

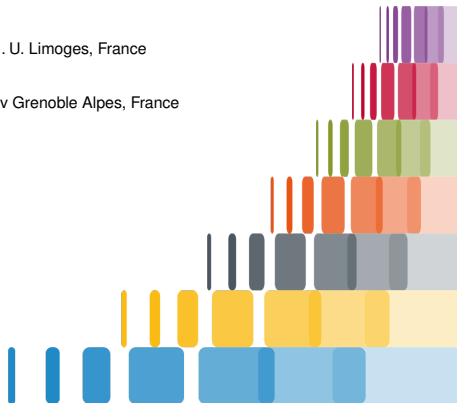
Deterministic computation of the characteristic polynomial in the time of matrix multiplication

Vincent Neiger U. Limoges, France

Clément Pernet Univ Grenoble Alpes, France

Inria LFANT seminar

Bordeaux, France (online), March 16, 2021



- Context, problem, state of the art
- Overview of the approach and complexity
- Obstacles and related spin-off results

- Context, problem, state of the art
- Overview of the approach and complexity
- Obstacles and related spin-off results

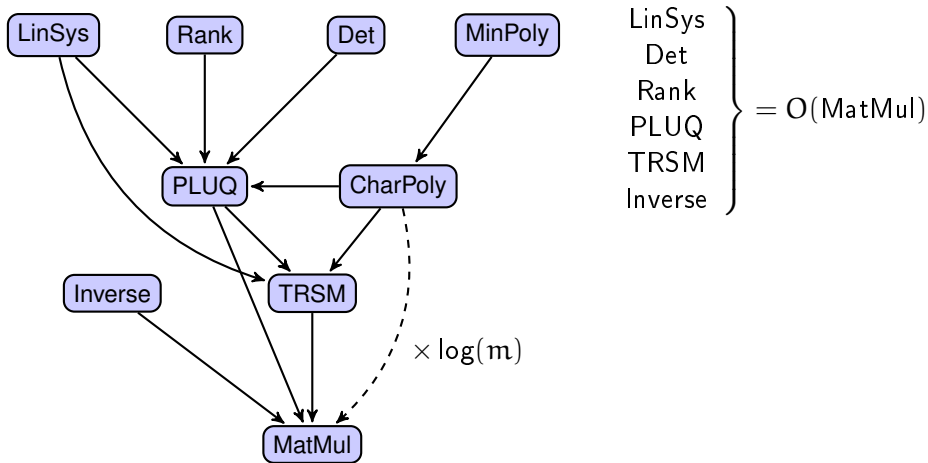
Context

- field \mathbb{K} , algebraic complexity (counting operations in \mathbb{K})
- ω : exponent of MatMul over \mathbb{K} : $m \times m$ by $m \times m$ in $O(m^\omega)$

Reductions of most problems to matrix multiplication

Context

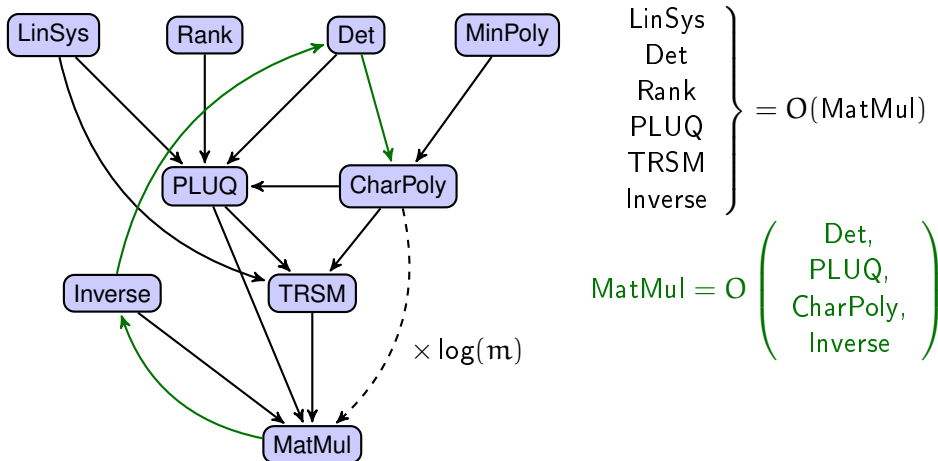
- field \mathbb{K} , algebraic complexity (counting operations in \mathbb{K})
- ω : exponent of MatMul over \mathbb{K} : $m \times m$ by $m \times m$ in $O(m^\omega)$

Reductions of most problems to matrix multiplication

Context

- field \mathbb{K} , algebraic complexity (counting operations in \mathbb{K})
- ω : exponent of MatMul over \mathbb{K} : $m \times m$ by $m \times m$ in $O(m^\omega)$

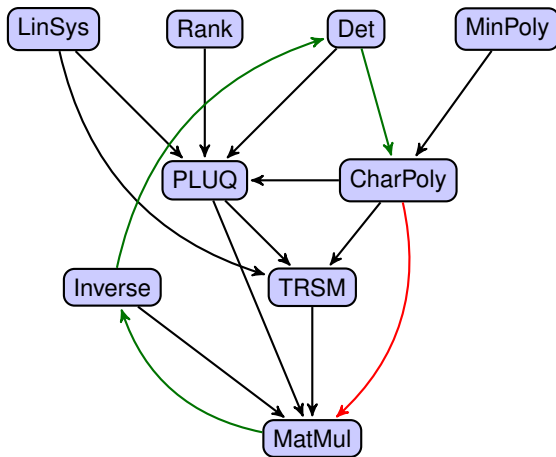
Reductions of most problems to matrix multiplication



Context

- field \mathbb{K} , algebraic complexity (counting operations in \mathbb{K})
- ω : exponent of MatMul over \mathbb{K} : $m \times m$ by $m \times m$ in $O(m^\omega)$

Reductions of most problems to matrix multiplication



LinSys
 Det
 Rank
 PLUQ
 TRSM
 Inverse

} = $O(\text{MatMul})$

$\text{MatMul} = O \left(\begin{array}{c} \text{Det,} \\ \text{PLUQ,} \\ \text{CharPoly,} \\ \text{Inverse} \end{array} \right)$

CharPoly = $O(\text{MatMul})$?

Characteristic polynomial...

given $M \in \mathbb{K}^{m \times m}$, compute $\det(xI_m - M) \in \mathbb{K}[x]$

- deterministic, general: $O(m^\omega \log(m))$ [Keller-Gehrig 1985]
- deterministic, **generic input**: $O(m^\omega)$ [Giorgi-Jeannerod-Villard 2003]
- **randomized**, general: $O(m^\omega)$ [P.-Storjohann 2007]

... in the time of matrix multiplication

Deterministic charpoly algorithm in $O(m^\omega)$

using any MatMul algorithm in $O(m^\omega)$ with $2 < \omega \leq 3$

(i.e. not relying on a $\tilde{O}(m^{\omega-\varepsilon})$ MatMul algorithm...)

