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Bounds for the Condition Number for Polynomials with Integer Coefficients

Aaron Herman*

Elias Tsigaridas[†]

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1 Introduction

We consider the problem of bounding the condition number of the roots of univariate polynomials and polynomial systems, when the input polynomials have integer coefficients. We also introduce an aggregate version of the condition numbers and we prove bounds of the same order of magnitude as in the case of the condition number of a single root.

In the univariate case we improve the currently known bounds [7, Theorem 2.4] by a factor of d (Proposition 1), where d is the degree of the polynomial. For the multivariate case the previous bounds [7, Theorem 2.5], which are single exponential, do not specify the constant in the exponent. We provide precise bounds (Theorem 3) and our approach leads to better bounds than the ones that we can obtain by performing the calculations using the previously known approach [7]. The exact constants in the exponents can be useful in many applications e.g. [1, 5, 6]. Such bounds are also needed to establish a connection between Turing machines and the Blum-Cucker-Shub-Smale model [2].

The aggregate versions of the condition numbers we introduce (Proposition 2 and Theorem 4) encapsulate the condition number of all the roots. Contrary to what is expected as a bound in this case, that is the number of roots times the worst case bound for the condition number at a root, our aggregate version saves a factor equal to the number of roots. As a consequence, in the multivariate case, we gain a factor of d^n , where d is the degree of the polynomials and n the number of variables.

1.1 Notation

In what follows \mathcal{O}_B , resp. \mathcal{O} , means bit, resp. arithmetic, complexity and $\tilde{\mathcal{O}}_B$, resp. $\tilde{\mathcal{O}}$, means that we are ignoring logarithmic factors. For a polynomial $A = \sum_{i=0}^d a_i x^i \in \mathbb{Z}[x]$, $\deg(A) = d$ denotes its degree. We consider the height function $H(\cdot)$ which is defined as follows. If $a \in \mathbb{Z}$ then $H(a) = |a|$. For $a, b \in \mathbb{Z}$, $H(\frac{a}{b}) = \max\{H(a), H(b)\}$. For a polynomial A , we have $H(A) = \max_k |a_k|$. Finally, for a matrix $M \in \mathbb{Z}^{n \times n}$, $H(M) = \max_{i,j} |M_{i,j}|$. The logarithmic height is defined as $h(\cdot) = \lg H(\cdot)$. The Mahler bound (or measure) of A is $\mathcal{M}(A) = a_d \prod_{|\alpha| \geq 1} |\alpha|$, where α runs through the complex roots of A , e.g. [8, 9]. If $A \in \mathbb{Z}[x]$ and $H(A) = \tau$, then $\mathcal{M}(A) \leq \|A\|_2 \leq \sqrt{d+1}H(A) = 2^\tau \sqrt{d+1}$.

*Department of Mathematics, North Carolina State University, aherman@ncsu.edu

[†]INRIA, Paris-Rocquencourt Center, POLSYS Project, UPMC, Univ Paris 06, LIP6, CNRS, UMR 7606, LIP6, Paris, France, elias.tsigaridas@inria.fr

2 Condition number for univariate polynomials

Let $A = \sum_{k=1}^d a_k X^k \in \mathbb{C}[X]$ and α one of its roots. The condition number of A at α is defined as

$$\mu(A, \alpha) = \frac{\left(\sum_{i=0}^d |\alpha|^{2i} \right)^{\frac{1}{2}}}{|A'(\alpha)|} \quad (1)$$

where A' is the derivative of A . We define the condition number of A as

$$\mu(A) = \max_{\substack{\alpha \in \mathbb{C} \\ A(\alpha)=0}} \mu(A, \alpha) \quad (2)$$

If A is a square-free integer polynomial such that $H(A) = 2^\tau$, Malajovich [7] provided the following bounds for the condition number at a root α ,

$$\mu(A, \alpha) \leq 2^{2d^2-2} d^{2d} 2^{2\tau d^2}$$

which in turn leads to the following estimation for the condition number of A

$$\log(\mu(A)) \in \mathcal{O}(\tau d^2).$$

Proposition 1. Consider the square-free polynomial $A = \sum_{i=0}^d a_i X^i \in \mathbb{Z}[X]$ with $H(A) \leq 2^\tau$ and $a_0 \neq 0$. Let $\alpha \neq 0$ be a root of A . Then

$$\mu(A, \alpha) \leq \sqrt{d+1}^{15d+1} 2^{15d\tau + \tau + 18d \log(d)}.$$

Hence $\lg(\mu(A)) \in \mathcal{O}(d\tau + d \log(d))$.

