

Factoring Univariates over \mathbb{Q}

- Suppose $f \in \mathbb{Q}[x]$ is a polynomial to be factored.

By multiplying with a positive integer we could clear away the denominators.

\Rightarrow So, wlog $f \in \mathbb{Z}[x]$. Let n be its degree & the coefficients a_i be of l -bits.

Qn1 How do we factor, or test irreducibility of, the integral polynomial f ?

\rightarrow Over \mathbb{F}_p , we had used $(x^p - x)$. What do we do now?

- Starting Idea: Factor f mod prime p ; do Hensel lifting to get t_0 mod p^R ; solve a linear system; take gcd to factor f !
- Let us first see the algorithm & then a new analysis. It was discovered by (Lenstra, Lenstra, Lovász) in 1982, igniting a new field.

Input: $f = \sum_{0 \leq i \leq n} a_i x^i \in \mathbb{Z}[x]$, $|a_i| < 2^{b-1}$ ($0 \leq i \leq n$).

Output: Nontrivial integral factor (if one exists).

L^3 -algorithm: 1) **Preprocess**: Assume that f is square-free. Find the smallest prime p s.t.

$p \nmid a_n$ & $f \bmod p$ is square-free.

2) **Factor mod p** : Using Berlekamp's algorithm compute a factorization $f \equiv \underline{g_0} \cdot h_0 \pmod{p}$, where $g_0 \bmod p$ is monic, irreducible & coprime to h_0 .

3) **Hensel lift**: Compute $f \equiv \underline{g_k} \cdot h_k \pmod{p^{2^k}}$,
for $k = \lceil \lg 2n^3 \ell \rceil$.

4) **Linear system**: Find (\tilde{g}, t_k) s.t. $\tilde{g} \equiv g_k \cdot t_k \pmod{p^{2^k}}$,
with $\deg \tilde{g} < n$; coefficients of \tilde{g} have bit-size

5) **OUTPUT** $\gcd(f, \tilde{g})$. $\leq n \cdot (\ell + \lg n)$.

Analyzing the steps of L^3

Step 1: \triangleright f is square-full \Rightarrow ^{gcd} (f, f') factors f .

\triangleright $f \bmod p$ is " " $\Rightarrow (f \bmod p, f' \bmod p) \neq 1$

$\Rightarrow r := \text{res}_x(f, f') \equiv 0 \pmod p$

• Insure that $p \nmid a_n \cdot r$ (Note: $a_n \cdot r \neq 0$).

$\triangleright |a_n \cdot r| < 2^l \cdot (2n+1)! \cdot (2^l)^{n+1} \cdot (n2^l)^n$

\Rightarrow # primes dividing $a_n \cdot r$ are at most

$\leq 2l(n+1) + 3n \lg n < 3n \cdot (l + \lg n)$.

$\Rightarrow p = \tilde{O}(ln)$ exists!

□

Step 2: Since $p = \tilde{O}(ln)$, factoring $(f \bmod p)$ to find g_0 , is doable in $\text{poly}(p, n) = \text{poly}(nl)$ time. \square

Step 3: By Hensel lifting, in $\text{poly}(nl)$ -time. \square

Step 4: This requires a "small" root of a linear system. Let us first estimate the bit-size of the factors of f :

Lemma 1: (Mignotte's bound) Any root $\alpha \in \mathbb{C}$ of a polynomial $f(x) = \sum_{i=0}^n a_i x^i \in \mathbb{Z}[x]$ satisfies $|\alpha| \leq n \cdot \max_i |a_i|$.

Proof:

- If $|\alpha| < 1$ then the claim holds.
- Else $0 = f(\alpha) = \sum_{i=0}^n a_i \cdot \alpha^i \geq |a_n \alpha^n| - \sum_{i=0}^{n-1} |a_i \alpha^i| \geq |\alpha|^n - n \cdot \max_i |a_i| \cdot |\alpha|^{n-1}$

$$\Rightarrow |\alpha| \leq n \cdot \max_i |a_i| \quad \square$$

Lemma 2: Any factor g of f has coefficients of magnitude at most $2^{(l+ln-1)n}$.

