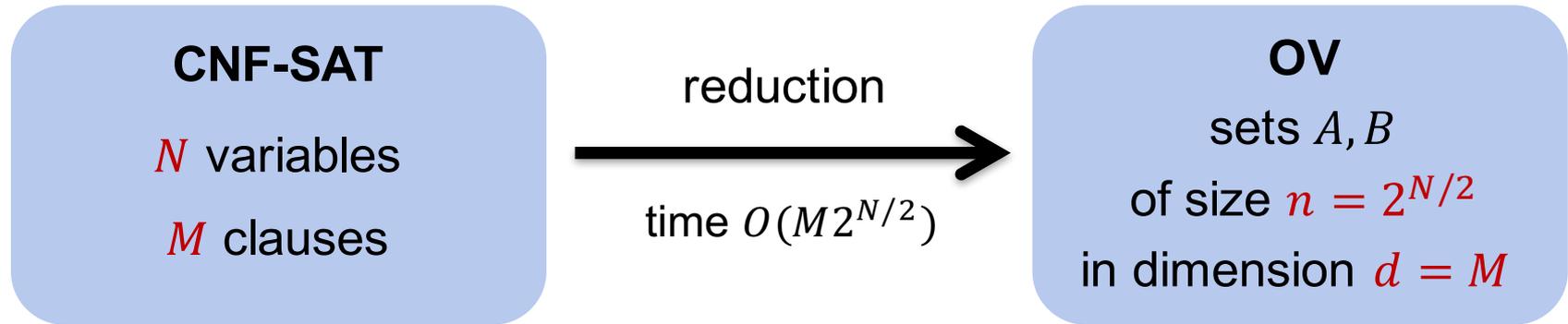
$O(n^{2-1/O(\log(d/\log n))})$ algorithm

best-known algorithm for CNF-SAT!

[Lecture 3]



SETH-Hardness for OV



Proof:

$U :=$ assignments of $x_1, \dots, x_{N/2}$
 $\cong \{1, \dots, n\}$

$V :=$ assignments of $x_{N/2+1}, \dots, x_N$
 $\cong \{1, \dots, n\}$

we say that *partial assignment* u *satisfies clause* C

iff $\exists i: x_i$ is set to **true** in u and x_i appears **unnegated** in C

or $\exists i: x_i$ is set to **false** in u and x_i appears **negated** in C

in this case we write: $sat(u, C) = 1$ otherwise: $sat(u, C) = 0$

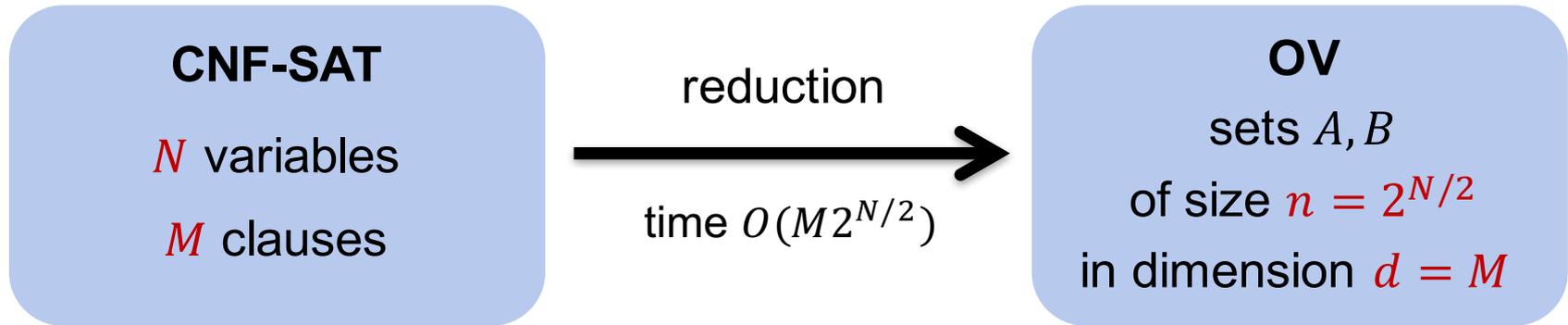
$unsat(u, C)$
 $:= 1 - sat(u, C)$

$A = \{(unsat(u, C_1), \dots, unsat(u, C_M)) \mid u \in U\}$

$B = \{(unsat(v, C_1), \dots, unsat(v, C_M)) \mid v \in V\}$



SETH-Hardness for OV



Proof:

$U :=$ assignments of $x_1, \dots, x_{N/2}$

$V :=$ assignments of $x_{N/2+1}, \dots, x_N$

what if we split into k parts?

$U_i :=$ assignments of $x_{(i-1)N/k+1}, \dots, x_{iN/k}$

$A_i := \{(unsat(u, C_1), \dots, unsat(u, C_M)) \mid u \in U_i\}$

we say

iff \exists

or \exists

in this case we write: $sat(u, C) = 1$ otherwise: $sat(u, C) = 0$

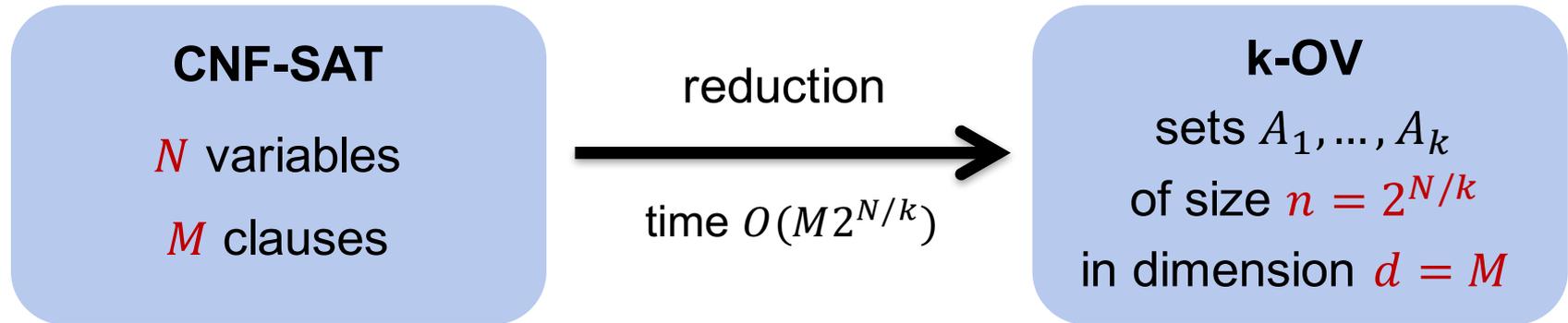
$$unsat(u, C) := 1 - sat(u, C)$$

$$A = \{(unsat(u, C_1), \dots, unsat(u, C_M)) \mid u \in U\}$$

$$B = \{(unsat(v, C_1), \dots, unsat(v, C_M)) \mid v \in V\}$$



SETH-Hardness for k-OV



k-Orthogonal Vectors:

Input: Sets $A_1, \dots, A_k \subseteq \{0,1\}^d$ of size n

Task: Decide whether there are $a^{(1)} \in A_1, \dots, a^{(k)} \in A_k$
such that $\forall 1 \leq i \leq d: \prod_{j=1}^k a^{(j)}_i = 0$

$$\Leftrightarrow \forall 1 \leq i \leq d: \exists j: a^{(j)}_i = 0$$

Thm: k-OV has no $O(n^{k-\varepsilon})$ algorithm
unless SETH fails.