[arXiv: 2010.04662](https://arxiv.org/abs/2010.04662) / [HAL: hal-02963147](https://hal.archives-ouvertes.fr/hal-02963147)

[Bürgisser-Clausen-Skokrollski, Algebraic Complexity Theory, 1997]

16.6* The Characteristic Polynomial

In Sect. 16.4 we saw that computing the determinant is about as hard as matrix multiplication. In this section we shall see that even the problem of computing *all* coefficients of the characteristic polynomial of a matrix has the same exponent as matrix multiplication.

[Bürgisser-Clausen-Skokrollski, Algebraic Complexity Theory, 1997]

16.6* The Characteristic Polynomial

In Sect. 16.4 we saw that computing the determinant is about as hard as matrix multiplication. In this section we shall see that even the problem of computing *all* coefficients of the characteristic polynomial of a matrix has the same exponent as matrix multiplication.

- Definition of ω : *infimum? feasible?*
- Which MatMul algorithm(s) can be used in the CharPoly algorithm?

For any ω feasible (as of today),
there is a MatMul algorithm in $O(m^{\omega-\epsilon})$ for some $\epsilon > 0$

\Rightarrow Keller-Gehrig's CharPoly algorithm is in $O(m^{\omega-\epsilon} \log(m)) \subset O(m^\omega)$

Typical introduction of ω in computer algebra:

“Let ω be such that $m \times m$ MatMul costs $O(m^\omega)$ field operations”

Matrix multiplication over \mathbb{K}

- choose a MatMul algorithm with complexity $O(m^\omega)$
- use this specific algorithm for all arising MatMul instances

Our requirement: $2 < \omega \leq 3$ (we accept $\omega = 2.1$, if you provide the MatMul algorithm)

Typical introduction of ω in computer algebra:

“Let ω be such that $m \times m$ MatMul costs $O(m^\omega)$ field operations”

Matrix multiplication over \mathbb{K}

- choose a MatMul algorithm with complexity $O(m^\omega)$
- use this specific algorithm for all arising MatMul instances

Our requirement: $2 < \omega \leq 3$ (we accept $\omega = 2.1$, if you provide the MatMul algorithm)

Univariate polynomial multiplication over $\mathbb{K}[x]$

- choose a PolMul algorithm with complexity $O(M(d))$
- use this specific algorithm for all arising PolMul instances

Requirement: $M(d)$ is **superlinear** and **submultiplicative** and **reasonably good**

$$2M(d) \leq M(2d) \quad M(d_1 d_2) \leq M(d_1)M(d_2) \quad M(d) \in O(d^{\omega-1-\epsilon}) \text{ for some } \epsilon > 0$$

Requirement: $m \times m$ matrices over $\mathbb{K}[x]_{\leq d}$ multiplied in $O(m^\omega M(d))$ field ops

All these requirements are satisfied by the classical MatMul/PolMul algorithms

Traces of Powers:

$O(m^4)$ or $O(m^{\omega+1})$

- . [LeVerrier 1840] [Faddeev'49, Souriau'48, ...]
- . used by [Csanky'75] to prove \mathcal{NC}^2 membership

Determinant expansion:

$O(m^4)$

- . [Samuelson'42, Berkowitz'84]
- . suited to division free algorithms [Abdleaoued-Malaschonok'01, Kaltofen-Villard'05]

Krylov methods:

[Danilevskij'37, Keller-Gehrig'85, P-Storjohann'07]

- Deterministic $O(m^3)$ or $O(m^\omega \log(m))$
- Generic $O(m^\omega)$
- Las-Vegas probabilistic for large fields ($|\mathbb{K}| \geq 2m^2$) $O(m^\omega)$

Context, problem, state of the art

Charpoly via $\mathbb{K}[x]$ -linear algebra

Determinant of a matrix $A \in \mathbb{K}[x]^{m \times m}$ of degree d

$d = 1$

Evaluation-Interpolation: [folklore]

$O(m^{\omega+1})$

at $\sim md$ points: requires large enough field

Diagonalization (Smith form): [Storjohann 2003]

$O(m^{\omega} \log(m)^2)$

Las Vegas randomized + additional logs for small fields

Partial triangularization:

• Iterative [Mulders-Storjohann 2003]
via weak Popov form computations

$O(m^3)$

• Divide and conquer, **generic** [Giorgi-Jeannerod-Villard 2003]
diagonal of Hermite form must be $1, \dots, 1, \det(A)$

$O(m^{\omega})$

• Divide and conquer [N.-Labahn-Zhou 2017]
logarithmic factors in m and d

$\tilde{O}(m^{\omega})$

In \mathbb{K} -linear algebra

- divide and conquer with half-dimension blocks \rightarrow no $\log(m)$
- iterative approaches in m steps \rightarrow sometimes no $\log(m)$ [P-Storjohann'07]
- explicit Krylov iteration: compute $(v \quad Mv \quad \dots \quad M^m v)$ $\rightarrow \log(m) \times \text{MatMul}$

In $\mathbb{K}[x]$ -linear algebra

- divide and conquer with half-dimension blocks \rightarrow no $\log(m)$
provided degrees are controlled, e.g. kernel basis [Zhou-Labahn-Storjohann'12]
- divide and conquer on degree $\rightarrow \log(d)$ but no $\log(m)$
e.g. $\mathbb{K}[x]$ -MatMul and approximant basis [Giorgi-Jeannerod-Villard'03]
- explicit Krylov iterations here as well $[\star]$
because base cases of recursions on degree = matrices over \mathbb{K} e.g. [Jeannerod-N.-Schost-Villard'17]
- looking for a matrix with unpredictable, unbalanced degrees
up to $\sim \log(m)$ steps, each in dimension $m \times m$, to uncover the degree profile [Zhou-Labahn'13]
reminiscent of long Krylov chains with small dimension drop & failure to derandomize [P-Storjohann'07]

$[\star]$ typically contributes $O(m^\omega d \log(m))$ to the cost \rightsquigarrow cannot be ignored for $d = O(1)$

Overview of the approach and complexity

Outline



- Context, problem, state of the art
- **Overview of the approach and complexity**
- Obstacles and related spin-off results

Partial block triangularization

[Mulders-Storjohann 2003, Giorgi-Jeannerod-Villard 2003, Zhou 2012, N.-Labahn-Zhou 2017]

Triangularization of $m \times m$ matrix \mathbf{A} using $m/2 \times m/2$ blocks

not computed

$$\begin{bmatrix} * & * \\ \mathbf{K}_1 & \mathbf{K}_2 \end{bmatrix} \begin{bmatrix} \mathbf{A}_1 & \mathbf{A}_2 \\ \mathbf{A}_3 & \mathbf{A}_4 \end{bmatrix} = \begin{bmatrix} \mathbf{R} & * \\ \mathbf{0} & \mathbf{B} \end{bmatrix}$$

kernel basis of $\begin{bmatrix} \mathbf{A}_1 \\ \mathbf{A}_3 \end{bmatrix}$

$$\mathbf{K}_1 \mathbf{A}_2 + \mathbf{K}_2 \mathbf{A}_4$$

row basis of $\begin{bmatrix} \mathbf{A}_1 \\ \mathbf{A}_3 \end{bmatrix}$

Property: $\det(\mathbf{A}) = \det(\mathbf{R}) \det(\mathbf{B})$

Partial block triangularization

[Mulders-Storjohann 2003, Giorgi-Jeannerod-Villard 2003, Zhou 2012, N.-Labahn-Zhou 2017]