Proof:

• Let $g(x) = \prod_{i=1}^m (x - \alpha_i)$, $\alpha_i \in \mathbb{C}$

• $\text{Coeff}(x^{m-j})(g) = \sum_{S \in \binom{[m]}{j}} \prod_{i \in S} (-\alpha_i)$

with magnitude $\leq \sum_S \prod_{i \in S} |\alpha_i|$

[Lemma 1]
 $< \binom{m}{j} \cdot (n2^{l-1})^j < (1+n2^{l-1})^m < 2^{(l+ln-1)n}$. \square

Step 5: • If \tilde{g} exists in Step 4, and $(f, \tilde{g}) = 1$,
 $\exists u, v \in \mathbb{Z}[x] : u \cdot f + v \cdot \tilde{g} = \text{res}(f, \tilde{g}) \neq 0$

$$\Rightarrow u \cdot g_k \cdot h_k + v \cdot g_k \cdot l_k \equiv \text{res}(f, \tilde{g}) \pmod{p^{2k}}$$

$$\Rightarrow g_k \cdot (u h_k + v l_k) \equiv \text{res}(f, \tilde{g}) \pmod{p^{2k}} \quad \text{--- (i)}$$

• Note: $|\text{res}(f, \tilde{g})| < (2n+1)! \cdot (2^{l-1})^{n+1} \cdot (2^{(l+g_n)n})^n$
 $\ll 2^{2n^3 l} < p^{2k}$

\Rightarrow RHS in eqn. (i) is a nonzero constant,
while LHS " " " " multiple of $g_k(x)$. \downarrow

\Rightarrow The contradiction implies that Step-5
factors f , if \tilde{g} exists. \square

How do we compute \tilde{g} (with "small" coeffs)?

- Let g_k be of $\deg = n' < n$. Unknown polynomials are:
 $\tilde{g} =: \sum_{i=0}^{n-1} \underline{c}_i \cdot x^i$ & $l_k =: \sum_{i=0}^{n-1-n'} \underline{\alpha}_i \cdot x^i$ s.t.

$$\underline{\tilde{g}} \equiv g_k \cdot \underline{l}_k \pmod{p^{2^k}}$$

$$\Rightarrow \sum_{i=0}^{n-1} \underline{c}_i \cdot x^i = \sum_{i=0}^{n-1-n'} \underline{\alpha}_i \cdot (x^i g_k) + \sum_{i=0}^{n-1} \underline{\beta}_i \cdot (p^{2^k} x^i) \quad \text{--- (ii)}$$

△ Find integral $\bar{c}, \bar{\alpha}, \bar{\beta}$'s in eqn. (ii) s.t. $\|\bar{c}\| = \sqrt{\sum_i \bar{c}_i^2}$ is "small" $< 2^{(l+ln) \cdot n}$.

