

The Origins of Fine-Grained Complexity

Massimo Equi

Foundation Friday

26 April 2024

What is Fine-Grained Complexity?

Unconditional lower bounds

- E.g. number of comparisons for sorting

Lower Bounds

Unconditional lower bounds

- E.g. number of comparisons for sorting
- May be hard to prove

Lower Bounds

Unconditional lower bounds

- E.g. number of comparisons for sorting
- May be hard to prove

Conditional lower bounds

- E.g. showing NP hardness

Lower Bounds

Unconditional lower bounds

- E.g. number of comparisons for sorting
- May be hard to prove

Conditional lower bounds

- E.g. showing NP hardness
- Conditioned on $P \neq NP$

Lower Bounds

Unconditional lower bounds

- E.g. number of comparisons for sorting
- May be hard to prove

Conditional lower bounds

- E.g. showing NP hardness
- Conditioned on $P \neq NP$
- Very “coarse” grain: only polynomial vs exponential complexities

Lower Bounds

Unconditional lower bounds

- E.g. number of comparisons for sorting
- May be hard to prove

Conditional lower bounds

- E.g. showing NP hardness
- Conditioned on $P \neq NP$
- Very “coarse” grain: only polynomial vs exponential complexities

Let's say you can solve problem A in time $O(n^2)$

Lower Bounds

Unconditional lower bounds

- E.g. number of comparisons for sorting
- May be hard to prove

Conditional lower bounds

- E.g. showing NP hardness
- Conditioned on $P \neq NP$
- Very “coarse” grain: only polynomial vs exponential complexities

Let's say you can solve problem A in time $O(n^2)$

How to prove that A cannot be solved in $O(n^{2-\epsilon})$?

What can we condition on?

Fine-grained complexity provides the hypotheses for that
[Impagliazzo and Paturi, 2001]

Exponential Time Hypothesis (ETH)

There exists a constant $\bar{\alpha}$ s.t. no algorithm solves CNF-SAT with n variables in time $O(2^{\alpha n})$, $\alpha < \bar{\alpha}$

ETH and SETH

Fine-grained complexity provides the hypotheses for that
[Impagliazzo and Paturi, 2001]

Exponential Time Hypothesis (ETH)

There exists a constant $\bar{\alpha}$ s.t. no algorithm solves CNF-SAT with n variables in time $O(2^{\alpha n})$, $\alpha < \bar{\alpha}$

Strong Exponential Time Hypothesis (SETH)

No algorithm solves CNF-SAT with n variables in time $O(2^{\alpha n})$, $\alpha < 1$

Fine-grained complexity provides the hypotheses for that
[Impagliazzo and Paturi, 2001]

Exponential Time Hypothesis (ETH)

There exists a constant $\bar{\alpha}$ s.t. no algorithm solves CNF-SAT with n variables in time $O(2^{\alpha n})$, $\alpha < \bar{\alpha}$

Strong Exponential Time Hypothesis (SETH)

No algorithm solves CNF-SAT with n variables in time $O(2^{\alpha n})$, $\alpha < 1$

Idea: if we solve problem A in $O(n^{2-\epsilon})$, then we solve CNF-SAT in $O(2^{(1-\epsilon')n})$, contradicting SETH

CNF-SAT: SAT in conjunctive normal form (CNF)

CNF-SAT: SAT in conjunctive normal form (CNF)

input: a boolean formula F in CNF

n variables v_1, \dots, v_n , k clauses c_1, \dots, c_q

$$F(v_1, \dots, v_n) = (v_1 \vee \bar{v}_2) \wedge (\bar{v}_1 \vee v_2 \vee \bar{v}_3) \wedge (v_1 \vee v_3 \vee \bar{v}_4) \wedge \dots$$

Some notation

CNF-SAT: SAT in conjunctive normal form (CNF)

input: a boolean formula F in CNF

n variables v_1, \dots, v_n , k clauses c_1, \dots, c_q

$$F(v_1, \dots, v_n) = (v_1 \vee \bar{v}_2) \wedge (\bar{v}_1 \vee v_2 \vee \bar{v}_3) \wedge (v_1 \vee v_3 \vee \bar{v}_4) \wedge \dots$$

output: Yes/No - is there $a \in \{0, 1\}^n$ s.t. $F(a) = 1$?