Triangularization of $m \times m$ matrix A using $m/2 \times m/2$ blocks

not computed

$$\begin{bmatrix} * & * \\ K_1 & K_2 \end{bmatrix} \begin{bmatrix} A_1 & A_2 \\ A_3 & A_4 \end{bmatrix} = \begin{bmatrix} R & * \\ 0 & B \end{bmatrix}$$

kernel basis of $\begin{bmatrix} A_1 \\ A_3 \end{bmatrix}$

$$K_1 A_2 + K_2 A_4$$

row basis of $\begin{bmatrix} A_1 \\ A_3 \end{bmatrix}$

Property: $\det(A) = \det(R) \det(B)$

Overview of the approach and complexity

Generic case without log factor

[Mulders-Storjohann 2003, Giorgi-Jeanerod-Villard 2003, Zhou 2012, N.-Labahn-Zhou 2017]

Triangularization of $m \times m$ matrix A using $m/2 \times m/2$ blocks

not computed

$$\begin{bmatrix} * & * \\ \mathbf{K}_1 & \mathbf{K}_2 \end{bmatrix} \begin{bmatrix} \mathbf{A}_1 & \mathbf{A}_2 \\ \mathbf{A}_3 & \mathbf{A}_4 \end{bmatrix} = \begin{bmatrix} \mathbf{R} & * \\ \mathbf{0} & \mathbf{B} \end{bmatrix}$$

kernel basis of $\begin{bmatrix} \mathbf{A}_1 \\ \mathbf{A}_3 \end{bmatrix}$ $\mathbf{K}_1 \mathbf{A}_2 + \mathbf{K}_2 \mathbf{A}_4$ row basis of $\begin{bmatrix} \mathbf{A}_1 \\ \mathbf{A}_3 \end{bmatrix}$

Property: $\det(A) = \det(R) \det(B)$

Generic input $\Rightarrow \det(A)$ without $\log(m)$ [Giorgi-Jeanerod-Villard 2003]

A_1 and A_3 are coprime $\Rightarrow R = I_{m/2} \Rightarrow \det(A) = \det(B)$

- Compute kernel $[\mathbf{K}_1 \ \mathbf{K}_2]$; deduce \mathbf{B} by MatMul
- Recursively, compute $\det(B)$, return it

A and $[\mathbf{K}_1 \ \mathbf{K}_2]$ have degree $d \Rightarrow \mathbf{B}$ has degree $2d$: **controlled total degree**

GCD in $\leq M'(d) \in O(M(d) \log(d))$ f.ops. $O(m^\omega M'(d))$

total cost: $O(m^\omega M'(d) + (m/2)^\omega M'(2d) + \dots + M'(m d)) \subset O(m^\omega M'(d))$

Overview of the approach and complexity

General case with log factor

[Mulders-Storjohann 2003, Giorgi-Jeannerod-Villard 2003, Zhou 2012, N.-Labahn-Zhou 2017]

Triangularization of $m \times m$ matrix A using $m/2 \times m/2$ blocks

not computed

$$\begin{bmatrix} * & * \\ \mathbf{K}_1 & \mathbf{K}_2 \end{bmatrix} \begin{bmatrix} \mathbf{A}_1 & \mathbf{A}_2 \\ \mathbf{A}_3 & \mathbf{A}_4 \end{bmatrix} = \begin{bmatrix} \mathbf{R} & * \\ \mathbf{0} & \mathbf{B} \end{bmatrix}$$

kernel basis of $\begin{bmatrix} \mathbf{A}_1 \\ \mathbf{A}_3 \end{bmatrix}$ $\mathbf{K}_1 \mathbf{A}_2 + \mathbf{K}_2 \mathbf{A}_4$ row basis of $\begin{bmatrix} \mathbf{A}_1 \\ \mathbf{A}_3 \end{bmatrix}$

Property: $\det(A) = \det(R) \det(B)$

Matrix degree not controlled: degree of B up to $D = \sum \text{rdeg}(A) \leq md$
 but controlled average row degree: at most $\frac{D}{m}$

General input $\Rightarrow \det(A)$ in $\tilde{O}(m^\omega \frac{D}{m})$

[Labahn-N.-Zhou 2017]

- Compute kernel $[\mathbf{K}_1 \ \mathbf{K}_2]$; deduce \mathbf{B} by MatMul $O(m^\omega M'(\frac{D}{m}))$
- Compute row basis \mathbf{R} $\tilde{O}(m^\omega \frac{D}{m})$ with $\log(m)$
- Recursively, compute $\det(\mathbf{R})$ and $\det(\mathbf{B})$, return $\det(\mathbf{R}) \det(\mathbf{B})$

Be lazy: if hard to compute, don't compute

[Mulders-Storjohann 2003, Giorgi-Jeannerod-Villard 2003, Zhou 2012, N.-Labahn-Zhou 2017]

Triangularization of $m \times m$ matrix A using $m/2 \times m/2$ blocks

not computed

$$\begin{bmatrix} * & * \\ \mathbf{K}_1 & \mathbf{K}_2 \end{bmatrix} \begin{bmatrix} \mathbf{A}_1 & \mathbf{A}_2 \\ \mathbf{A}_3 & \mathbf{A}_4 \end{bmatrix} = \begin{bmatrix} \mathbf{R} & * \\ \mathbf{0} & \mathbf{B} \end{bmatrix}$$

kernel basis of $\begin{bmatrix} \mathbf{A}_1 \\ \mathbf{A}_3 \end{bmatrix}$ $\mathbf{K}_1 \mathbf{A}_2 + \mathbf{K}_2 \mathbf{A}_4$ row basis of $\begin{bmatrix} \mathbf{A}_1 \\ \mathbf{A}_3 \end{bmatrix}$

Property: $\det(A) = \det(R) \det(B)$

Obstacle: removing log factors in row basis computation

⇒ solution: **remove row basis computation**

$$\begin{bmatrix} \mathbf{I}_{m/2} & \mathbf{0} \\ \mathbf{K}_1 & \mathbf{K}_2 \end{bmatrix} \begin{bmatrix} \mathbf{A}_1 & \mathbf{A}_2 \\ \mathbf{A}_3 & \mathbf{A}_4 \end{bmatrix} = \begin{bmatrix} \mathbf{A}_1 & \mathbf{A}_2 \\ \mathbf{0} & \mathbf{B} \end{bmatrix}$$