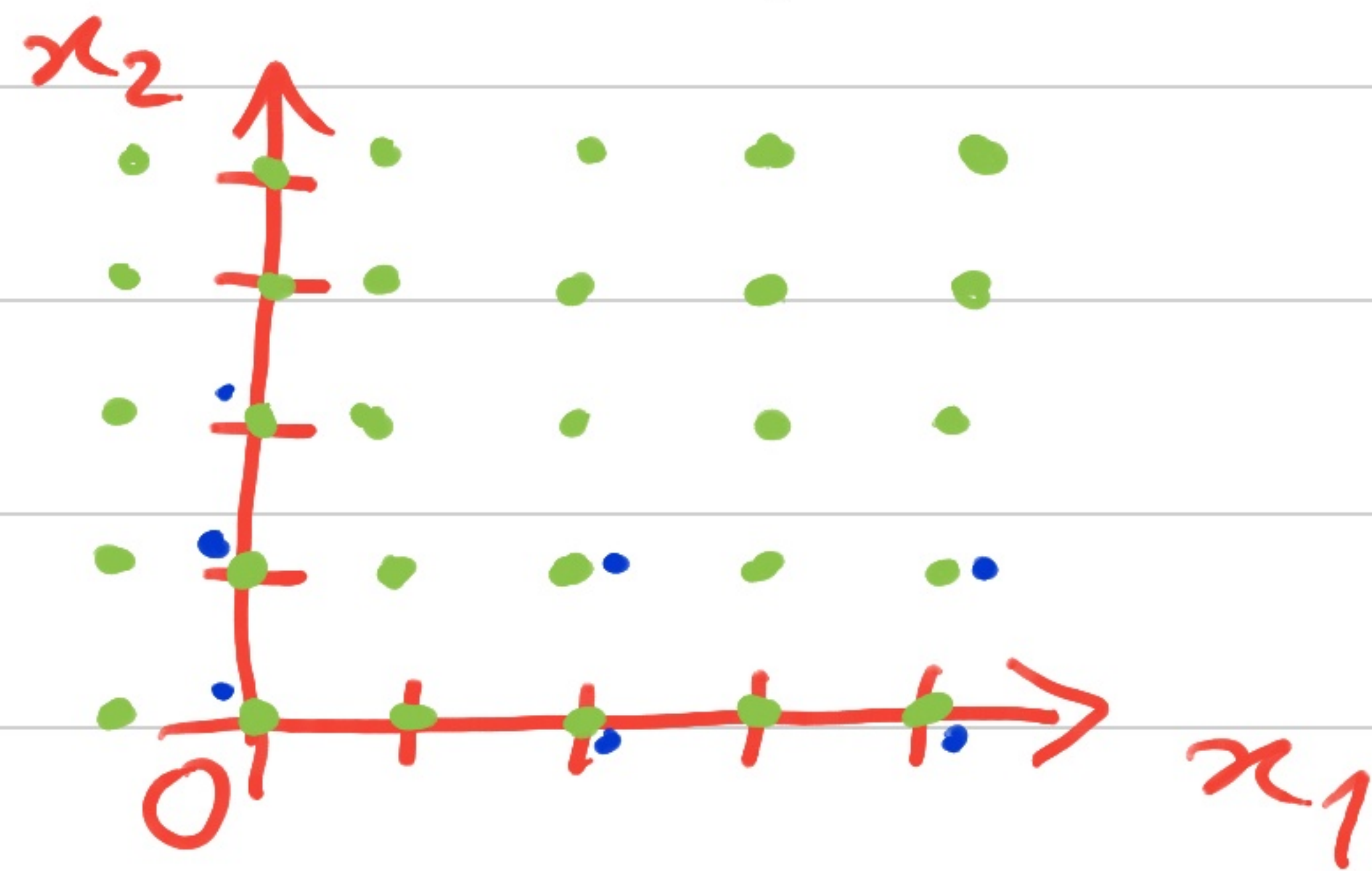
- So the fundamental problem to solve is:

Given $b_1, \dots, b_m \in \mathbb{Z}^n$, find $\gamma_1, \dots, \gamma_m \in \mathbb{Z}$
s.t. $\|\sum_{i=1}^m \gamma_i b_i\|$ is "small".

Defn: The \mathbb{Z} -linear-combinations of $\{b_i \mid i \in [m]\}$
define a lattice $\mathcal{L}(b_1, \dots, b_m) := \left\{ \sum_{i=1}^m \gamma_i b_i \mid \gamma_i \in \mathbb{Z} \right\}$.

- Ex. $\mathcal{L}\left(\begin{pmatrix} 1 \\ 0 \end{pmatrix}, \begin{pmatrix} 0 \\ 1 \end{pmatrix}\right)$ is:

$\triangleright \mathcal{L}\left(\begin{pmatrix} 1 \\ 0 \end{pmatrix}, \begin{pmatrix} 1 \\ 1 \end{pmatrix}\right) = \mathcal{L}\left(\begin{pmatrix} 1 \\ 0 \end{pmatrix}, \begin{pmatrix} 0 \\ 1 \end{pmatrix}\right)$.
 $\not\Rightarrow \mathcal{L}\left(\begin{pmatrix} 2 \\ 0 \end{pmatrix}, \begin{pmatrix} 0 \\ 1 \end{pmatrix}\right) \neq \mathcal{L}\left(\begin{pmatrix} 1 \\ 0 \end{pmatrix}\right)$.



