The LLL Algorithm

1 Motivation

The rows of the following matrices form bases for lattices in $\mathbb{R}^3$:

$$X = \begin{bmatrix} -168 & 602 & 58 \\ 157 & -564 & -57 \\ 594 & -2134 & -219 \end{bmatrix}, \quad Y = \begin{bmatrix} -6 & 6 & -4 \\ 9 & 4 & 1 \\ -1 & 8 & 6 \end{bmatrix}.$$

In fact, one can check that the rows of X and the rows of Y actually span the *same* lattice. Intuitively, the rows of X seem to be a "worse" basis for L than those of Y. Here we make precise the notion of a "nice" basis and introduce a polynomial time algorithm that transforms a "bad" basis into a "good" one.

2 Basis Reduction and the LLL Algorithm

A basis is "nice" if the constituent vectors are short and orthogonal to one another. The Gram-Schmidt process transforms a given basis into an orthogonal basis, but when working in a lattice L, this Gram-Schmidt basis need not live in L.

Definition 2.1. Let $x_1, \ldots, x_n$ be an ordered basis for a lattice L in $\mathbb{R}^n$, and let $x_1^*, \ldots, x_n^*$ be its Gram-Schmidt orthogonalization (GSO). Write $X = MX^*$ where X (respectively X^*) is the matrix with x_i (respectively x_i^*) as row i and $M = (\mu_{ij})$ is the matrix of GSO coefficients. Let α be a real number with $\frac{1}{4} < \alpha < 1$, called the reduction parameter (usually taken to be $\frac{3}{4}$). We say that the basis $x_1, \ldots, x_n$ is **α-reduced** if it satisfies

1. $|\mu_{ij}| \leq \frac{1}{2}$ for all $1 \leq j < i \leq n$,
2. $|x_i^* + \mu_{i,i-1} x_{i-1}^*|^2 \geq \alpha |x_{i-1}^*|^2$ for $2 \leq i \leq n$.

Condition (1) says that the i-th basis vector is "almost orthogonal" to the span of the previous $i-1$ vectors. The vector $x_i^* + \mu_{i,i-1} x_{i-1}^*$ is the vector one obtains when swapping vectors x_i and x_{i-1} and then computing the $(i-1)$-st vector of the GSO. Condition (2) then says that this new GSO vector, while potentially shorter than x_{i-1}^* isn't "too much" shorter.

Algorithm 1 The Original LLL Algorithm

Input: A basis $x_1, \dots, x_n$ of the lattice $L \subset \mathbb{R}^n$ and a reduction parameter $\alpha \in (\frac{1}{4}, 1)$.

Output: An α-reduced basis $y_1, \dots, y_n$ of the lattice L.

- **procedure** REDUCE(k, ℓ)
  - **if** $|\mu_{k\ell}| > \frac{1}{2}$ **then**
    - Set $y_k \leftarrow y_k - \lceil \mu_{k\ell} \rfloor y_\ell$.
    - **for** $j = 1, 2, \dots, \ell - 1$ **do**
      - Set $\mu_{kj} \leftarrow \mu_{kj} - \lceil \mu_{k\ell} \rfloor \mu_{\ell j}$.
    - Set $\mu_{k\ell} \leftarrow \mu_{k\ell} - \lceil \mu_{k\ell} \rfloor$.
- **procedure** EXCHANGE(k)
  - Set $z \leftarrow y_{k-1}$, $y_{k-1} \leftarrow y_k$, $y_k \leftarrow z$. ▷ exchange y_{k-1} and y_k
  - Set $\nu \leftarrow \mu_{k,k-1}$. Set $\delta \leftarrow \gamma_k^* + \nu^2 \gamma_{k-1}^*$.
  - Set $\mu_{k,k-1} \leftarrow \nu \gamma_{k-1}^* / \delta$. Set $\gamma_k^* \leftarrow \gamma_k^* \gamma_{k-1}^* / \delta$. Set $\gamma_{k-1}^* \leftarrow \delta$.
  - **for** $j = 1, 2, \dots, k - 2$ **do**
    - Set $t \leftarrow \mu_{k-1,j}$, $\mu_{k-1,j} \leftarrow \mu_{kj}$, $\mu_{kj} \leftarrow t$. ▷ exchange $\mu_{k-1,j}$ and μ_{kj}
  - **for** $i = k + 1, \dots, n$ **do**
    - Set $\xi \leftarrow \mu_{ik}$. Set $\mu_{ik} \leftarrow \mu_{k,k-1} - \nu \mu_{ik}$.
    - Set $\mu_{i,k-1} \leftarrow \mu_{k,k-1} \mu_{ik} + \xi$.
- **procedure** MAIN
  - **for** $i = 1, 2, \dots, n$ **do**
    - Set $y_i \leftarrow x_i$.
  - **for** $i = 1, 2, \dots, n$ **do**
    - Set $y_i^* \leftarrow y_i$.
    - **for** $j = 1, 2, \dots, i - 1$ **do**
      - $\mu_{ij} \leftarrow (y_i \cdot y_j^*) / \gamma_j^*$ and $y_i^* \leftarrow y_i^* - \mu_{ij} y_j^*$.
    - Set $\gamma_i^* \leftarrow y_i^* \cdot y_i^*$.
  - Set $k \leftarrow 2$.
  - **while** $k \leq n$ **do**
    - Call REDUCE$(k, k-1)$.
    - **if** $\gamma_k^* \geq (\alpha - \mu_{k,k-1}^2) \gamma_{k-1}^*$ **then**
      - **for** $\ell = k - 2, \dots, 2, 1$ **do**
        - Call REDUCE(k, ℓ).
      - Set $k \leftarrow k + 1$.
    - **else**
      - Call EXCHANGE(k).
      - **if** $k > 2$ **then**
        - Set $k \leftarrow k - 1$.