Proof: First we bound the numerator of formula (1) as follows

$$\left(\sum_{i=0}^d |\alpha|^{2i} \right)^{\frac{1}{2}} = \|(1, \alpha, \dots, \alpha^d)\|_2 = \sqrt{d+1} \|(1, \alpha, \dots, \alpha^d)\|_\infty \leq \sqrt{d+1} 2^d H(A)^d \quad (3)$$

To bound the denominator we need the following result, e.g. [4]. For $A \in \mathbb{Z}[x]$, let Ω be a set of k pairs of indices of non-zero roots of A . Then

$$\prod_{(i,j) \in \Omega} |\alpha_i - \alpha_j| \geq d^{-18d} (d+1)^{-15d/2} H(A)^{-15d} \geq 2^{-30d \lg d} H(A)^{-15d}.$$

Using the previous bound we can bound $A'(\alpha)$. We notice that

$$|A'(\alpha)| = |a_d \prod_{\substack{\gamma \neq \alpha \\ f(\gamma)=0}} (\alpha - \gamma)| \geq \prod_{\substack{\gamma \neq \alpha \\ f(\gamma)=0}} |\alpha - \gamma| \geq 2^{-30d \lg d} H(A)^{-15d}$$

as $|a_d| \geq 1$. Finally, by combining the equations

$$\begin{aligned} \mu(f, \alpha) &= \frac{\left(\sum_{i=0}^d |\alpha|^{2i} \right)^{\frac{1}{2}}}{|f'(\alpha)|} \leq 2^{2d} H(A)^d 2^{30d \lg d} H(A)^{15d} \leq 2^{32d \lg d} H(A)^{16d} \\ &\leq 2^{\mathcal{O}(d\tau + d \lg d)} = 2^{\tilde{\mathcal{O}}(d\tau)} \end{aligned}$$

□

The condition number of A , Eq. (2), expresses the maximum condition of all the roots. Hence, one might suggest that for all the roots we have to multiply the worst case bound by their number. However, this is not the case. We consider the following definition of the condition number

$$\tilde{\mu}(A) = \prod_{i=1}^d \mu(A, \alpha_i)$$

where $\{\alpha_i\}$ is the set of roots of f . We prove that a bound similar to the one of Prop 1 holds for $\tilde{\mu}$.

Proposition 2. *Consider the square-free polynomial $A = \sum_{k=0}^d a_k X^k \in \mathbb{Z}[x]$ with $H(A) = 2^\tau$. Then*

$$\tilde{\mu}(A) \leq \sqrt{d+1}^{2d} 2^{\tau d}.$$

Hence $\log(\tilde{\mu}(A)) \in \mathcal{O}(d\tau + d \log(d))$.

Proof: We obtain the bound using the properties of the Mahler measure and the discriminant.