- Shortest vector problem (SVP) : Find a vector $\bar{v} \in \mathcal{L}(b_1, \dots, b_m)$ s.t. $\|\bar{v}\| = \min_{0 \neq \bar{u} \in \mathcal{L}} \|\bar{u}\|$.

▷ [Ajtai '98] SVP is NP-hard.

[Micciancio '98] constant-approx. of SVP is NP-hard.

- But, we need merely a 2^n -approximation for Step 4!

→ We'll develop this approximation algorithm.
(L^3 = Lenstra-Lenstra-Lovász)

- First, we do a useful preprocessing:

Lemma 1: For SVP, wlog we assume that $B := \{b_1, \dots, b_m\}$ are \mathbb{R} -linearly independent,
 $\forall v \in \mathbb{Z}^n$.

Proof: • Consider their coordinates & the matrix

$$B := \begin{pmatrix} b_{11} & b_{21} & \dots & b_{m1} \\ b_{12} & b_{22} & \dots & b_{m2} \\ \vdots & \vdots & \dots & \vdots \\ b_{1n} & b_{2n} & \dots & b_{mn} \end{pmatrix} \in \mathbb{Z}^{n \times m}.$$

- Let $\sum_{i=1}^m a_i b_{i1} = g := \underline{\text{gcd}}(\text{1st row})$.
- Apply the $i=1$ extended-Euclid-gcd transformations on the columns of B .

- Say the new columns are b'_1, \dots, b'_m .
- Ensure:
 - { (1,1)-th entry becomes g .
 - [Remaining entries in 1st-row become zero!

$$\Rightarrow B \mapsto B' := \begin{pmatrix} g & 0 & \dots & 0 \\ * & & & \\ \vdots & & & \\ * & & & \end{pmatrix}_{n \times m}$$

- The transformation is $B' = B \cdot U$, where U follows each step of Euclid-gcd-algorithm.
- ▷ U is unimodular, i.e. $|U| = \pm 1 \Rightarrow U^{-1}$ integral.
- $\Rightarrow \mathcal{L}(B') = \mathcal{L}(B)$.

Pf: $\begin{pmatrix} a \\ b \end{pmatrix} \rightarrow \begin{pmatrix} a \\ b - qa \end{pmatrix} = \begin{pmatrix} 1 & 0 \\ -q & 1 \end{pmatrix} \cdot \begin{pmatrix} a \\ b \end{pmatrix}; \quad \left| \begin{pmatrix} 1 & 0 \\ -q & 1 \end{pmatrix} \right| = 1. \quad \square$

- Repeatedly apply this Gauss-Zeclid trick, to get a matrix

$$\tilde{B} = \left(\begin{array}{c|c} \underline{A_{m' \times m'}} & \mathbf{0} \\ \hline C_{(n-m') \times m'} & \end{array} \right)_{n \times m}$$

where A is lower-triangular & invertible.