Property: $\det(A) = \det(\mathbf{A}_1) \det(\mathbf{B}) / \det(\mathbf{K}_2)$

$$\begin{bmatrix} \mathbf{I}_{m/2} & \mathbf{0} \\ \mathbf{K}_1 & \mathbf{K}_2 \end{bmatrix} \begin{bmatrix} \mathbf{A}_1 & \mathbf{A}_2 \\ \mathbf{A}_3 & \mathbf{A}_4 \end{bmatrix} = \begin{bmatrix} \mathbf{A}_1 & \mathbf{A}_2 \\ \mathbf{0} & \mathbf{B} \end{bmatrix}$$

Property: $\det(\mathbf{A}) = \det(\mathbf{A}_1) \det(\mathbf{B}) / \det(\mathbf{K}_2)$

👍 no $\log(m)$ in the computation of $\mathbf{A}_1, \mathbf{B}, \mathbf{K}_2$

🚫 requires nonsingular \mathbf{A}_1 , otherwise $\det(\mathbf{K}_2) = 0$

🚫 3 recursive calls in matrix size $m/2$ is 👍, but requires $\sum \text{rdeg}(\mathbf{A}_1) \leq D/2$
 otherwise degree control is too weak. (this implies $\sum \text{rdeg}(\mathbf{K}_2) \leq D/2$)

Overview of the approach and complexity

Further obstacles (brought by laziness)

$$\begin{bmatrix} \mathbf{I}_{m/2} & \mathbf{0} \\ \mathbf{K}_1 & \mathbf{K}_2 \end{bmatrix} \begin{bmatrix} \mathbf{A}_1 & \mathbf{A}_2 \\ \mathbf{A}_3 & \mathbf{A}_4 \end{bmatrix} = \begin{bmatrix} \mathbf{A}_1 & \mathbf{A}_2 \\ \mathbf{0} & \mathbf{B} \end{bmatrix}$$

Property: $\det(\mathbf{A}) = \det(\mathbf{A}_1) \det(\mathbf{B}) / \det(\mathbf{K}_2)$

👍 no $\log(m)$ in the computation of $\mathbf{A}_1, \mathbf{B}, \mathbf{K}_2$

🚫 requires nonsingular \mathbf{A}_1 , otherwise $\det(\mathbf{K}_2) = 0$

🚫 3 recursive calls in matrix size $m/2$ is 👍, but requires $\sum \text{rdeg}(\mathbf{A}_1) \leq D/2$
otherwise degree control is too weak. (this implies $\sum \text{rdeg}(\mathbf{K}_2) \leq D/2$)

Solution: require \mathbf{A} in weak Popov form

(the characteristic matrix $\mathbf{A} = x\mathbf{I}_m - \mathbf{M}$ is in Popov form)

👍 implies \mathbf{A}_1 nonsingular and $\sum \text{rdeg}(\mathbf{A}_1) \leq D/2$ up to easy transformations

👍 both \mathbf{A}_1 and \mathbf{B} are also in weak Popov form \Rightarrow suitable for recursive calls

🚫 \mathbf{K}_2 is in “shifted reduced” form... find weak Popov \mathbf{P} with same determinant

Overview of the approach and complexity

Complexity

$$c(m, D) \leq 2c\left(\frac{m}{2}, \left\lfloor \frac{D}{2} \right\rfloor\right) + c\left(\frac{m}{2}, D\right) + O\left(m^\omega M'\left(\frac{D}{m}\right)\right)$$

where: $M'(d) = \text{GCD}(d) \in O(M(d) \log(d))$

$$\frac{D}{m} = \frac{\text{deg det}}{m} = \text{avg row degree}$$

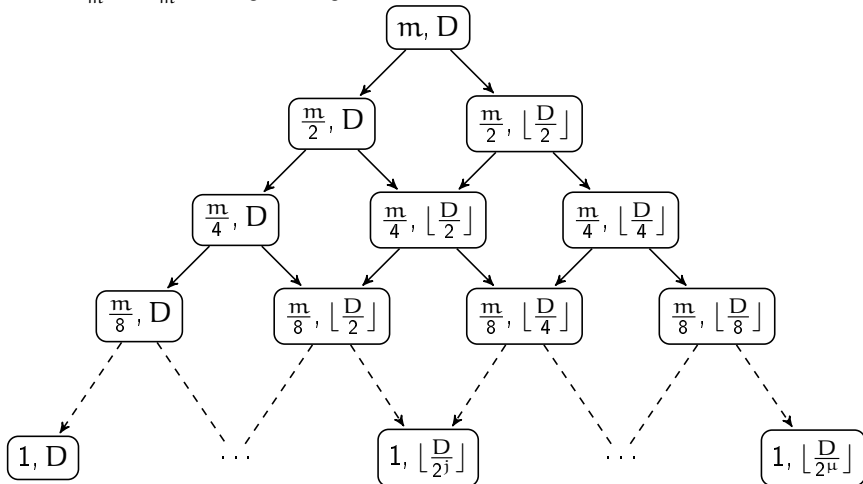
Overview of the approach and complexity

Complexity

$$c(m, D) \leq 2c\left(\frac{m}{2}, \left\lfloor \frac{D}{2} \right\rfloor\right) + c\left(\frac{m}{2}, D\right) + O\left(m^\omega M'\left(\frac{D}{m}\right)\right)$$

where: $M'(d) = \text{GCD}(d) \in O(M(d) \log(d))$

$$\frac{D}{m} = \frac{\text{deg det}}{m} = \text{avg row degree}$$



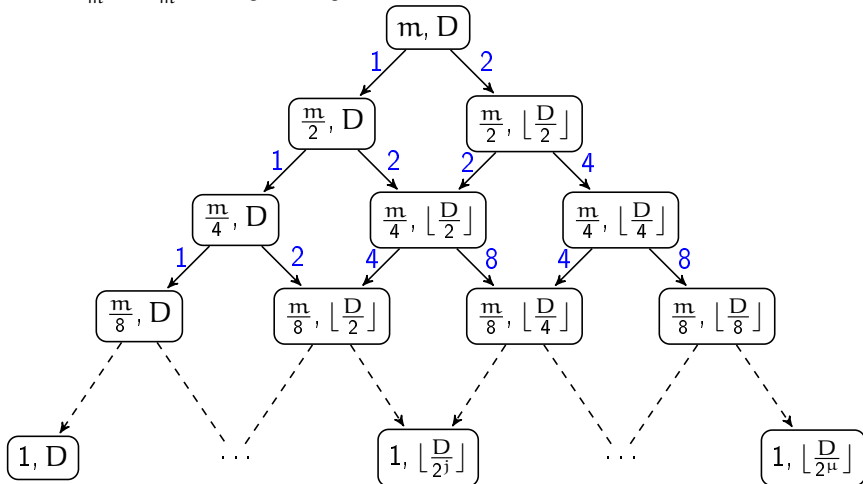
Overview of the approach and complexity

Complexity

$$c(m, D) \leq 2c\left(\frac{m}{2}, \left\lfloor \frac{D}{2} \right\rfloor\right) + c\left(\frac{m}{2}, D\right) + O\left(m^\omega M'\left(\frac{D}{m}\right)\right)$$