$$\begin{aligned} \tilde{\mu}(A) &= \prod_{i=1}^d \mu(A, \alpha_i) = \prod_{i=1}^d \frac{\|(1, \alpha_i, \dots, \alpha_i^d)\|_2}{|A'(\alpha_i)|} = \prod_{i=1}^d \frac{\|(1, \alpha_i, \dots, \alpha_i^d)\|_2}{a_d \prod_{j \neq i} |\alpha_i - \alpha_j|} \\ &= \frac{\prod_{i=1}^d \|(1, \alpha_i, \dots, \alpha_i^d)\|_2}{a_d^d \prod_{i \neq j} |\alpha_i - \alpha_j|} = \frac{\prod_{i=1}^d \|(1, \alpha_i, \dots, \alpha_i^d)\|_2}{a_d^d \left(\frac{|\text{disc}(A)|}{a_d^{2d-2}} \right)} = a_d^{d-2} \frac{\prod_{i=1}^d \|(1, \alpha_i, \dots, \alpha_i^d)\|_2}{|\text{disc}(A)|} \\ &\leq a_d^{d-2} \frac{\prod_{i=1}^d \sqrt{d+1} \|(1, \alpha_i, \dots, \alpha_i^d)\|_\infty}{|\text{disc}(A)|} = a_d^{d-2} \sqrt{d+1}^d \frac{\prod_{i=1}^d \|(1, \alpha_i, \dots, \alpha_i^d)\|_\infty}{|\text{disc}(A)|} \\ &= a_d^{d-2} \sqrt{d+1}^d \frac{\prod_{i=1}^d \max\{1, |\alpha_i|^d\}}{|\text{disc}(A)|} = a_d^{d-2} \sqrt{d+1}^d \frac{\left(\prod_{i=1}^d \max\{1, |\alpha_i|\} \right)^d}{|\text{disc}(A)|} \\ &= \frac{\sqrt{d+1}^d \left(a_d \prod_{i=1}^d \max\{1, |\alpha_i|\} \right)^d}{a_d^2 |\text{disc}(A)|} = \frac{\sqrt{d+1}^d (\mathcal{M}(A))^d}{a_d^2 |\text{disc}(A)|} \\ &\leq \frac{\sqrt{d+1}^d (\|A\|_2)^d}{a_d^2 |\text{disc}(A)|} \leq \frac{\sqrt{d+1}^d (\sqrt{d+1} H(A))^d}{a_d^2 |\text{disc}(A)|} \\ &= \frac{\sqrt{d+1}^{2d} H(A)^d}{a_d^2 |\text{disc}(A)|} \leq \sqrt{d+1}^{2d} H(A)^d. \end{aligned}$$

□

3 Condition number for polynomial systems

In this section we generalize the bounds of Propositions 1 and 2 to the case of polynomial systems. The definition of the condition number of a root of a polynomial system is given in equation (4).

First we introduce our notation, which follows closely [2]. Let \mathcal{H}_d^n be the vector space of homogeneous polynomials in $n+1$ variables, X_0, X_1, \dots, X_n , of degree d . If $f \in \mathcal{H}_d^n$ then

$$f = \sum_{|\alpha|=d} f_\alpha \mathbf{X}^\alpha = \sum_{|\alpha|=d} f_\alpha X_0^{\alpha_0} X_1^{\alpha_1} \cdots X_n^{\alpha_n}.$$

For $f, g \in \mathcal{H}_d^n$ we consider the following inner product

$$\langle f, g \rangle = \sum_{|\alpha|=d_i} f_\alpha g_\alpha \binom{d}{\alpha}^{-1} = \sum_{|\alpha|=d_i} f_\alpha g_\alpha \binom{d}{\alpha_0, \alpha_1, \dots, \alpha_n}^{-1}$$

and the corresponding norm

$$\|f\|_b^2 = \langle f, f \rangle = \sum_{|\alpha|=d_i} |f_\alpha|^2 \binom{d}{\alpha}^{-1}.$$

We consider $\mathbf{f} = (f_1, \dots, f_n) \in \mathcal{H}_{d_1}^n \times \cdots \times \mathcal{H}_{d_n}^n = \mathcal{H}$ to be a 0-dimensional polynomial system of n homogeneous equations in $n+1$ variables. For a system of equations, \mathbf{f} , we have the following definition of the norm

$$\|\mathbf{f}\|^2 = \sum_{i=1}^n \|f_i\|_b^2.$$

The condition number of a polynomial system \mathbf{f} at a number $\mathbf{z} \in \mathbb{C}^n$ is defined as [3]

$$\mu(\mathbf{f}, \mathbf{z}) = \|\mathbf{f}\| \|(D\mathbf{f}(\mathbf{z})|_{\mathbf{z}^\perp})^{-1} \text{Diag}(\|\mathbf{z}\|^{d_i-1} d_i^{1/2})\|. \quad (4)$$

However, to bound the various quantities that appear we use an equivalent definition, Eq. (5), from Malajovich [7]. Moreover, we follow the notation from [2] to bound condition number of a polynomial system of polynomials having integer coefficients. In this case we assume that $\mathbf{H}(f_i) \leq 2^\tau$ for all i .