$$\triangleright \mathcal{L}(\tilde{B}) = \mathcal{L}(B).$$

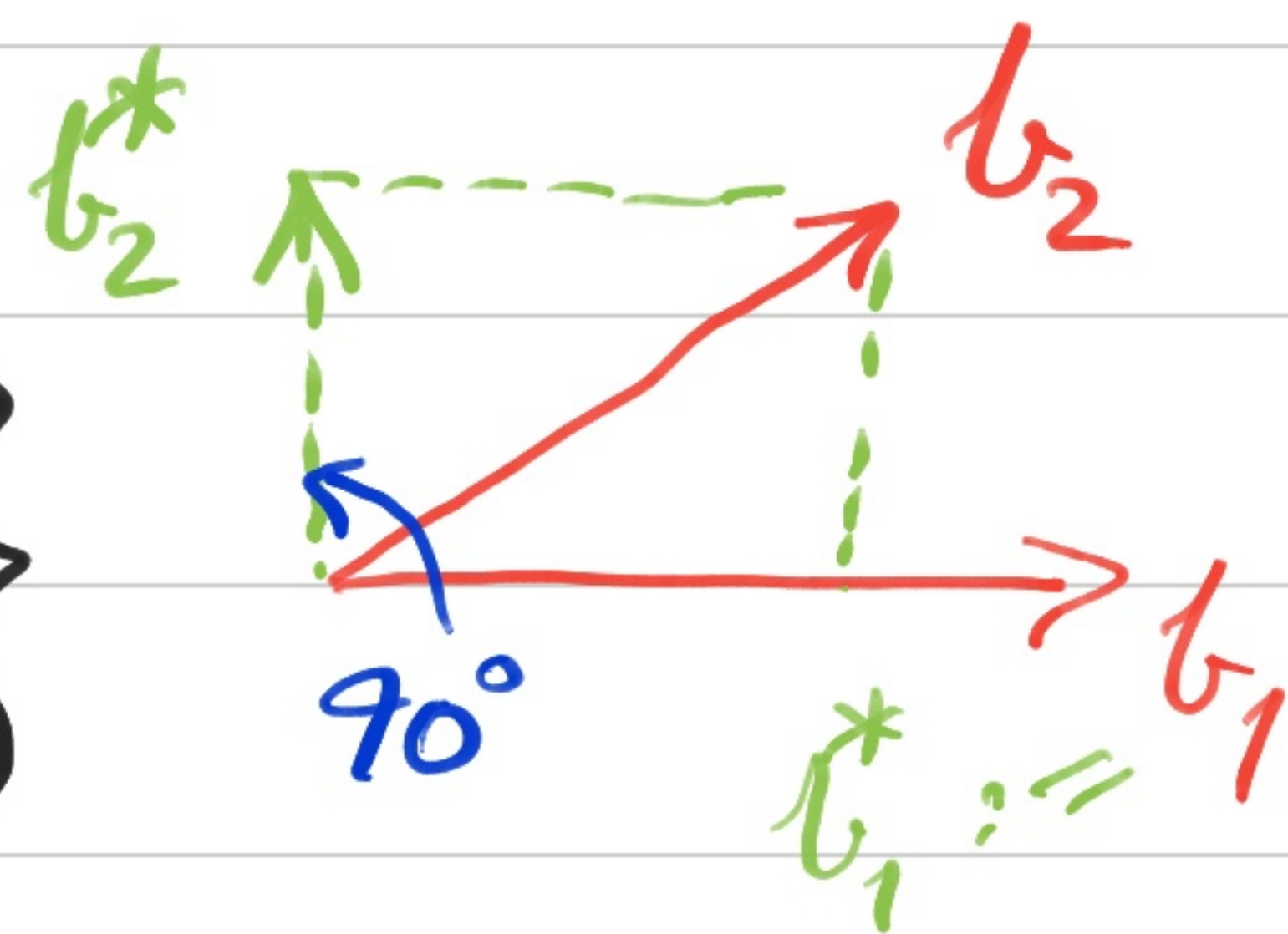
\triangleright First m' columns of \tilde{B} form an \mathbb{R} -basis of size $m' \leq \min(n, m)$.

□

— So, we work with \mathbb{R} -l.i. $b_1, \dots, b_m \in \mathbb{Z}^n$.

- In the vector space $V(B) := \langle b_1, \dots, b_m \rangle_{\mathbb{R}}$ there is an orthogonal basis.

- Idea: Orthogonalize $\{b_1, b_2\}$ to $\left\{ b_1^* := b_1, b_2^* := b_2 - \langle b_2, \frac{b_1}{\|b_1\|} \rangle \cdot \frac{b_1}{\|b_1\|} \right\}$



$$\Rightarrow \langle b_1^*, b_2^* \rangle = 0$$

▷ The shorter of $\{b_1^*, b_2^*\}$ is the shortest vector in $\mathcal{L}(b_1^*, b_2^*)$.

$$\text{Pf: } \|\alpha_1 b_1^* + \alpha_2 b_2^*\|^2 = \|\alpha_1 b_1^*\|^2 + \|\alpha_2 b_2^*\|^2 \geq \min(\|b_1^*\|^2, \|b_2^*\|^2). \quad \square$$

→ $\mathcal{L}(B)$ may not have an orthogonal basis!

Gram-Schmidt Orthogonalization (GSO):

1) Let $b_1^* := b_1$.

2) For $2 \leq i \leq m$, do
$$b_i^* := b_i - \sum_{j=1}^{i-1} \left(\frac{\langle b_i, b_j^* \rangle}{\|b_j^*\|^2} \right) \cdot b_j^*.$$

▷ GSO gives an orthogonal basis.