where: $M'(d) = \text{GCD}(d) \in O(M(d) \log(d))$

$$\frac{D}{m} = \frac{\text{deg det}}{m} = \text{avg row degree}$$



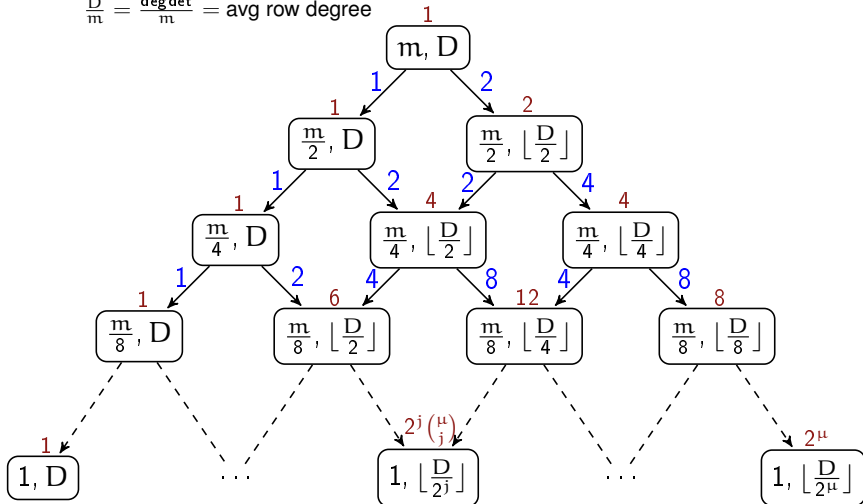
Overview of the approach and complexity

Complexity

$$c(m, D) \leq 2c\left(\frac{m}{2}, \left\lfloor \frac{D}{2} \right\rfloor\right) + c\left(\frac{m}{2}, D\right) + O\left(m^\omega M'\left(\frac{D}{m}\right)\right)$$

where: $M'(d) = \text{GCD}(d) \in O(M(d) \log(d))$

$$\frac{D}{m} = \frac{\text{deg det}}{m} = \text{avg row degree}$$



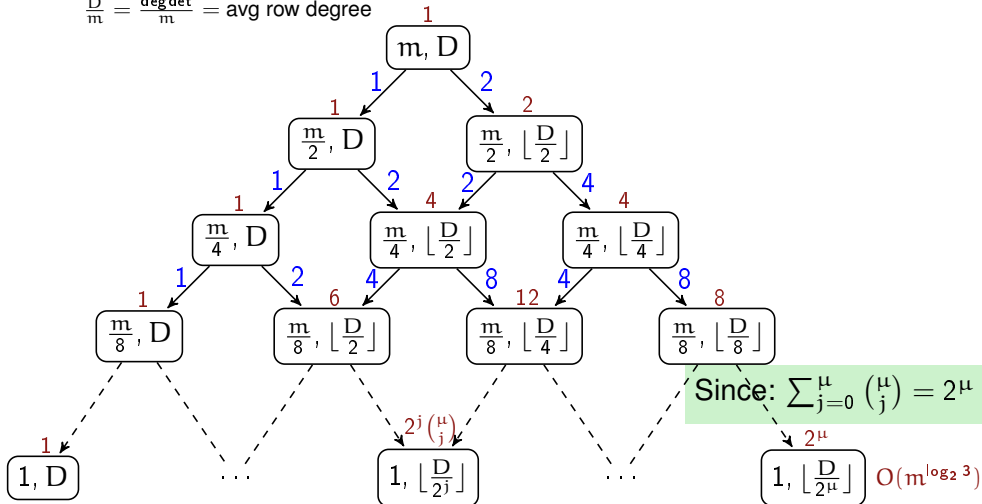
Overview of the approach and complexity

Complexity

$$c(m, D) \leq 2c\left(\frac{m}{2}, \left\lfloor \frac{D}{2} \right\rfloor\right) + c\left(\frac{m}{2}, D\right) + O\left(m^\omega M'\left(\frac{D}{m}\right)\right)$$

where: $M'(d) = \text{GCD}(d) \in O(M(d) \log(d))$

$$\frac{D}{m} = \frac{\text{deg det}}{m} = \text{avg row degree}$$



Overview of the approach and complexity

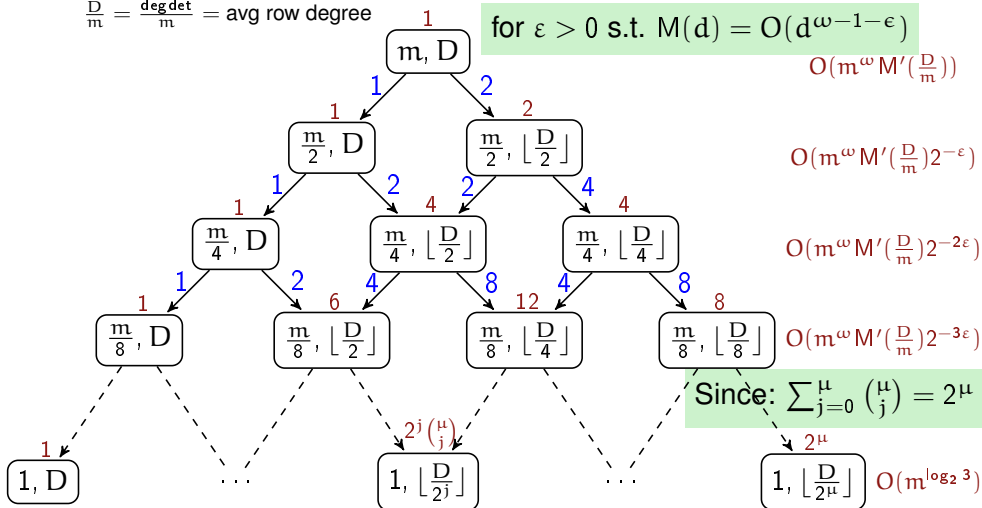
Complexity

$$c(m, D) \leq 2c\left(\frac{m}{2}, \left\lfloor \frac{D}{2} \right\rfloor\right) + c\left(\frac{m}{2}, D\right) + O\left(m^\omega M'\left(\frac{D}{m}\right)\right)$$