Let $\mathbf{f} \in \mathcal{H}$ be a polynomial system and let $\mathbf{z} \in \mathbb{P}(\mathbb{C}^{n+1})$. Let $\chi_1 = \chi_1(\mathbf{f}, \mathbf{z})$ defined by

$$\chi_1 = \left\| \begin{pmatrix} D\mathbf{f}(\mathbf{z}) \\ \mathbf{z}^* \end{pmatrix}^{-1} \begin{pmatrix} \sqrt{d_1} \|\mathbf{f}\| \|\mathbf{z}\|^{d_1-1} & & \\ & \ddots & \\ & & \sqrt{d_n} \|\mathbf{f}\| \|\mathbf{z}\|^{d_n-1} \\ & & & \|\mathbf{z}\| \end{pmatrix} \right\| = \|M_1^{-1} \cdot M_2\| \quad (5)$$

Note that these formulas do not depend on the representative of \mathbf{z} and thus are well defined. Their value is also invariant under multiplication of \mathbf{f} by a non-zero complex number $\lambda \in \mathbb{C}$. Our goal is to estimate a bound for $\chi_1(\mathbf{f}, \boldsymbol{\zeta})$, where $\boldsymbol{\zeta}$ is a root of \mathbf{f} .

Recall that for any matrix M it holds $\|M\| \leq \|M\|_F$, where the second one is the Frobenius norm, that is $\|M\|_F = \sqrt{\sum_{i,j} |M_{i,j}^2|}$.

First we consider bounds for the norm of M_2 . To bound $\|\mathbf{f}\|$, assuming $\mathbf{H}(f_i) \leq 2^\tau$, we proceed as follows:

$$\|\mathbf{f}\| = \sqrt{\sum_{i=1}^n \|f_i\|_b^2} \leq \sqrt{\sum_{k=1}^n 2^{2\tau+d_k \lg(nd_k)} \leq 2^{\tau+d \lg(nd)}. \quad (6)$$

To bound $\|\boldsymbol{\zeta}\|$ we use the DMM bounds [4]. The DMM is defined for sparse systems but we can also use it for the homogeneous case. To see this notice that we consider all the possible dehomogenizations of the system and we apply to each of them DMM. Then we take the worst bound.

For any root $\zeta = (\zeta_0, \zeta_1, \dots, \zeta_n)$ of the system it holds [4, Cor. 4]

$$\lg(\max_{0 \leq k \leq n} |\zeta_k|) \leq 1 + \prod_{i=1}^n d_i + \sum_{i=1}^n \prod_{j \neq i} d_j (\tau + \lg(2d_i^n)) = \eta_1 = \mathcal{O}(d^n + nd^{n-1}\tau + n^2d^{n-1}\lg d). \quad (7)$$

Now we are ready to bound $\|M_2\|$ by combining equations (6) and (7). The bound is as follows:

$$\|M_2\|_F^2 \leq \sum_{i=1}^n \left(\sqrt{d_i} \|\mathbf{f}\| \|\zeta\|^{d_i-1} \right)^2 + \|\zeta\|^2 \leq 2^{2\tau+3d\lg(nd)+d\eta_1},$$

which simplifies to

$$\lg\|M_2\|_F \leq \mathcal{O}(d^{n+1} + nd^n\tau + n^2d^n \lg d) = \tilde{\mathcal{O}}(d^{n+1} + d^n\tau). \quad (8)$$

To bound M_1^{-1} it suffices to bound $\|M_1\|$. It holds $\|M_1^{-1}\| \leq n^n \mathbf{H}(M_1)$, e.g. [7, Lemma 4.5]. To obtain a bound for $\mathbf{H}(M_1)$, first we need an estimation on the evaluation of the derivatives $G_{i,j}(\mathbf{X}) = \frac{\partial}{\partial X_j} f_i(\mathbf{X})$ at the roots of the system, ζ .