Lemma: For $0 \neq b \in \mathcal{L}(b_1, \dots, b_m)$, $\|b\| \geq \min \|b_i^*\|$.

Pf: • Let $b =: \sum_{i=1}^m \lambda_i b_i$ for $\lambda_i \in \mathbb{R}$ & $\lambda_m \neq 0$.

$$\Rightarrow b = \lambda_1 b_1^* + \lambda_2 (b_2^* + \mu_{2,1} b_1^*) + \dots$$

$$\Rightarrow \|b\|^2 = (\dots)^2 \cdot \|b_1^*\|^2 + \dots + \lambda_m^2 \cdot \|b_m^*\|^2 \geq \lambda_m^2 \cdot \|b_m^*\|^2$$

$$\Rightarrow \|b\| \geq |\lambda_m| \cdot \|b_m^*\| \geq \|b_m^*\| \geq \min_i \|b_i^*\|. \quad \square$$

- So, L^3 -algo. tries to make the angles, in a basis of $L(B)$, close to 60° . \leftarrow pseudo-orthogonal.
 \rightarrow In that basis it'll pick the first!

- Defn: L^3 finds a reduced basis of $L(B)$. These are lattice elements $\{c_1, \dots, c_m\} \subset L(B)$ s.t.

c_{i+1} not much smaller than c_i

angles $\approx 60^\circ$

(i) $\forall i, \|c_i^*\|^2 \leq \frac{4}{3} \cdot \|c_{i+1}^* + \mu_{i+1,i} c_i^*\|^2$

(ii) $\forall i \geq j, |\mu_{ij}| \leq \frac{1}{2}$, where $\mu_{ij} := \frac{\langle c_i, c_j^* \rangle}{\|c_j^*\|^2}$.

• (i), (ii) $\Rightarrow \|c_i^*\|^2 \leq \frac{4}{3} \|c_{i+1}^*\|^2 + \frac{1}{3} \|c_i^*\|^2$

$\Rightarrow \|c_i^*\| \leq \sqrt{2} \cdot \|c_{i+1}^*\|$

$\Rightarrow \|c_i^*\| \leq \min_i \left\{ \sqrt{2}^{i-1} \cdot \|c_i^*\| \right\} \leq \sqrt{2}^{m-1} \cdot \|c_i^*\|$ (i)
 (∀i)

Shortest-length in lattice $:= \lambda(L(c_1, \dots, c_m)) \geq \|c_1^*\|$ ($\because c_1^* = c_1 \in L(\cdot)$)

$\& \|c_1^*\| \leq 2^{\frac{m-1}{2}} \cdot \lambda(L(c_1, \dots, c_m))$ [by (i)]

▷ c_1 estimates $\lambda(L)$ by a factor of $2^{(m-1)/2}$.

L^3 -reduced basis algorithm

- 1) Compute GSO of $B = \{b_1, \dots, b_m\}$. gives μ_{ij} & b_i^*
- 2) For $i = 2$ to m
For $j = i-1$ to 1
$$b_i \leftarrow b_i - \lfloor \mu_{ij} \rfloor \cdot b_j$$
↙ round-off to nearest integer
- 3) If $\exists i, \|b_i^*\|^2 > \frac{4}{3} \cdot \|b_{i+1}^* + \mu_{i+1,i} b_i^*\|^2$
then swap $\{b_i, b_{i+1}\}$ & GOTO (1).
- 4) Output $\{b_1, \dots, b_m\}$.

Analysis

Step 2:

$$\text{The new } b_2 \leftarrow b_2 - \left\lfloor \frac{\langle b_2, b_1 \rangle}{\|b_1\|^2} \right\rfloor \cdot b_1$$

$$\triangleright \text{So, } \frac{\langle b_2, b_1 \rangle}{\|b_1\|^2} \leftarrow \frac{\langle b_2, b_1 \rangle}{\|b_1\|^2} - \left\lfloor \frac{\langle b_2, b_1 \rangle}{\|b_1\|^2} \right\rfloor \cdot \frac{\langle b_1, b_1 \rangle}{\|b_1\|^2} =: \underline{\mu_{2,1}}$$

$$\Rightarrow |\mu_{2,1}| \leq 1/2.$$

\triangleright The same holds for $|\mu_{i,i-1}|$, $i \in [m]$.