[Williams, Patrascu'10]



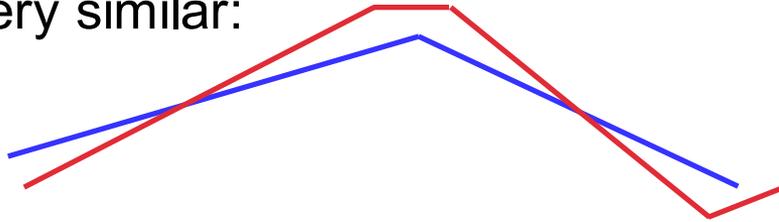
II. Fréchet Distance



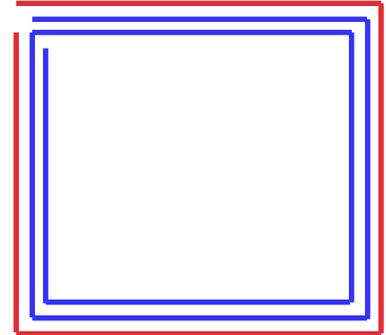
Curve Similarity

Given two polygonal curves, how similar are they?

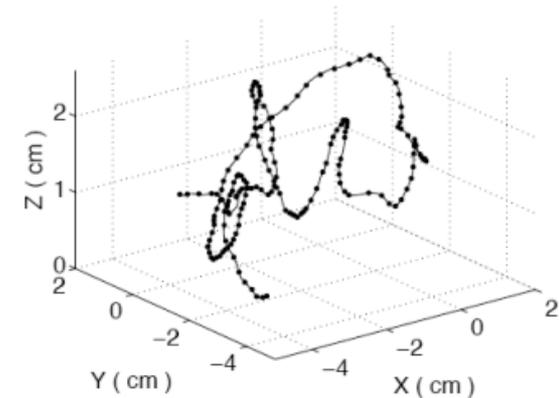
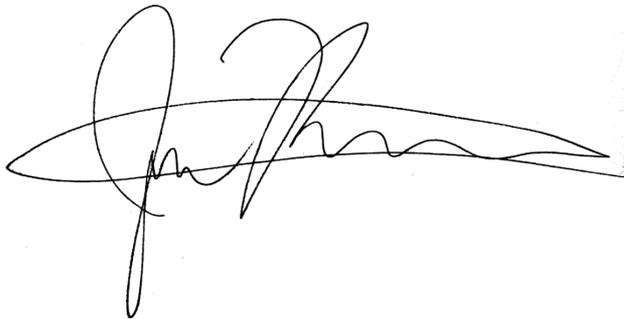
✓ very similar:



✗ less similar:



Applications in: signature recognition, analysis of moving objects



Discrete Fréchet Distance

natural measure for curve similarity

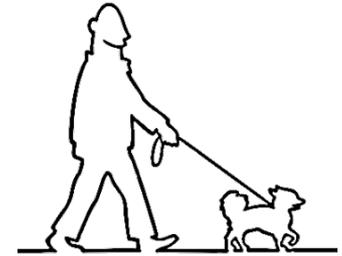
rich field of research: many extensions and applications



Discrete Fréchet Distance

natural measure for curve similarity

rich field of research: many extensions and applications

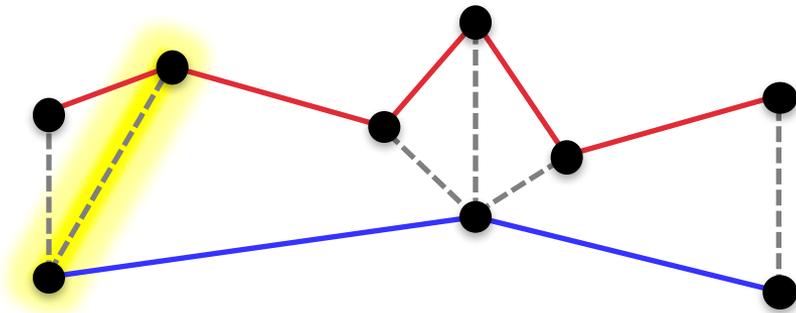


man and dog walk along two curves

only allowed to go forward

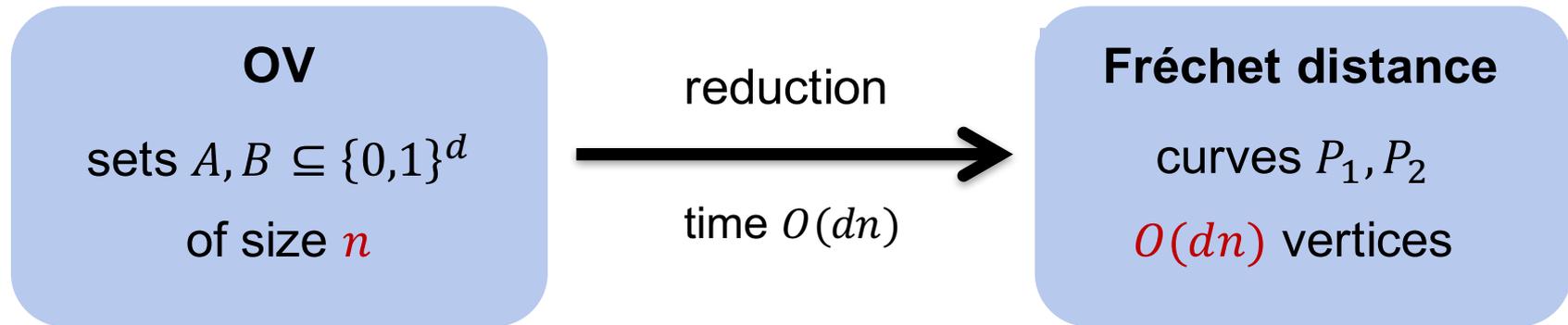
in every time step: advance in one or both curves to the next vertex

what is the minimum possible length of the **leash**?



$$d_{dF}(P_1, P_2) = \min_{\text{all ways of traversing } P_1 \text{ and } P_2} \max_{\text{time step } t} \text{distance at time } t$$