where: $M'(d) = \text{GCD}(d) \in O(M(d) \log(d))$

$$\frac{D}{m} = \frac{\text{deg det}}{m} = \text{avg row degree}$$

for $\epsilon > 0$ s.t. $M(d) = O(d^{\omega-1-\epsilon})$



Overview of the approach and complexity

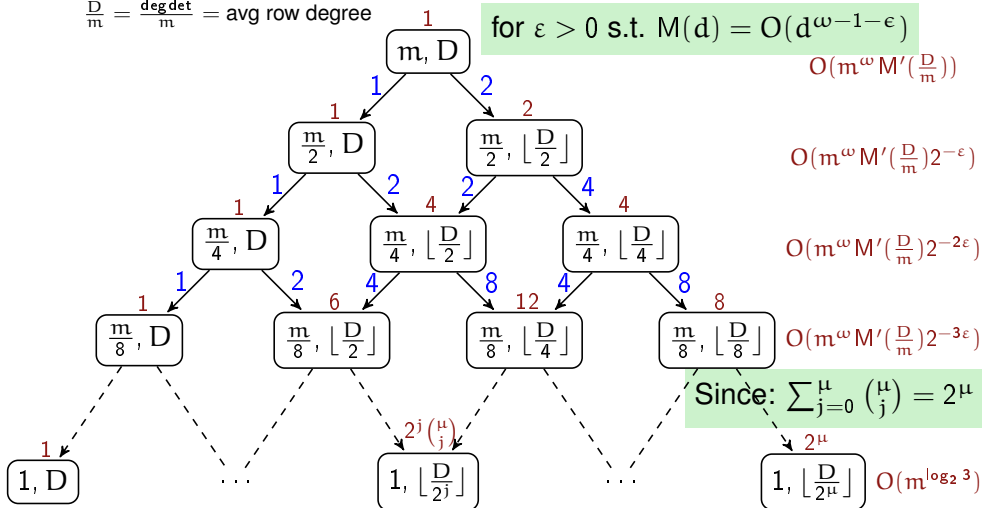
Complexity

$$c(m, D) \leq 2c\left(\frac{m}{2}, \left\lfloor \frac{D}{2} \right\rfloor\right) + c\left(\frac{m}{2}, D\right) + O\left(m^{\omega} M'\left(\frac{D}{m}\right)\right) \leq O\left(m^{\omega} M'\left(\frac{D}{m}\right)\right)$$

where: $M'(d) = \text{GCD}(d) \in O(M(d) \log(d))$

$$\frac{D}{m} = \frac{\text{deg det}}{m} = \text{avg row degree}$$

for $\epsilon > 0$ s.t. $M(d) = O(d^{\omega-1-\epsilon})$



Obstacles and related spin-off results

Outline

- Context, problem, state of the art
- Overview of the approach and complexity
- **Obstacles and related spin-off results**

Hermite and Popov forms

$$A \in \mathbb{K}[x]^{m \times m} \text{ nonsingular}$$

elementary row transformations

Hermite form [Hermite, 1851]

- . triangular
- . column normalized

$$\begin{bmatrix} 16 & & & \\ 15 & 0 & & \\ 15 & & 0 & \\ 15 & & & 0 \end{bmatrix} \quad \begin{bmatrix} 4 & & & \\ 3 & 7 & & \\ 1 & 5 & 3 & \\ 3 & 6 & 1 & 2 \end{bmatrix}$$

Hermite and Popov forms

$$\mathbf{A} \in \mathbb{K}[x]^{m \times m} \text{ nonsingular}$$

elementary row transformations

Hermite form [Hermite, 1851]

- . triangular
- . column normalized

$$\begin{bmatrix} 16 & & & \\ 15 & 0 & & \\ 15 & & 0 & \\ 15 & & & 0 \end{bmatrix} \quad \begin{bmatrix} 4 & & & \\ 3 & 7 & & \\ 1 & 5 & 3 & \\ 3 & 6 & 1 & 2 \end{bmatrix}$$

Popov form [Popov, 1972]

- . row reduced / distinct pivots
- . column normalized

$$\begin{bmatrix} 4 & 3 & 3 & 3 \\ 3 & 4 & 3 & 3 \\ 3 & 3 & 4 & 3 \\ 3 & 3 & 3 & 4 \end{bmatrix} \quad \begin{bmatrix} 7 & 0 & 1 & 5 \\ 0 & 1 & & 0 \\ & & 2 & \\ 6 & 0 & 1 & 6 \end{bmatrix}$$

Invariant: $D = \deg(\det(\mathbf{A})) = 4 + 7 + 3 + 2 = 7 + 1 + 2 + 6$

Hermite and Popov forms

$$\mathbf{A} \in \mathbb{K}[x]^{m \times m} \text{ nonsingular}$$

elementary row transformations

Hermite form [Hermite, 1851]

- . triangular
- . column normalized

$$\begin{bmatrix} 16 & & & \\ 15 & 0 & & \\ 15 & & 0 & \\ 15 & & & 0 \end{bmatrix} \quad \begin{bmatrix} 4 & & & \\ 3 & 7 & & \\ 1 & 5 & 3 & \\ 3 & 6 & 1 & 2 \end{bmatrix}$$

Popov form [Popov, 1972]

- . row reduced / distinct pivots
- . column normalized

$$\begin{bmatrix} 4 & 3 & 3 & 3 \\ 3 & 4 & 3 & 3 \\ 3 & 3 & 4 & 3 \\ 3 & 3 & 3 & 4 \end{bmatrix} \quad \begin{bmatrix} 7 & 0 & 1 & 5 \\ 0 & 1 & & 0 \\ & & 2 & \\ 6 & 0 & 1 & 6 \end{bmatrix}$$

position over term

reduced Gröbner basis

term over position

$$\mathbb{K}[x]\text{-module } \mathcal{M} \subset \mathbb{K}[x]^{1 \times m} \text{ of rank } m$$

Invariant: $D = \deg(\det(\mathbf{A})) = 4 + 7 + 3 + 2 = 7 + 1 + 2 + 6 = \dim_{\mathbb{K}}(\mathbb{K}[x]^{1 \times m} / \mathcal{M})$

Hermite and Popov forms

 $A \in \mathbb{K}[x]^{m \times m}$ nonsingular

elementary row transformations

Hermite form [Hermite, 1851]

- . triangular
- . column normalized

$$\begin{bmatrix} 16 & & & \\ 15 & 0 & & \\ 15 & & 0 & \\ 15 & & & 0 \end{bmatrix} \quad \begin{bmatrix} 4 & & & \\ 3 & 7 & & \\ 1 & 5 & 3 & \\ 3 & 6 & 1 & 2 \end{bmatrix}$$

Popov form [Popov, 1972]

- . row reduced / distinct pivots
- . column normalized

$$\begin{bmatrix} 4 & 3 & 3 & 3 \\ 3 & 4 & 3 & 3 \\ 3 & 3 & 4 & 3 \\ 3 & 3 & 3 & 4 \end{bmatrix} \quad \begin{bmatrix} 7 & 0 & 1 & 5 \\ 0 & 1 & & 0 \\ & & 2 & \\ 6 & 0 & 1 & 6 \end{bmatrix}$$

position over term

reduced Gröbner basis

term over position

 $\mathbb{K}[x]$ -module $\mathcal{M} \subset \mathbb{K}[x]^{1 \times m}$ of rank m Invariant: $D = \deg(\det(A)) = 4 + 7 + 3 + 2 = 7 + 1 + 2 + 6 = \dim_{\mathbb{K}}(\mathbb{K}[x]^{1 \times m} / \mathcal{M})$ **Weak Popov form [Beckermann-Labahn-Villard'99, Mulders-Storjohann'03]**

not column normalized

= minimal, non-reduced, t.o.p.-Gröbner basis

Shifted forms

Shift: integer tuple $\mathbf{s} = (s_1, \dots, s_m)$ acting as **column weights**