\triangleright Also, the transformation is unimodular & lattice remains unchanged.

Step 3: • To show that it's repeated only few times, we need a potential function:

$$D(b_1, \dots, b_m) := \prod_{i \in [m]} \|b_i^*\|^2 (m-i)$$

• Step 2 has no effect on this. [∵ b_i^* 's do not change]

While each repetition of Step 3-swap reduces D by a factor of $\frac{\|b_{i+1}^*\|^2}{\|b_i^*\|^2} < \frac{3}{4} - \mu_{i+1,i}^2 < \frac{3}{4}$.

Lemma 3: $|D(b_1, \dots, b_m)|$ is a positive integer of value less than $2^{O(n^5 \ell)}$.

Proof: • Write D as $\prod_{j \in [m-1]} D_j$, where $D_j = \prod_{i \in [j]} \|v_i^*\|^2$

- D_j relates to vol(b_1, \dots, b_j):
 - D_j is the determinant of $(b_1^*, \dots, b_j^*)^T \cdot (b_1^*, \dots, b_j^*)$, which is diagonal, & equals $((b_1, \dots, b_j) \cdot C)^T \cdot ((b_1, \dots, b_j) \cdot C)$, for a unimodular transformation C .

$$\Rightarrow D_j = |(b_1, \dots, b_j)^T \cdot (b_1, \dots, b_j)| \in \mathbb{Z}_{>0}.$$

$$\Rightarrow |D_j| < (2^{\tilde{O}(n^3 \ell)})^j \Rightarrow |D| < 2^{\tilde{O}(n^3 \ell) \cdot n^2}, \quad \square$$

▷ Thus, Step-3 repeats at most $\tilde{O}(n^5 \ell)$ -times
in L^3 -algorithm, and gives a reduced-basis.

[$\Rightarrow b_1$ is an $2^{n/2}$ -approx. of $\lambda(L(B))$.]

Time:

▷ A crude time estimate of the polynomial factoring
algorithm is $(n^5 \ell) \cdot n^3 \cdot \tilde{O}(n^3 \ell) = \tilde{O}(n^{11} \cdot \ell^2)$.

Step-3 \nearrow \uparrow Step-2 \nwarrow # bitsize of integers

▷ Assume $L := \max$ bitsize in b_i 's, L^3 -algo. approx. SVP
in time $\leq \tilde{O}(L \cdot m \cdot m^2)^2 = \tilde{O}(L^2 \cdot m^6)$.

preprocessing \nearrow \uparrow growth on repetition of Step-3

- L^3 -algo, & reduced basis, is used in many places.

egs. computational algebraic number theory,
faster arithmetic in number fields, Knapsack problem, ...

- The main properties exploited are:

Theorem: Let b_1, \dots, b_n be a reduced basis of the lattice $L \triangleleft \mathbb{Z}^n$ & b_1^*, \dots, b_n^* be its GSO-basis. Then,

$$(i) \quad \|b_j\| \leq 2^{\frac{j-1}{2}} \cdot \|b_j^*\|, \text{ for } 1 \leq j \leq i \leq n.$$

$$(ii) \quad d(L) \leq \prod_{i \in [n]} \|b_i\| \leq 2^{n(n-1)/4} \cdot d(L).$$

vol. or det. of lattice

$$(iii) \quad \|b_1\| \leq 2^{\frac{n-1}{4}} \cdot d(L)^{1/n}.$$

[Note: shortest-vector in L has length $\approx \sqrt{n} \cdot d(L)^{1/n}$.]

Pf. sketch: (i) Use condition-(i) of reduced-basis definition.

(ii) Use (i) & $d(L) = \det(b_1^*, \dots, b_n^*) = \prod_{i \in [n]} \|b_i^*\|$.
 $\text{vol}(L) = \prod_{i \in [n]} \|b_i^*\|$

(iii) By (i): $\|b_1\| \leq 2^{\frac{i-1}{2}} \cdot \|b_i^*\|$, for $2 \leq i \leq n$.