Let $f_{n+1}^{(i,j)}(\mathbf{X}, Y) = Y - G_{i,j}(\mathbf{X})$ and consider the polynomial system

$$(\Sigma_{i,j}) \quad \{f_1(\mathbf{X}) = \dots = f_n(\mathbf{X}) = f_{n+1}^{(i,j)}(\mathbf{X}, Y) = 0\}. \quad (9)$$

This is a system in $n+1$ equations in $n+1$ variables. It holds $\deg(f_{n+1}^{(i,j)}) = \deg(G_{i,j}) \leq d_i - 1$ and $\mathbf{H}(f_{n+1}^{(i,j)}) = \mathbf{H}(G_{i,j}) \leq d \mathbf{H}(f_i) \leq \tau + \lg d_i$.

The resultant of $(\Sigma_{i,j})$ that eliminates the variables X_1, \dots, X_n , is

$$R_{i,j} = \text{Res}_{d_1, \dots, d_n}(f_1(\mathbf{X}), \dots, f_n(\mathbf{X}), y - G_{i,j}(\mathbf{X})) \in \mathbb{Z}[y]$$

where $R_{i,j} \in \mathbb{Z}[Y]$. The roots of $R_{i,j}$ correspond to the evaluations of $G_{i,j}$ at the roots of the system $\mathbf{f} = 0$. Therefore, an upper bound on the roots of $R_{i,j}$ provides an upper bound on the evaluation. We should notice that $R_{i,j}$ is not identically zero.

Hence, to obtain the required bounds we can consider the system $(\Sigma_{i,j})$. From this point of view we need to provide lower bounds on the coordinates of solutions of the system. For this we use DMM [4, Thm. 3 and Cor. 4] directly.

First, we need to define (bound) various quantities, see [4, Eq. (3)]. The mixed volume(s) $M_0 = d_1 \dots d_n (d_i - 1) \leq d^n (d - 1) \leq d^{n+1}$, $M_k = d_1 \dots d_{k-1} d_{k+1} \dots d_n (d_i - 1) \leq d^{n-1} (d - 1) \leq d^n$ for $1 \leq k \leq n$, and $M_{n+1} = d_1 \dots d_n \leq d^n$; and the integer coefficients that appear in the resultant polynomial

$$\varrho = \prod_{k=1}^{n+1} (\#Q_k)^{M_k} \leq 2^{\sum_{k=1}^{n+1} M_i} \prod_{i=1}^n d_i^{M_k} (d_i - 1)^{nM_{n+1}} \leq 2^{2nd^n} d^{2n^2d^n}.$$

Finally, we bound the weighted heights of the input polynomials $C = \prod_{k=1}^{n+1} \mathbf{H}(f_k)^{M_k} \leq 2^{(n+\lg d)\tau d^n}$. An isolated root of the system with Y coordinate equal to y follows the bound $|y| \leq 2^{M_0} \varrho C$. Thus

$$|G_{i,j}(\zeta)| \leq 2^{M_0} \varrho C \leq 2^{d^{n+1}+8n^2d^n \lg d+(n+\lg d)\tau d^n}$$

for any i, j and for any root ζ of the system. For ζ^* it holds that $\mathbf{H}(\zeta^*) \leq \mathbf{H}(\zeta)$ and so we can use the bound from (7). Putting all these together we have the bound

$$\mathbf{H}(M_1) \leq 2^{\eta_2} \quad \text{where} \quad \eta_2 = \mathcal{O}(d^{n+1} + n^2d^n \lg d + (n + \lg d)\tau d^n) = \tilde{\mathcal{O}}(d^{n+1} + n^2d^n + n\tau d^n)$$

and so $\|M_1^{-1}\| \leq n^n \mathbf{H}(M_1) \leq 2^{\eta_2} \leq 2^{\tilde{\mathcal{O}}(d^{n+1} + n^2 d^n + n\tau d^n)}$.