Some notation

CNF-SAT: SAT in conjunctive normal form (CNF)

input: a boolean formula F in CNF

n variables v_1, \dots, v_n , k clauses c_1, \dots, c_q

$$F(v_1, \dots, v_n) = (v_1 \vee \bar{v}_2) \wedge (\bar{v}_1 \vee v_2 \vee \bar{v}_3) \wedge (v_1 \vee v_3 \vee \bar{v}_4) \wedge \dots$$

output: Yes/No - is there $a \in \{0, 1\}^n$ s.t. $F(a) = 1$?

k -SAT : as CNF-SAT but with at most k literals per clause.

ETH and SETH in more detail

k -**SAT** : as CNF-SAT but with at most k literals per clause.

ETH and SETH in more detail

k -**SAT** : as CNF-SAT but with at most k literals per clause.

Let $s_k = \inf \{ \alpha : \text{There is an } O(2^{\alpha n})\text{-time algorithm for } k\text{-SAT} \}$

ETH and SETH in more detail

k -SAT : as CNF-SAT but with at most k literals per clause.

Let $s_k = \inf \{ \alpha : \text{There is an } O(2^{\alpha n})\text{-time algorithm for } k\text{-SAT} \}$

Exponential Time Hypothesis (ETH)

For all $k \geq 3$, $s_k > 0$

Strong Exponential Time Hypothesis (SETH)

$$s_\infty = \lim_{k \rightarrow \infty} s_k = 1$$

Theorem

The following statements are equivalent:

For every $k \geq 3$, $s_k > 0$ (ETH)

For some k , $s_k > 0$

$s_3 > 0$

$SNP \not\subseteq SUBEXP$

Satisfiability of linear-sized circuits cannot be solved in subexponential time

[Impagliazzo, Paturi and Zane, 1998]

Arguments in favour of ETH

Theorem

The following statements are equivalent:

For every $k \geq 3$, $s_k > 0$ (ETH)

For some k , $s_k > 0$

$s_3 > 0$

SNP $\not\subseteq$ SUBEXP

Satisfiability of linear-sized circuits cannot be solved in subexponential time

[Impagliazzo, Paturi and Zane, 1998]

SNP: the class of properties expressible by a series of second order existential quantifiers, followed by a series of first order universal quantifiers, followed by a basic formula

Note:

- $P \neq NP$ allows e.g. $O(2^{\sqrt{n}})$ for k -SAT, ETH **does not**
- ETH $\Rightarrow P \neq NP$

Arguments in favour of SETH

SETH : $s_\infty = \lim_{k \rightarrow \infty} s_k = 1$

Arguments in favour of SETH

$$\text{SETH : } \quad \mathbf{s_\infty = \lim_{k \rightarrow \infty} s_k = 1}$$

Main points in favour of it:

- (a) Upper bound $O(2^{\alpha n})$, $\alpha = 1 - d/O(k)$, with d constant
 $\Rightarrow \mathbf{s_\infty \leq 1}$

Arguments in favour of SETH

$$\text{SETH : } \quad s_\infty = \lim_{k \rightarrow \infty} s_k = 1$$

Main points in favour of it:

- (a) Upper bound $O(2^{\alpha n})$, $\alpha = 1 - d/O(k)$, with d constant
 $\Rightarrow s_\infty \leq 1$
- (b) Assuming ETH \Rightarrow every $s_k < s_{k'}$, for $k < k'$, i.e. sequence $\{s_k\}$ is increasing infinitely often
[Impagliazzo and Paturi, 2001]

Arguments in favour of SETH

$$\text{SETH : } \quad s_\infty = \lim_{k \rightarrow \infty} s_k = 1$$

Main points in favour of it:

- (a) Upper bound $O(2^{\alpha n})$, $\alpha = 1 - d/O(k)$, with d constant
 $\Rightarrow s_\infty \leq 1$
- (b) Assuming ETH \Rightarrow every $s_k < s_{k'}$, for $k < k'$, i.e. sequence $\{s_k\}$ is increasing infinitely often
[Impagliazzo and Paturi, 2001]

SETH states $s_\infty = 1$, but it might be $s_\infty < 1$

Let's look at (b) more closely

Arguments in favour of SETH

Theorem

For every k , $s_k \leq (1 - d/k)s_\infty$

Arguments in favour of SETH

Theorem

For every k , $s_k \leq (1 - d/k)s_\infty$

ETH: for $k \geq 3$, $s_k > 0$

Arguments in favour of SETH

Theorem

For every k , $s_k \leq (1 - d/k)s_\infty$

ETH: for $k \geq 3$, $s_k > 0$

Consider k and k' such that $k < k'$

- Then $(1 - d/k)s_\infty < (1 - d/k')s_\infty$

Arguments in favour of SETH

Theorem

For every k , $s_k \leq (1 - d/k)s_\infty$

ETH: for $k \geq 3$, $s_k > 0$

Consider k and k' such that $k < k'$

- Then $(1 - d/k)s_\infty < (1 - d/k')s_\infty$
- Moreover $\exists k'$ s.t. $s_k \leq (1 - d/k)s_{k'}$

Arguments in favour of SETH

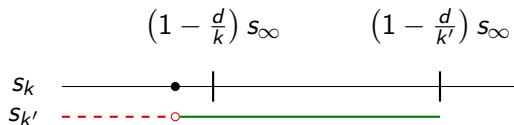
Theorem

For every k , $s_k \leq (1 - d/k)s_\infty$

ETH: for $k \geq 3$, $s_k > 0$

Consider k and k' such that $k < k'$

- Then $(1 - d/k)s_\infty < (1 - d/k')s_\infty$
- Moreover $\exists k'$ s.t. $s_k \leq (1 - d/k)s_{k'}$



Arguments in favour of SETH

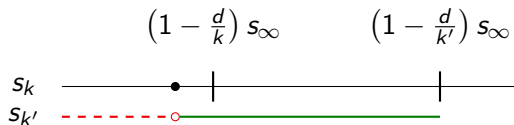
Theorem

For every k , $s_k \leq (1 - d/k)s_\infty$

ETH: for $k \geq 3$, $s_k > 0$

Consider k and k' such that $k < k'$

- Then $(1 - d/k)s_\infty < (1 - d/k')s_\infty$
- Moreover $\exists k'$ s.t. $s_k \leq (1 - d/k)s_{k'}$



Then $s_k < s_{k'}$, i.e. sequence $\{s_k\}$ is strictly increasing

Summing up, we know that

- $s_\infty \leq 1$
- $s_k \leq (1 - d/k)s_\infty$, for every k
- ETH $\Rightarrow s_k < s_{k'}$, for some $k < k'$

Summing up, we know that

- $s_\infty \leq 1$
- $s_k \leq (1 - d/k)s_\infty$, for every k
- ETH $\Rightarrow s_k < s_{k'}$, for some $k < k'$

Hence the claim

$$\text{SETH : } s_\infty = 1$$

Conditional Lower Bounds

Orthogonal Vectors

Why is SETH useful?

It can be used to prove **conditional lower bounds** for polynomial problems.

Why is SETH useful?

It can be used to prove **conditional lower bounds** for polynomial problems.

SETH can be used to prove a conditional lower bound for the **Orthogonal Vectors (OV)** problem

Why is SETH useful?

It can be used to prove **conditional lower bounds** for polynomial problems.

SETH can be used to prove a conditional lower bound for the **Orthogonal Vectors (OV)** problem

Doing so allows us to use OV instead of CNF-SAT for proving polynomial conditional lower bounds, making the reductions easier

Quick Complexity Background

Orthogonal Vectors (OV) Problem

Let $X, Y \subseteq \{0, 1\}^d$ be two sets of n binary vectors of length d .

Determine whether there exist $x \in X, y \in Y$ such that $x \cdot y = 0$

Quick Complexity Background

Orthogonal Vectors (OV) Problem

Let $X, Y \subseteq \{0,1\}^d$ be two sets of n binary vectors of length d .