OV-Hardness Result



$O(n^{2-\varepsilon} \text{poly}(d))$ algorithm

\Leftarrow

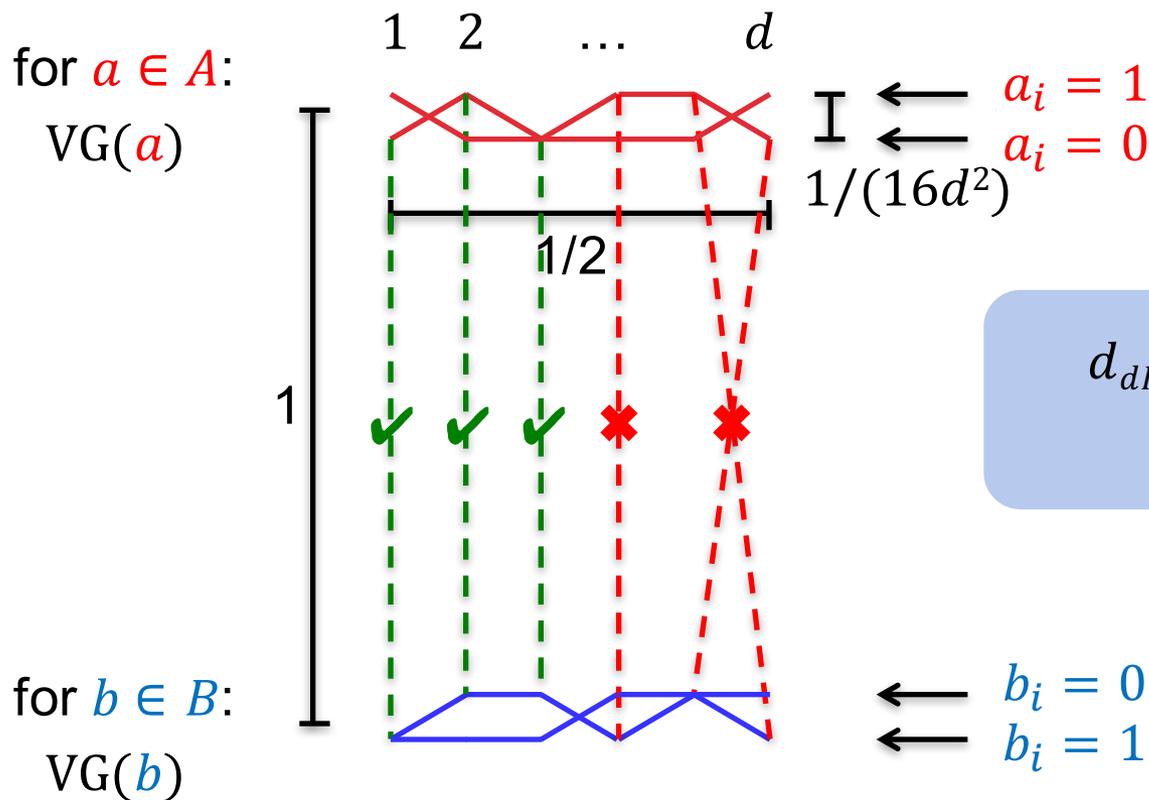
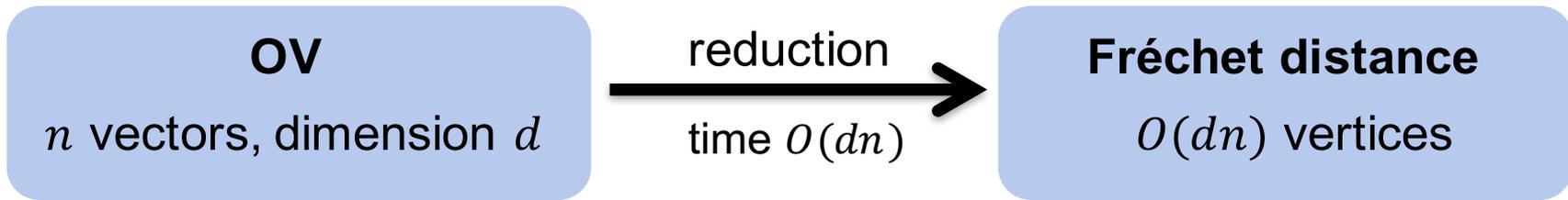
$O(n^{2-\varepsilon})$ algorithm

Thm: Fréchet distance has no $O(n^{2-\varepsilon})$ algorithm unless the OV-Hypothesis fails.

[B.'14]



Proof: Vector Gadgets



$$d_{dF}(VG(a), VG(b)) \leq 1$$

iff $a \perp b$

cross distances:

$$\sqrt{(1 - 2/16d^2)^2 + (1/2d)^2}$$

$$= \sqrt{1 + (2/16d^2)^2} > 1$$

for $a, a' \in A$: $VG(a)$ and $VG(a')$ are
 “on top of each other”



Proof: OR-Gadget

OV

n vectors, dimension d

reduction

time $O(dn)$

Fréchet distance

$O(dn)$ vertices

we add some control points s.t.:

Fréchet distance ≤ 1 iff $\exists a, b: a \perp b$

final curves:

$$P_1 = s_1 - r_1 - \text{VG}(A[1]) - t_1 - \dots$$

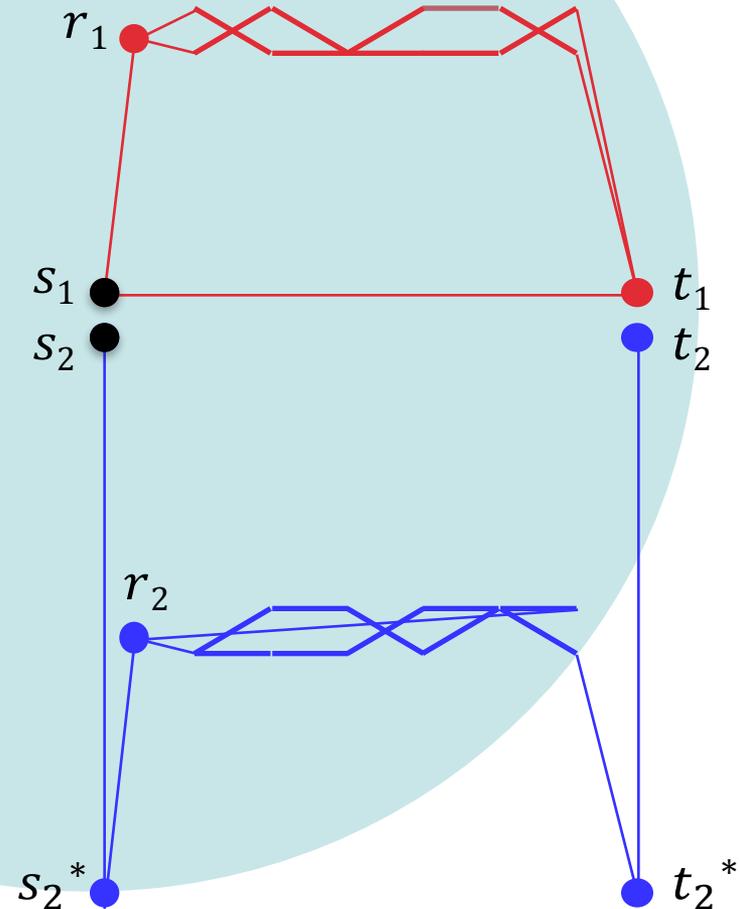
$$- s_1 - r_1 - \text{VG}(A[n]) - t_1$$

$$P_2 = s_2 - s_2^*$$

$$- r_2 - \text{VG}(B[1]) - \dots$$

$$- r_2 - \text{VG}(B[n])$$

$$- t_2^* - t_2$$



Proof: Correctness

OV

n vectors, dimension d

reduction

time $O(dn)$

Fréchet distance

$O(dn)$ vertices

Fréchet distance ≤ 1 iff $\exists a, b: a \perp b$

“ \Leftarrow ”: let $a \in A, b \in B$ with $a \perp b$

stay at s_2 and walk to the a_1 -copy of s_1

stay at s_1 and walk to the a_2 -copy of r_2

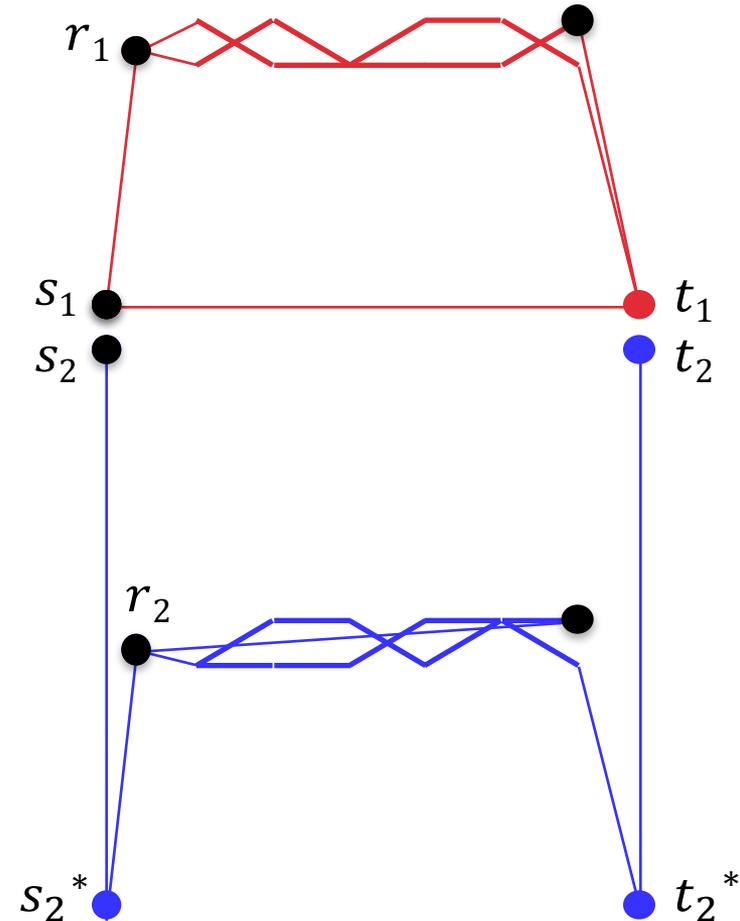
step to r_1

walk through $VG(a_1), VG(a_2)$ in parallel

step to t_1

stay at t_1 and walk to t_2

P_2 is completely traversed, now finish traversing P_1



Proof: Correctness

OV

n vectors, dimension d

reduction

time $O(dn)$

Fréchet distance

$O(dn)$ vertices

Fréchet distance ≤ 1 iff $\exists a, b: a \perp b$

“ \Rightarrow ” : consider a traversal staying in distance 1

when at s_2^* : have to be at s_1 (say at a -copy)

after that, at first time we are at r_1 :