& $\prod_i \|b_i^*\| = d(L)$.

□

Application: Given rationals $\alpha_1, \dots, \alpha_n, \varepsilon$. Find integers p_1, \dots, p_n, q s.t. $\forall i, \left| \frac{p_i}{q} - \alpha_i \right| \leq \varepsilon$ & minimize q .

[Simultaneous Diophantine Approximation]

Exercise: Solve it by L^3 -reduced-basis algo.

Public-Key Cryptosystem (Lattice-based)

- Example is secure communication between Bank & Client.
- RSA is used commonly.
 - ↳ it is insecure in quantum computers.
- Lattice-based methods are "quantum secure".
- NTRU cryptosystem was proposed by (Hoffstein, Pipher & Silverman) in Crypto '96.
- NTRU = N-th degree Truncated Polynomial Ring
$$R := \mathbb{Z}[x] / \langle x^N - 1 \rangle$$
 - ▷ R is a lattice.

- NTRU's security relies on the fact that L^3 -algo. cannot approximate SVP fast enough, for large $2N$. (eg. $N=251$)
↳ It allow smaller key-sizes than RSA!

Public parameters: • N & prime-powers p, q .
(eg. $N=251, p=3, q=2^7=128$)
• Support-bounds d_f, d_g, d_m, d_r (eg. ≈ 80).

Private-Key of Bank: Pick random polynomials in R
 $\left\{ \begin{array}{l} f, \text{ with } d_f \text{ 1's \& } (d_f-1) \text{ (-1)'s. } \triangleright f(1)=1. \\ g, \text{ " } d_g \text{ " " } d_g \text{ " " } \triangleright g(1)=0. \end{array} \right\}$ Ternary polynomials

- Public-Key (of Bank): Compute $h := g/f \pmod q$.
Publish $h(x)$.
reduce numbers $\pmod q$ to $[-\frac{q}{2}, \frac{q}{2}]$

Encryption (on Client side):
• Let the message be $m \in R$,
which is ternary with d_m 1's & d_m 0's,
• Pick random $r \in R$ with d_r " " d_r " "
• Compute ciphertext $e := m + p \cdot r \cdot h \pmod q$.
• Send it to Bank (over an insecure channel!)

Decryption (by Bank):
(i) $f \cdot e \pmod q$ $[= \underbrace{f \cdot m} + \underbrace{p \cdot r \cdot g} \pmod q]$
(ii) Go $\pmod p$ to get $f \cdot m$. $[$ have coeffs. $< q/2$
(iii) $f^{-1} \cdot (f \cdot m) \equiv m \pmod p$. \Rightarrow Get m $[: p \geq 3]$ in magnitude]

- Security: Adversary can try to find (f, g) from (h, q) using the eqn: $\underline{f} \cdot h = \underline{g} + q \cdot \underline{k}$

• Consider matrix $M :=$

$$\left(\begin{array}{c|c} I_N & \begin{matrix} x^0 \cdot h \\ x^1 \cdot h \\ \vdots \\ x^{N-1} \cdot h \end{matrix} \\ \hline 0_N & q \cdot I_N \end{array} \right)_{2N \times 2N}$$

← cyclic permuted rows

• Note: Using coefficient-vectors \bar{f}, \bar{k} (of f, k resp.) we have:

$$(\bar{f}, -\bar{k}) \cdot M = (\bar{f}, \bar{g})$$

⇒ ← coeff-vec. of $g(x)$

▷ \mathcal{L} (rows of M) contains the short-vector (\bar{f}, \bar{g}) of length $= \sqrt{2d_f - 1 + 2d_g} \ll \sqrt{N}$.

- But, using L^3 -algo. to find it takes time $>$
 $(2N)^6 \cdot (\lg q)^2 \approx 500^6 \cdot 7^2 \approx 10^{18}$.

→ NTRU is "secure" for the practical settings:

- $N/3 \leq q \leq 2N/3$; $N \geq 251$.

- $d_f, d_g, d_r, d_m \geq 80$.

▷ Guessing f directly takes $\approx 2^{2 \times 80}$ steps!