Determine whether there exist $x \in X, y \in Y$ such that $x \cdot y = 0$

$$X = \begin{pmatrix} 001 \\ \mathbf{010} \\ 011 \\ 101 \end{pmatrix} \quad Y = \begin{pmatrix} 010 \\ 011 \\ \mathbf{100} \\ 111 \end{pmatrix}$$

Quick Complexity Background

Orthogonal Vectors (OV) Problem

Let $X, Y \subseteq \{0,1\}^d$ be two sets of n binary vectors of length d .

Determine whether there exist $x \in X, y \in Y$ such that $x \cdot y = 0$

$$X = \begin{pmatrix} 001 \\ \mathbf{010} \\ 011 \\ 101 \end{pmatrix} \quad Y = \begin{pmatrix} 010 \\ 011 \\ \mathbf{100} \\ 111 \end{pmatrix}$$

Orthogonal Vectors Hypothesis (OVH)

No algorithm can solve *Orthogonal Vectors* in time $O(n^\alpha \text{poly}(d))$, $\alpha < 2$

Quick Complexity Background

Orthogonal Vectors (OV) Problem

Let $X, Y \subseteq \{0,1\}^d$ be two sets of n binary vectors of length d .

Determine whether there exist $x \in X, y \in Y$ such that $x \cdot y = 0$

$$X = \begin{pmatrix} 001 \\ \mathbf{010} \\ 011 \\ 101 \end{pmatrix} \quad Y = \begin{pmatrix} 010 \\ 011 \\ \mathbf{100} \\ 111 \end{pmatrix}$$

Orthogonal Vectors Hypothesis (OVH)

No algorithm can solve *Orthogonal Vectors* in time $O(n^\alpha \text{poly}(d))$, $\alpha < 2$

CNF-SAT can be reduced to OV, thus SETH \Rightarrow OVH

Orthogonal Vectors

Reduction from CNF-SAT to OV

- start from a CNF-SAT formula F with n variables and q clauses

Orthogonal Vectors

Reduction from CNF-SAT to OV

- start from a CNF-SAT formula F with n variables and q clauses
- separate the variables in two groups $v_1, \dots, v_{\frac{n}{2}}$ and $v_{\frac{n}{2}+1}, \dots, v_n$

Orthogonal Vectors

Reduction from CNF-SAT to OV

- start from a CNF-SAT formula F with n variables and q clauses
- separate the variables in two groups $v_1, \dots, v_{\frac{n}{2}}$ and $v_{\frac{n}{2}+1}, \dots, v_n$

$$2^{\frac{n}{2}} \left\{ \begin{array}{l} x_1 = (0 \ 0) \quad (0 \ 0 \ 1 \ 1 \ 1) = u_1 \\ x_2 = (0 \ 1) \quad (0 \ 1 \ 1 \ 0 \ 0) = u_2 \\ x_3 = (1 \ 0) \quad (1 \ 0 \ 0 \ 0 \ 1) = u_3 \\ x_4 = (1 \ 1) \quad (1 \ 0 \ 1 \ 0 \ 0) = u_4 \end{array} \right\} m \quad \begin{array}{l} u_i[h] = 0 \\ \Leftrightarrow \\ x_i \models c_h \end{array}$$

$$2^{\frac{n}{2}} \left\{ \begin{array}{l} y_1 = (0 \ 0) \quad (0 \ 0 \ 1 \ 1 \ 0) = w_1 \\ y_2 = (0 \ 1) \quad (1 \ 1 \ 0 \ 0 \ 1) = w_2 \\ y_3 = (1 \ 0) \quad (0 \ 1 \ 0 \ 1 \ 1) = w_3 \\ y_4 = (1 \ 1) \quad (0 \ 1 \ 0 \ 1 \ 0) = w_4 \end{array} \right\} m \quad \begin{array}{l} w_j[h] = 0 \\ \Leftrightarrow \\ y_j \models c_h \end{array}$$