could be at s_2 , t_2 , or r_2

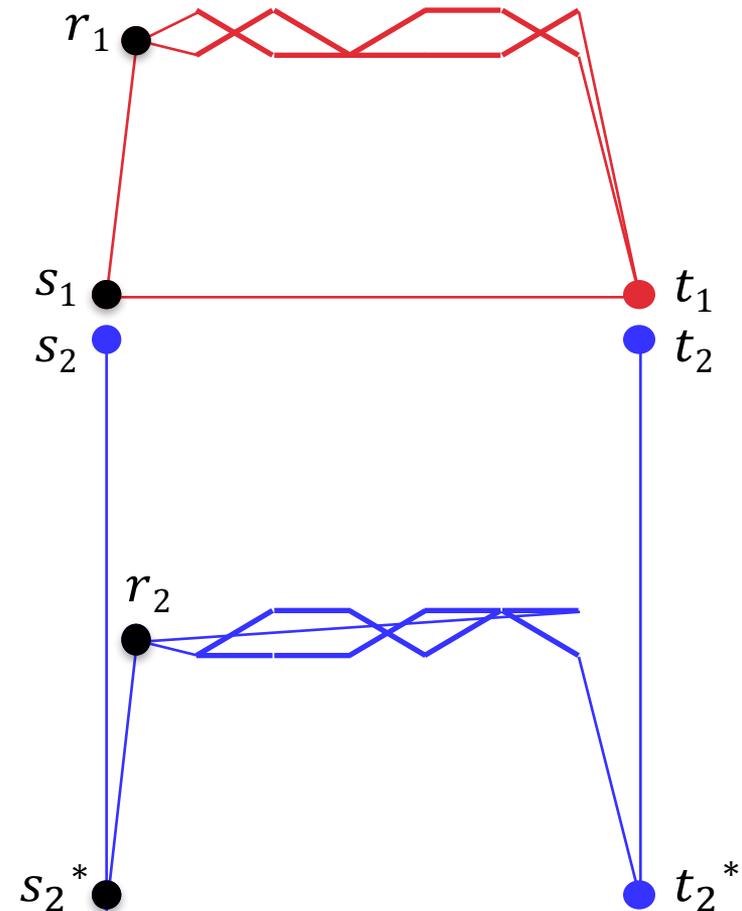
s_2 : already passed

t_2 : not reachable because of t_2^*

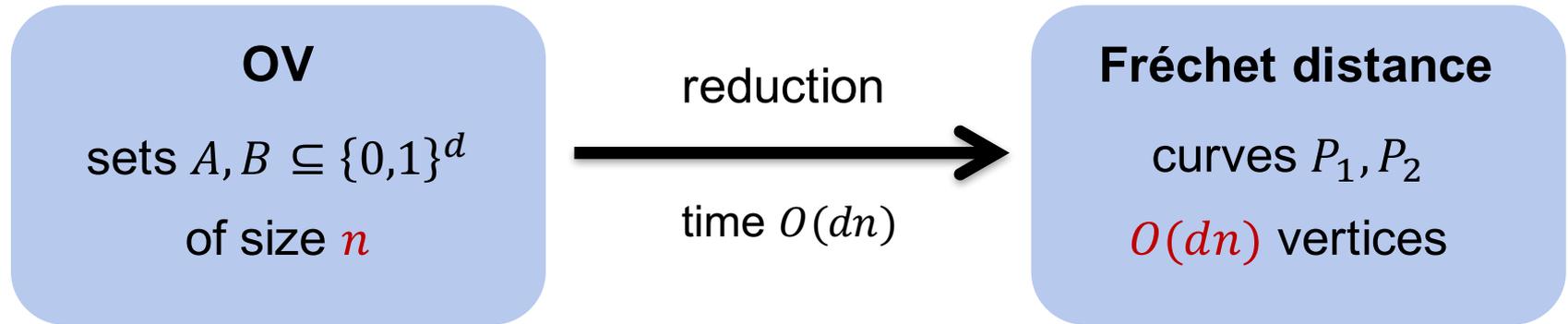
so have to be at r_2 (say at b -copy)

in the following we have to traverse
 $VG(a)$, $VG(b)$ in parallel

this is only possible if $a \perp b$



OV-Hardness Result



$O(n^{2-\varepsilon} \text{poly}(d))$ algorithm

\Leftarrow

$O(n^{2-\varepsilon})$ algorithm

Thm: Fréchet distance has no $O(n^{2-\varepsilon})$ algorithm unless the OV-Hypothesis fails.

[B.'14]



Inapproximability

Thm: Fréchet distance has no 1.001-approximation
in time $O(n^{2-\varepsilon})$ unless the OV-Hypothesis fails.

[B.'14]

different construction yields 1.399-inapproximability

[B.,Mulzer'15]

Q: improve constant

Thm: Fréchet distance has has an α -approximation
in time $O(n^2/\alpha + n \log n)$

[B.,Mulzer'15]

Q: close this gap

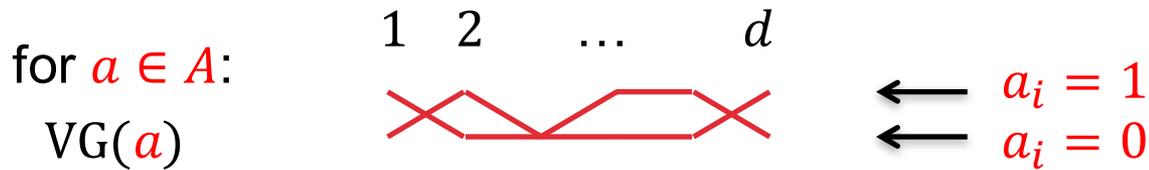


Inapproximability

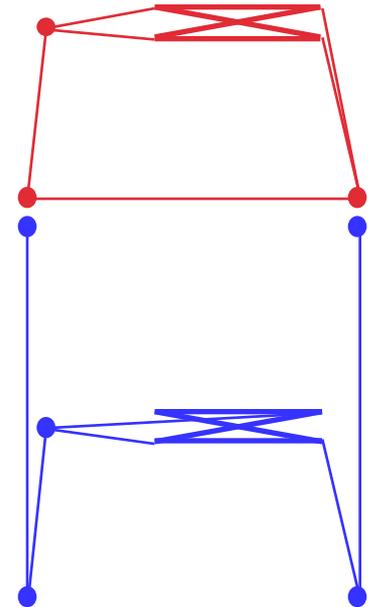
Thm: Fréchet distance has no 1.001-approximation in time $O(n^{2-\varepsilon})$ unless the OV-Hypothesis fails.

[B.'14]

Proof Idea:



we still have to walk in parallel through vector gadgets!



Inapproximability

Thm: Fréchet distance has no 1.001-approximation in time $O(n^{2-\varepsilon})$ unless the OV-Hypothesis fails.

[B.'14]

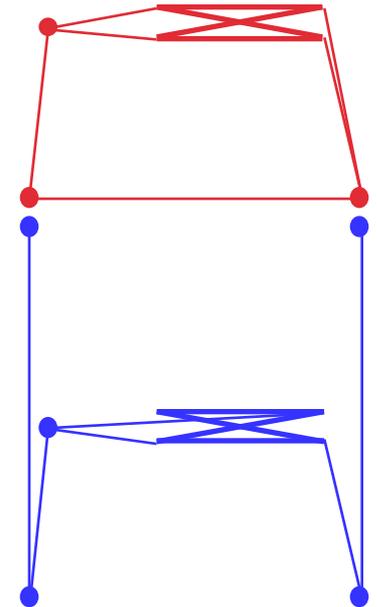
Proof Idea:

construction has a **fixed (constant) set of points**

minimal distance between any pair of points in distance > 1 in P_1 and P_2 is $C > 1.001$

if $d_{dF}(P_1, P_2) > 1$ then $d_{dF}(P_1, P_2) > 1.001$

thus any 1.001-approximation of the Fréchet distance can decide OV



Generalizations

Fréchet distance has no $O(n^{2-\varepsilon})$ algorithm unless OVH fails even on **one-dimensional** curves

[B.,Mulzer'15]



A generalization to **k curves** has no $O(n^{k-\varepsilon})$ algorithm unless OVH fails (for curves in the plane)

[Buchin,Buchin,Konzack,Mulzer,Schulz'16]

Q: $\Omega(n^{k-\varepsilon})$ lower bound for k one-dimensional curves

continuous Fréchet distance:

Q: $\Omega(n^{2-\varepsilon})$ lower bound for one-dimensional curves

Q: $\Omega(n^{k-\varepsilon})$ lower bound for k curves



III. Longest Common Subsequence

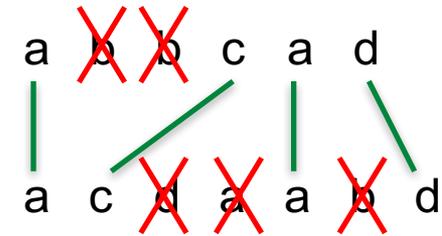
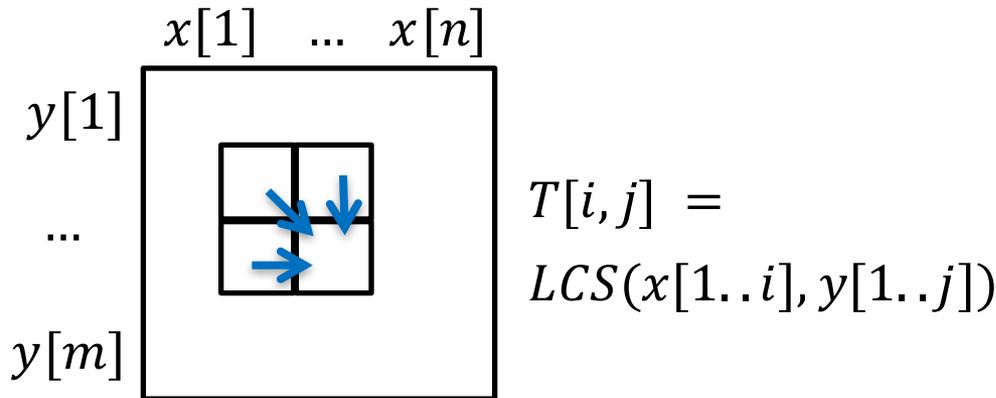


Longest Common Subsequence (LCS)

given strings x, y of length $n \geq m$, compute longest string z that is a subsequence of both x and y

natural dynamic program $O(n^2)$

write $LCS(x, y) = |z|$



delete in x

delete in y

$$T[i, j] = \max\{T[i-1, j], T[i, j-1]\}$$

if $x[i] = y[j]$:

$$T[i, j] = \max\{T[i, j], T[i-1, j-1] + 1\}$$

match

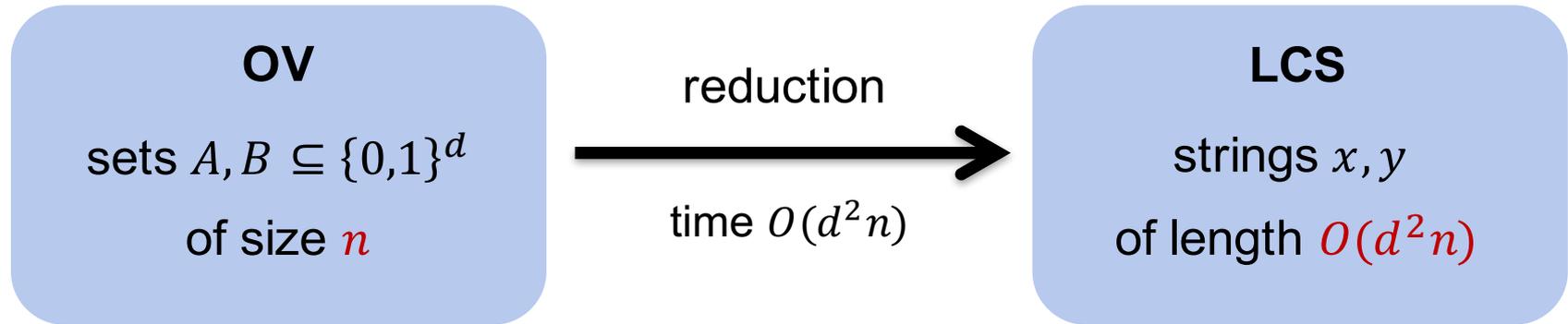
logfactor improvement:

$$O(n^2 / \log^2 n)$$

[Masek, Paterson'80]



OV-Hardness Result



$O(n^{2-\varepsilon} \text{poly}(d))$ algorithm

\Leftarrow

$O(n^{2-\varepsilon})$ algorithm

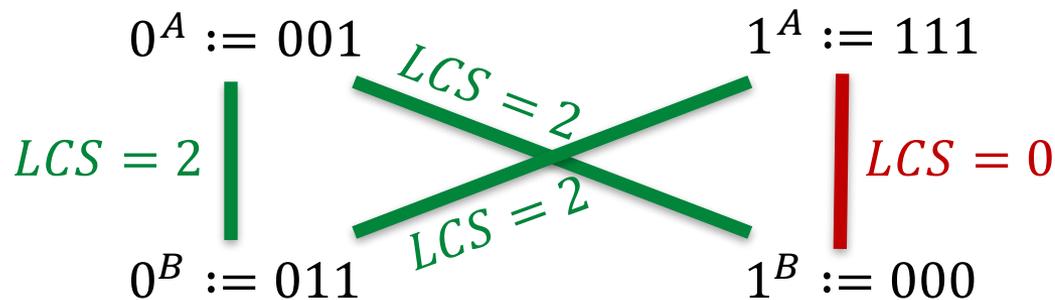
Thm: Longest Common Subsequence [B., Künnemann'15+
Abboud, Backurs, V-Williams'15]
has no $O(n^{2-\varepsilon})$ algorithm unless the OV-Hypothesis fails.



Proof: Coordinate Gadgets

OV: Given $A, B \subseteq \{0,1\}^d$ of size n each
Are there $a \in A, b \in B$ such that $\forall i: a_i \cdot b_i = 0$

we want to simulate the **coordinates** $\{0,1\}$ and the behavior of $a_i \cdot b_i$



replace a_i by a_i^A and b_i by b_i^B

$LCS(a_i^A, b_i^B)$ can be written as $f(a_i \cdot b_i)$, with $f(0) > f(1)$

Proof: Vector Gadgets

OV: Given $A, B \subseteq \{0,1\}^d$ of size n each
Are there $a \in A, b \in B$ such that $\forall i: a_i \cdot b_i = 0$

we want to simulate **orthogonality** of $a \in A, b \in B$ in the picture: $d = 4$
concatenate a_1^A, \dots, a_d^A , padded with a new symbol 2

length $4d$

$$VG(a) := a_1^A \ 2 \ \dots \ 2 \ a_2^A \ 2 \ \dots \ 2 \ a_3^A \ 2 \ \dots \ 2 \ a_4^A$$

$$VG(b) := b_1^B \ 2 \ \dots \ 2 \ b_2^B \ 2 \ \dots \ 2 \ b_3^B \ 2 \ \dots \ 2 \ b_4^B$$

- no LCS matches symbols in a_i^A with symbols in b_j^B where $i \neq j$

Proof: Vector Gadgets

OV: Given $A, B \subseteq \{0,1\}^d$ of size n each
 Are there $a \in A, b \in B$ such that $\forall i: a_i \cdot b_i = 0$

we want to simulate **orthogonality** of $a \in A, b \in B$

concatenate a_1^A, \dots, a_d^A , padded with a new symbol 2

length $4d$

$$\begin{aligned}
 VG(a) &:= a_1^A \ 2 \dots 2 \ a_2^A \ 2 \dots 2 \ a_3^A \ 2 \dots 2 \ a_4^A \\
 VG(b) &:= b_1^B \ 2 \dots 2 \ b_2^B \ 2 \dots 2 \ b_3^B \ 2 \dots 2 \ b_4^B
 \end{aligned}$$