\rightsquigarrow connects Popov and Hermite forms:

$$\mathbf{s} = (0, 0, 0, 0) \quad \begin{array}{c} \text{Popov} \\ \left[\begin{array}{cccc} 4 & 3 & 3 & 3 \\ 3 & 4 & 3 & 3 \\ 3 & 3 & 4 & 3 \\ 3 & 3 & 3 & 4 \end{array} \right] \end{array} \quad \begin{array}{c} \\ \left[\begin{array}{cccc} 7 & 0 & 1 & 5 \\ 0 & 1 & & 0 \\ & & 2 & \\ 6 & 0 & 1 & 6 \end{array} \right] \end{array}$$

$$\mathbf{s} = (0, 2, 4, 6) \quad \begin{array}{c} \text{s-Popov} \\ \left[\begin{array}{cccc} 7 & 4 & 2 & 0 \\ 6 & 5 & 2 & 0 \\ 6 & 4 & 3 & 0 \\ 6 & 4 & 2 & 1 \end{array} \right] \end{array} \quad \begin{array}{c} \\ \left[\begin{array}{cccc} 8 & 5 & 1 & \\ 7 & 6 & 1 & \\ & & 2 & \\ 0 & 1 & & 0 \end{array} \right] \end{array}$$

$$\mathbf{s} = (0, D, 2D, 3D) \quad \begin{array}{c} \text{Hermite} \\ \left[\begin{array}{cccc} 16 & & & \\ 15 & 0 & & \\ 15 & & 0 & \\ 15 & & & 0 \end{array} \right] \end{array} \quad \begin{array}{c} \\ \left[\begin{array}{cccc} 4 & & & \\ 3 & 7 & & \\ 1 & 5 & 3 & \\ 3 & 6 & 1 & 2 \end{array} \right] \end{array}$$

- shifts arise naturally in algorithms (approximants, kernel, ...)
- they allow one to specify non-uniform degree constraints

Back to our obstacles: easy ones

Recall: $\mathbf{A} = \begin{bmatrix} \mathbf{A}_1 & \mathbf{A}_2 \\ \mathbf{A}_3 & \mathbf{A}_4 \end{bmatrix}$ in weak Popov form, we want:

- \mathbf{A}_1 nonsingular: ok by definition
(all principal submatrices of \mathbf{A} are weak Popov \Rightarrow are nonsingular)
- $\sum \text{rdeg}(\mathbf{A}_1) \leq D/2$: either ok for \mathbf{A} , or ok for $\begin{bmatrix} \mathbf{A}_4 & \mathbf{A}_3 \\ \mathbf{A}_2 & \mathbf{A}_1 \end{bmatrix}$
(almost weak Popov... easily transformed into it, with same determinant)

Back to our obstacles: easy ones

Recall: $\mathbf{A} = \begin{bmatrix} \mathbf{A}_1 & \mathbf{A}_2 \\ \mathbf{A}_3 & \mathbf{A}_4 \end{bmatrix}$ in weak Popov form, we want:

- \mathbf{A}_1 nonsingular: ok by definition
(all principal submatrices of \mathbf{A} are weak Popov \Rightarrow are nonsingular)
- $\sum \text{rdeg}(\mathbf{A}_1) \leq D/2$: either ok for \mathbf{A} , or ok for $\begin{bmatrix} \mathbf{A}_4 & \mathbf{A}_3 \\ \mathbf{A}_2 & \mathbf{A}_1 \end{bmatrix}$
(almost weak Popov... easily transformed into it, with same determinant)

Shifts in kernel basis computation

[Zhou-Labahn-Storjohann'12]

$[\mathbf{K}_1 \ \mathbf{K}_2]$ kernel basis of $\begin{bmatrix} \mathbf{A}_1 \\ \mathbf{A}_3 \end{bmatrix}$ computed in $\text{rdeg}(\mathbf{A})$ -weak Popov form:
cost $O(m^\omega M'(\frac{D}{m}))$, $\sum \text{rdeg}(\mathbf{K}_2) \leq D/2$, and \mathbf{K}_2 in \mathbf{s} -weak Popov form

$$D = \sum \text{rdeg}(\mathbf{A}) = \deg \det(\mathbf{A})$$

$$\mathbf{s} = \text{rdeg}(\mathbf{A}_4) = \text{last } m/2 \text{ entries of } \text{rdeg}(\mathbf{A})$$

Using the shift $\text{rdeg}(\mathbf{A})$ (and \mathbf{s}) has many crucial advantages:

- *towards correctness*: product $\mathbf{B} = [\mathbf{K}_1 \ \mathbf{K}_2] \begin{bmatrix} \mathbf{A}_1 \\ \mathbf{A}_3 \end{bmatrix}$ is in $\mathbf{0}$ -weak Popov form
- *towards efficiency*: implies **small degrees in \mathbf{K}_2**
and **best speed** both for kernel and product \mathbf{B}

Back to our obstacles: easy ones

Recall: $\mathbf{A} = \begin{bmatrix} \mathbf{A}_1 & \mathbf{A}_2 \\ \mathbf{A}_3 & \mathbf{A}_4 \end{bmatrix}$ in weak Popov form, we want:

- \mathbf{A}_1 nonsingular: ok by definition
(all principal submatrices of \mathbf{A} are weak Popov \Rightarrow are nonsingular)
- $\sum \text{rdeg}(\mathbf{A}_1) \leq D/2$: either ok for \mathbf{A} , or ok for $\begin{bmatrix} \mathbf{A}_4 & \mathbf{A}_3 \\ \mathbf{A}_2 & \mathbf{A}_1 \end{bmatrix}$
(almost weak Popov... easily transformed into it, with same determinant)

Shifts in kernel basis computation

[Zhou-Labahn-Storjohann'12]

$[\mathbf{K}_1 \ \mathbf{K}_2]$ kernel basis of $\begin{bmatrix} \mathbf{A}_1 \\ \mathbf{A}_3 \end{bmatrix}$ computed in $\text{rdeg}(\mathbf{A})$ -weak Popov form:
cost $O(m^\omega M'(\frac{D}{m}))$, $\sum \text{rdeg}(\mathbf{K}_2) \leq D/2$, and \mathbf{K}_2 in \mathbf{s} -weak Popov form

$$D = \sum \text{rdeg}(\mathbf{A}) = \deg \det(\mathbf{A})$$

$$\mathbf{s} = \text{rdeg}(\mathbf{A}_4) = \text{last } m/2 \text{ entries of } \text{rdeg}(\mathbf{A})$$

Using the shift $\text{rdeg}(\mathbf{A})$ (and \mathbf{s}) has many crucial advantages:

- *towards correctness*: product $\mathbf{B} = [\mathbf{K}_1 \ \mathbf{K}_2] \begin{bmatrix} \mathbf{A}_1 \\ \mathbf{A}_3 \end{bmatrix}$ is in $\mathbf{0}$ -weak Popov form
- *towards efficiency*: implies **small degrees in \mathbf{K}_2**
and **best speed** both for kernel and product \mathbf{B}