$\underbrace{\hspace{10em}}_{\frac{n}{2}} \quad \underbrace{\hspace{10em}}_k$

Orthogonal Vectors

Contradiction with SETH

- this reductions takes $O(2^{\frac{n}{2}} \text{poly}(q))$

Orthogonal Vectors

Contradiction with SETH

- this reductions takes $O(2^{\frac{n}{2}} \text{poly}(q))$
- $m = 2^{\frac{n}{2}}$ vectors

Orthogonal Vectors

Contradiction with SETH

- this reductions takes $O(2^{\frac{n}{2}} \text{poly}(q))$
- $m = 2^{\frac{n}{2}}$ vectors
- each vector is of size $d = q$

Orthogonal Vectors

Contradiction with SETH

- this reduction takes $O(2^{\frac{n}{2}} \text{poly}(q))$
- $m = 2^{\frac{n}{2}}$ vectors
- each vector is of size $d = q$

Solving OV in time $O(m^{2-\epsilon} \text{poly}(d))$ implies the following for CNF-SAT:

$$O(2^{\frac{n}{2}(2-\epsilon)} \text{poly}(q)) = O(2^{n(1-\frac{\epsilon}{2})} \text{poly}(q))$$

Orthogonal Vectors

Contradiction with SETH

- this reduction takes $O(2^{\frac{n}{2}} \text{poly}(q))$
- $m = 2^{\frac{n}{2}}$ vectors
- each vector is of size $d = q$

Solving OV in time $O(m^{2-\epsilon} \text{poly}(d))$ implies the following for CNF-SAT:

$$O(2^{\frac{n}{2}(2-\epsilon)} \text{poly}(q)) = O(2^{n(1-\frac{\epsilon}{2})} \text{poly}(q))$$

This contradicts SETH

Orthogonal Vectors

Contradiction with SETH

- this reduction takes $O(2^{\frac{n}{2}} \text{poly}(q))$
- $m = 2^{\frac{n}{2}}$ vectors
- each vector is of size $d = q$

Solving OV in time $O(m^{2-\epsilon} \text{poly}(d))$ implies the following for CNF-SAT:

$$O(2^{\frac{n}{2}(2-\epsilon)} \text{poly}(q)) = O(2^{n(1-\frac{\epsilon}{2})} \text{poly}(q))$$

This contradicts SETH

We conclude that OVH is true unless SETH is false (SETH \Rightarrow OVH)

Problems with lower bounds

Problems with a reduction from **OV** (or k -OV) that implies a lower bound, unless SETH is false [Williams, 2018]:

- Graph Diameter for unweighted, undirected graphs with n nodes and $O(n)$ edges
- Edit Distance, Longest Common Subsequence, Dynamic Time Warping Distance, Fréchet Distance
- Subtree Isomorphism
- All Pairs Max Flow
- Subset Sum on n integers and target T

No known connections with **APSP** or **3-SUM**

- Often used as different source problems for fine-grained reductions

No known connections with **APSP** or **3-SUM**

- Often used as different source problems for fine-grained reductions

Reductions from **Formula-SAT** instead of CNF-SAT

[Abboud, Hansen, Williams and Williams, 2016]

- For a problem with upper bound $O(n^d / \log^c n)$, you can show that $c < \bar{c}$, for some constant \bar{c} .

Thank you!

[Impagliazzo, Paturi and Zane, 1998]

Russell Impagliazzo, Ramamohan Paturi, Fancis Zane

Which Problems Have Strongly Exponential Complexity?

FOCS 1998

[Impagliazzo and Paturi, 2001]

Russell Impagliazzo, Ramamohan Paturi

On the Complexity of k-SAT

Journal of Computer and System Sciences, 2001

[Abboud, Hansen, Williams and Williams, 2016]

Amir Abboud, Thomas Dueholm Hansen, Virginia Vassilevska Williams,
Ryan Williams

**Simulating branching programs with edit distance and friends: or: a
polylog shaved is a lower bound made**

STOC 2016

[Williams, 2018]

Virginia Vassilevska Williams

On some fine-grained questions in algorithms and complexity

ICM 2018