- no LCS matches symbols in a_i^A with symbols in b_j^B where $i \neq j$
 assume otherwise

then we could match $\leq (d - 2)4d$ symbols 2 and $\leq 3d$ symbols 0/1

but $LCS(VG(a), VG(b)) \geq (d - 1)4d > (d - 2)4d + 3d$



Proof: Vector Gadgets

OV: Given $A, B \subseteq \{0,1\}^d$ of size n each
Are there $a \in A, b \in B$ such that $\forall i: a_i \cdot b_i = 0$

we want to simulate **orthogonality** of $a \in A, b \in B$

concatenate a_1^A, \dots, a_d^A , padded with a new symbol 2

$$VG(a) := a_1^A \ 2 \ \dots \ 2 \ a_2^A \ 2 \ \dots \ 2 \ a_3^A \ 2 \ \dots \ 2 \ a_4^A$$

$$VG(b) := b_1^B \ 2 \ \dots \ 2 \ b_2^B \ 2 \ \dots \ 2 \ b_3^B \ 2 \ \dots \ 2 \ b_4^B$$

- no LCS matches symbols in a_i^A with symbols in b_j^B where $i \neq j$
- some LCS matches all 2's



Proof: Vector Gadgets

OV: Given $A, B \subseteq \{0,1\}^d$ of size n each
 Are there $a \in A, b \in B$ such that $\forall i: a_i \cdot b_i = 0$

we want to simulate **orthogonality** of $a \in A, b \in B$

concatenate a_1^A, \dots, a_d^A , padded with a new symbol 2

$$VG(a) := a_1^A 2 \dots 2 a_2^A 2 \dots 2 a_3^A 2 \dots 2 a_4^A$$

$$VG(b) := b_1^B 2 \dots 2 b_2^B 2 \dots 2 b_3^B 2 \dots 2 b_4^B$$

- $LCS(VG(a), VG(b)) = (d - 1)4d + \sum_{i=1}^d LCS(a_i^A, b_i^B)$ = $f(a_i \cdot b_i)$

#2's

$$LCS(VG(a), VG(b)) = C + 2 \quad \text{if } a \perp b$$

$$LCS(VG(a), VG(b)) \leq C \quad \text{otherwise}$$

where $C = (d - 1)4d + 2d - 2$

Proof: Normalized Vectors Gadgets

OV: Given $A, B \subseteq \{0,1\}^d$ of size n each
Are there $a \in A, b \in B$ such that $\forall i: a_i \cdot b_i = 0$

add a $(d + 1)$ -st coordinate:

$$a_{d+1} := 0$$

$$b_{d+1} := 1$$

still holds: $\exists C$:

$$LCS(VG(a), VG(b)) = C + 2 \quad \text{if } a \perp b$$

$$LCS(VG(a), VG(b)) \leq C \quad \text{otherwise}$$

this does not change $a \perp b$

define vector:

$$s := (0, \dots, 0, 1) \in \{0,1\}^{d+1}$$

$$LCS(VG(s), VG(b)) = C$$

aim for $\max\{LCS(VG(a), VG(b)), LCS(VG(s), VG(b))\}$

this takes only 2 values, depending on whether $a \perp b$

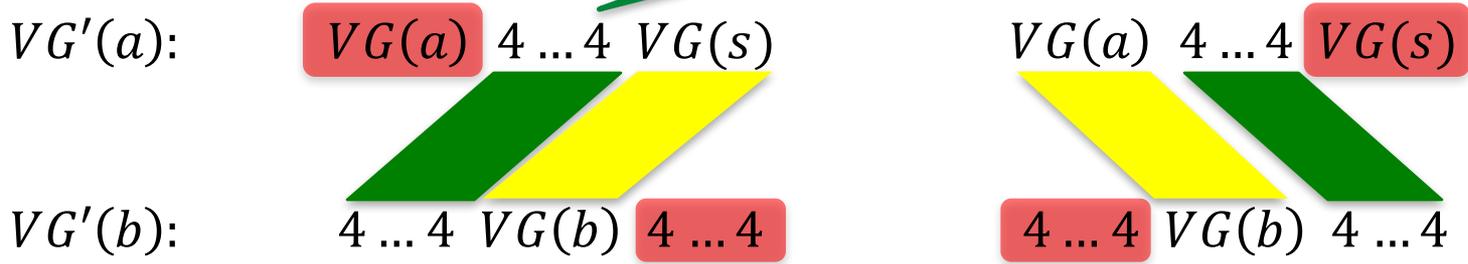


Proof: Normalized Vectors Gadgets

OV: Given $A, B \subseteq \{0,1\}^d$ of size n each
 Are there $a \in A, b \in B$ such that $\forall i: a_i \cdot b_i = 0$

new vector gadgets:

length $10d^2$



$$LCS(VG'(a), VG'(b)) = 10d^2 + \max\{LCS(VG(a), VG(b)), LCS(VG(s), VG(b))\}$$

$$LCS(VG'(a), VG'(b)) = \begin{cases} C' + 2 & \text{if } a \perp b \\ C' & \text{otherwise} \end{cases}$$

write VG for VG'

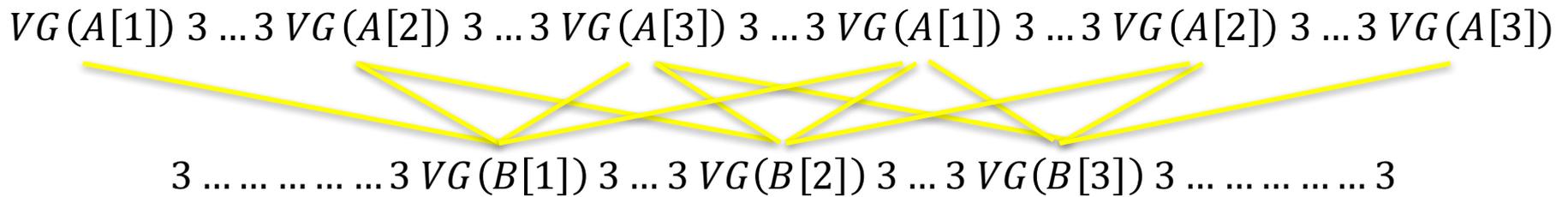


Proof: OR-Gadget

OV: Given $A, B \subseteq \{0,1\}^d$ of size n each
 Are there $a \in A, b \in B$ such that $\forall i: a_i \cdot b_i = 0$

fresh symbol β , want to construct:

in the picture: $n = 3$



length $100d^2$

length $100d^2 \cdot 2n$



Proof: OR-Gadget

OV: Given $A, B \subseteq \{0,1\}^d$ of size n each
 Are there $a \in A, b \in B$ such that $\forall i: a_i \cdot b_i = 0$

fresh symbol 3, want to construct:

in the picture: $n = 3$



can align $VG(B[j])$ with $VG(A[\Delta + j \bmod n])$ for any offset Δ

$$LCS \geq \underbrace{(2n - 1)100d^2}_{\text{\#3's in upper string}} + \max_{\Delta} \sum_{j=1}^n LCS(VG(A[\Delta + j \bmod n]), VG(B[j]))$$

#3's in upper string

maximize over offset

need normalization!