Combining the bounds for $\|M_1^{-1}\|$ and $\|M_2\|$ we obtain the following bound for χ_1 which also a bound for the condition number of a complex root of the system.

$$\chi_1 \leq 2^{\eta_2} \leq 2^{\mathcal{O}(d^{n+1} + n^2 d^n \lg d + (n + \lg d)\tau d^n)}. \quad (10)$$

The previous discussion leads to the following theorem

Theorem 3. *Let $\mathbf{f} = (f_1, \dots, f_n) \in \mathcal{H}$ be a 0-dimensional polynomial system. Assume $f_i \in \mathbb{Z}[X_0, X_1, \dots, X_n]$ such that they have degrees bounded by d and $\mathbf{H}(f_i) \leq 2^\tau$. Then, we have the following bound for the condition number of any root ζ of the system*

$$\mu(\mathbf{f}, \zeta) \leq 2^{\mathcal{O}(d^{n+1} + n^2 d^n \lg d + (n + \lg d)\tau d^n)}.$$

3.1 Multivariate aggregate condition number

In this section we sketch the proof of an aggregate version of Theorem 3. It provides bounds similar to the ones of Proposition 2 and to the aggregate nature of the DMM bounds [4, Theorem 3].

Some elementary properties are in place.

$$\|M\| \leq \|M\|_F \leq \sqrt{n^2 \mathbf{H}(M)^2} \leq n \mathbf{H}(M).$$

If the entries of the matrix M depend on a root ζ then we write $M(\zeta)$ to emphasize this. In this context it holds

$$\chi_1(\zeta) \leq \|M_1^{-1}(\zeta) M_2(\zeta)\| \leq (n+1)^2 \mathbf{H}(M_1(\zeta))^{n+1} \mathbf{H}(M_2(\zeta))$$

and

$$\tilde{\chi}_1(\zeta) = \prod_{\zeta} \chi_1(\zeta) \leq (n+1)^{2d^n} \prod_{\zeta} \mathbf{H}(M_1(\zeta))^{n+1} \prod_{\zeta} \mathbf{H}(M_2(\zeta)).$$

We have to bound each factor independently. We sketch the approach for the second one. For the first factor we work similarly.

To bound $\prod_{\zeta} \mathbf{H}(M_2(\zeta))$ we can apply directly Eq. (5) or (8). However, this approach gives an exponent of d^{2n+1} , which is a big overestimation; by a factor of d^n .

We rely on aggregation bounds of polynomial system, provided by the DMM bounds [4]. Consider the polynomial $f_{n+1}(\mathbf{X}, Y) = Y - X_1^2 - \dots - X_n^2$ and the polynomial system

$$(\Sigma_{i,j}) \quad \{f_1(\mathbf{X}) = \dots = f_n(\mathbf{X}) = f_{n+1}(\mathbf{X}, Y) = 0\}. \quad (11)$$

The resultant of the system encapsulates (all) the evaluations of f_{n+1} over the roots of \mathbf{f} . Therefore, it suffices to bound the height of the resultant. The bounds that we get are similar to the ones of the previous section. The calculations lead to the following theorem

Theorem 4. *Let $\mathbf{f} = (f_1, \dots, f_n) \in \mathcal{H}$ be a 0-dimensional polynomial system. Assume $f_i \in \mathbb{Z}[X_0, X_1, \dots, X_n]$ such that they have degrees bounded by d and $\mathbf{H}(f_i) \leq 2^\tau$. Then, if ζ runs over all the solutions of the system, it holds*

$$\tilde{\chi}_1(\mathbf{f}) = \prod_{\zeta} \chi_1(\zeta) \leq 2^{\tilde{\mathcal{O}}(d^{n+1} + d^n \tau)}.$$

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