...but we cannot call the algorithm recursively on \mathbf{K}_2

Given \mathbf{K}_2 in s -weak Popov form, with $s \geq 0$
Find \mathbf{P} in 0 -weak Popov form with the **same determinant**

Idea 1.a: **change of shift** from s to 0 , i.e. $\mathbf{P} = \text{WeakPopov}(\mathbf{K}_2)$

👉 known methods are only efficient for **increasing** s to a larger shift

[Jeannerod-N.-Schost-Villard'17]

Idea 1.b: **normalization** of \mathbf{K}_2 into its s -Popov form \mathbf{P}

$\rightsquigarrow \mathbf{P}^\top$ is weak Popov by construction, and $\det(\mathbf{P}^\top) = \det(\mathbf{P})$

👉 amounts to a change of shift from s to $-\delta \leq 0$ [N:'16] \Rightarrow **same issue**

Obstacles and related spin-off results

Approaching the main obstacle

Given \mathbf{K}_2 in s -weak Popov form, with $s \geq 0$
Find \mathbf{P} in 0 -weak Popov form with the **same determinant**

Idea 1.a: **change of shift** from s to 0 , i.e. $\mathbf{P} = \text{WeakPopov}(\mathbf{K}_2)$

🚫 known methods are only efficient for **increasing** s to a larger shift

[Jeannerod-N.-Schost-Villard'17]

Idea 1.b: **normalization** of \mathbf{K}_2 into its s -Popov form \mathbf{P}

$\rightsquigarrow \mathbf{P}^T$ is weak Popov by construction, and $\det(\mathbf{P}^T) = \det(\mathbf{P})$

🚫 amounts to a change of shift from s to $-\delta \leq 0$ [N.'16] \Rightarrow **same issue**

Fact: \mathbf{K}_2^T is $-t$ -weak Popov

$$t = \text{rdeg}_s(\mathbf{K}_2) = s + \delta \geq 0$$

(for simplicity some row and column permutations are ignored)

Idea 2.a: **change of shift** from $-t$ to 0 , i.e. $\mathbf{P} = \text{WeakPopov}(\mathbf{K}_2^T)$

🚫 increasing shift, but \mathbf{K}_2^T has **large average rdeg** (we control $\text{cdeg}(\mathbf{K}_2^T) = \text{rdeg}(\mathbf{K}_2)$)

Obstacles and related spin-off results

Approaching the main obstacle

Given \mathbf{K}_2 in s -weak Popov form, with $s \geq 0$
Find \mathbf{P} in 0 -weak Popov form with the **same determinant**

Idea 1.a: **change of shift** from s to 0 , i.e. $\mathbf{P} = \text{WeakPopov}(\mathbf{K}_2)$

👉 known methods are only efficient for **increasing** s to a larger shift

[Jeannerod-N.-Schost-Villard'17]

Idea 1.b: **normalization** of \mathbf{K}_2 into its s -Popov form \mathbf{P}

$\rightsquigarrow \mathbf{P}^T$ is weak Popov by construction, and $\det(\mathbf{P}^T) = \det(\mathbf{P})$

👉 amounts to a change of shift from s to $-\delta \leq 0$ [N.'16] \Rightarrow **same issue**

Fact: \mathbf{K}_2^T is $-t$ -weak Popov

$$t = \text{rdeg}_s(\mathbf{K}_2) = s + \delta \geq 0$$

(for simplicity some row and column permutations are ignored)

Idea 2.a: **change of shift** from $-t$ to 0 , i.e. $\mathbf{P} = \text{WeakPopov}(\mathbf{K}_2^T)$

👉 increasing shift, but \mathbf{K}_2^T has **large average rdeg** (we control $\text{cdeg}(\mathbf{K}_2^T) = \text{rdeg}(\mathbf{K}_2)$)

Idea 2.b: 🍀🍀🍀

normalization of \mathbf{K}_2^T into its $-t$ -Popov form \mathbf{P}

Weak Popov to Popov

Input: $\mathbf{t} \in \mathbb{Z}_{\geq 0}^m$ a nonnegative shift,
 $\mathbf{K} \in \mathbb{K}[x]^{m \times m}$ a matrix in $-\mathbf{t}$ -weak Popov form

Output: the $-\mathbf{t}$ -Popov form of \mathbf{K}

Requirement: $\mathbf{t} \geq \delta := \text{pivotDegree}(\mathbf{K})$

Complexity: $O(m^\omega M'(\frac{D}{m}))$, where $D = \sum \mathbf{t}$

Improvement and generalization of [Sarkar-Storjohann 2011, Section 4]

\rightsquigarrow support **nonzero shifts** and involve **average degree** $\frac{D}{m}$

- problem viewed as a change of shift with **a priori known output degrees**
- introduction of **partial linearization** techniques for **kernel bases**

Weak Popov to Popov

Input: $t \in \mathbb{Z}_{\geq 0}^m$ a nonnegative shift,
 $\mathbf{K} \in \mathbb{K}[x]^{m \times m}$ a matrix in $-t$ -weak Popov form

Output: the $-t$ -Popov form of \mathbf{K}

Requirement: $t \geq \delta := \text{pivotDegree}(\mathbf{K})$

Complexity: $O(m^\omega M'(\frac{D}{m}))$, where $D = \sum t$

Improvement and generalization of [Sarkar-Storjohann 2011, Section 4]

\rightsquigarrow support **nonzero shifts** and involve **average degree** $\frac{D}{m}$

- problem viewed as a change of shift with **a priori known output degrees**
- introduction of **partial linearization** techniques for **kernel bases**

Reduced to weak Popov

Input: $s \in \mathbb{Z}^n$ a shift
 $\mathbf{A} \in \mathbb{K}[x]^{m \times n}$ a matrix in s -reduced form

Output: an s -weak Popov form of \mathbf{A}

Complexity: $O(m^{\omega-1} n(\frac{D}{m} + 1))$, where $D = \sum \text{rdeg}_s(\mathbf{A}) - m \min(s)$

Easy extension of [Sarkar-Storjohann 2011, Section 3] to shifted forms

Summary

- CharPoly = $O(\text{MatMul})$
- Determinant of reduced polynomial matrices in $O(m^\omega M'(\frac{D}{m}))$
- Fast transformations between shifted forms of polynomial matrices

$$\frac{D}{m} = \frac{\text{degdet}}{m} = \text{average row degree}$$

Summary

- CharPoly = $O(\text{MatMul})$
- Determinant of reduced polynomial matrices in $O(m^\omega M'(\frac{D}{m}))$
- Fast transformations between shifted forms of polynomial matrices

$$\frac{D}{m} = \frac{\text{degdet}}{m} = \text{average row degree}$$

Perspectives

- Implementation and practical efficiency (small fields, degenerate instances, ...)
- Approach without fast polynomial arithmetic
→ Exploit the quasiseparable struct. of linearized polynomial matrices
- Frobenius normal form & Smith normal form