If there is an orthogonal pair, some offset Δ aligns this pair, and we get

$$LCS \geq (2n - 1)100d^2 + nC + 2$$



Proof: OR-Gadget

OV: Given $A, B \subseteq \{0,1\}^d$ of size n each
 Are there $a \in A, b \in B$ such that $\forall i: a_i \cdot b_i = 0$

fresh symbol 3, want to construct:

in the picture: $n = 3$



if an orthogonal pair exists then $LCS \geq (2n - 1)100d^2 + nC + 2$

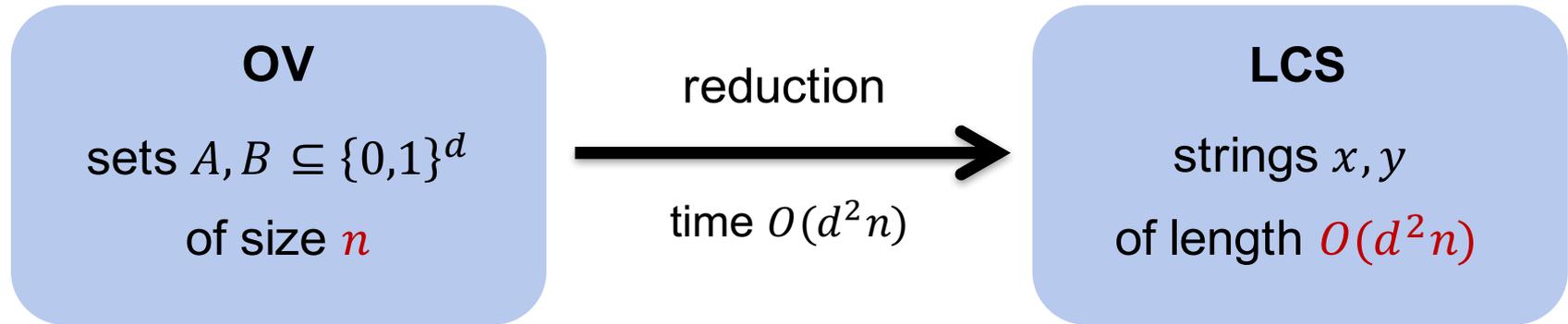
Claim: otherwise: $LCS \leq (2n - 1)100d^2 + nC$

this finishes the proof: ✓ equivalent to OV instance

✓ length $O(d^2n)$



OV-Hardness Result



$O(n^{2-\varepsilon} \text{poly}(d))$ algorithm

\Leftarrow

$O(n^{2-\varepsilon})$ algorithm

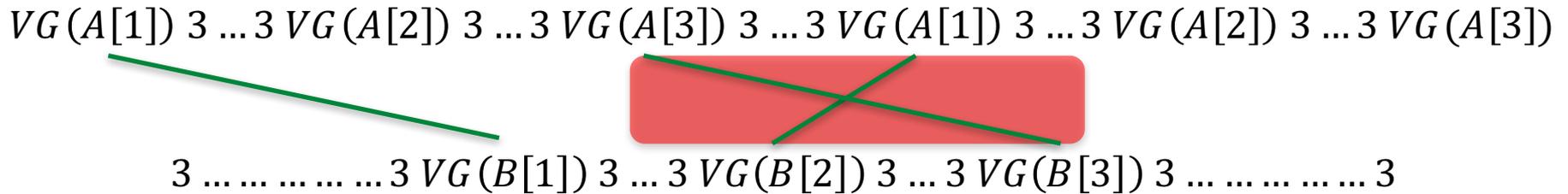
Thm: Longest Common Subsequence [B., Künnemann'15+
Abboud, Backurs, V-Williams'15]
has no $O(n^{2-\varepsilon})$ algorithm unless the OV-Hypothesis fails.



Proof of Claim

OV: Given $A, B \subseteq \{0,1\}^d$ of size n each
 Are there $a \in A, b \in B$ such that $\forall i: a_i \cdot b_i = 0$

Claim: if no orthogonal pair exists: $LCS \leq (2n - 1)100d^2 + nC$



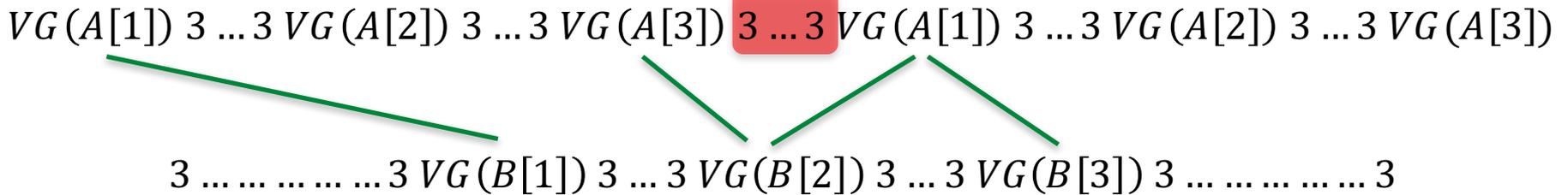
consider how an LCS matches the $VG(B[j])$

- no crossings

Proof of Claim

OV: Given $A, B \subseteq \{0,1\}^d$ of size n each
 Are there $a \in A, b \in B$ such that $\forall i: a_i \cdot b_i = 0$

Claim: if no orthogonal pair exists: $LCS \leq (2n - 1)100d^2 + nC$



non-orthogonal

$LCS \leq (2n - 1)100d^2 + \sum_{i=1}^n$
 #3's in upper string

$\begin{cases} 0 & \text{if } VG(B[j]) \text{ is not matched} \\ C & \text{if } VG(B[j]) \text{ is matched to one} \\ |VG(B[j])| - |3 \dots 3| & \text{if } VG(B[j]) \text{ is matched to } > 1 \end{cases}$

could match VG completely, but loose many 3's

≤ 0



Extensions

similar problems:

edit distance

dynamic time warping

...

alphabet size:

longest common subsequence and edit distance
are even hard on *binary* strings, i.e., alphabet $\{0,1\}$

longest common subsequence of k strings takes time $\Omega(n^{k-\varepsilon})$



Summary

reduction SETH \rightarrow OV

introduced k-OV

OV-hardness for Fréchet distance

OV-hardness for longest common subsequence

