# Lecture 2-13-1 Polynomial systems, computer algebra and applications

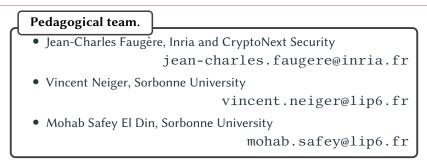
Polynomials, Solution sets, Gröbner bases

Jean-Charles Faugère<sup>1</sup> Vincent Neiger<sup>2</sup> Mohab Safey El Din<sup>2</sup>

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#### **First informations**



All slides and companion lecture notes (including exercises) will be available at

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https://www-polsys.lip6.fr/~jcf/Teaching/index.html
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The course is taught in English upon explicit request.

Research internships / PhD positions available on the web. **Contact the teachers asap** if you get interested.

#### **Textbooks**



Mathematical background (mainly commutative algebra and some tapas of algebraic geometry) is introduced when needed.

This course is research oriented: it includes new recently published results.

#### Introduction

A monomial is a tuple  $\alpha = (\alpha_1, \dots, \alpha_n)$  of  $\mathbb{N}^n$ . Given two monomials  $\alpha, \beta$ , one defines the sum  $\alpha + \beta$  by taking the sum of the tuples.

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Provided  $\boldsymbol{\alpha} = (\alpha_1, \ldots, \alpha_n)$  and variables  $x_1, \ldots, x_n$ ,

 $oldsymbol{lpha}$  encodes  $oldsymbol{x}^{oldsymbol{lpha}} = x_1^{lpha_1} \cdots x_n^{lpha_n}.$ Sum of tuples  $oldsymbol{lpha} + oldsymbol{eta} \leftrightarrow$  product  $oldsymbol{x}^{oldsymbol{lpha}} oldsymbol{x}^{oldsymbol{lpha}}$ 

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The total degree of  $\alpha$  is the sum  $\alpha_1 + \cdots + \alpha_n$ .

Univariate monomials (n = 1) are naturally ordered by their degree and this order is compatible with multiplication

 $(m_1 \prec m_2 \Rightarrow \forall m \in \mathbb{N}^n, m \times m_1 \prec m \times m_2).$ 

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We will define and use such orders which are called admissible orders.

Let  $\mathbb{K}$  be a field. We consider the  $\mathbb{K}$ -vector space E generated by all the monomials of  $\mathbb{N}^n$ . This is an infinite dimensional vector space, the set of monomials in  $\mathbb{N}^n$  is a free basis of E.

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A polynomial is an element of this  $\mathbb{K}$ -vector space *E*. All in all, it is represented as a finite sequence of elements  $(c_{\alpha_1}, \ldots, c_{\alpha_\ell})$  of  $\mathbb{K}$ , indexed by finitely many elements of  $\mathbb{N}^n$ . Mathematically, it is a finite linear combination of monomials over  $\mathbb{K}$ .

Equipped with variables  $x_1, \ldots, x_n \sim c_{\alpha_1} x_1^{\alpha_{1,1}} \cdots x_n^{\alpha_{1,n}} + \cdots + c_{\alpha_\ell} x_1^{\alpha_{\ell,1}} \cdots x_n^{\alpha_{\ell,n}}$ .

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The set of polynomials with variables  $x_1, \ldots, x_n$  with base field  $\mathbb{K}$  is denoted by  $\mathbb{K}[x_1, \ldots, x_n]$ .

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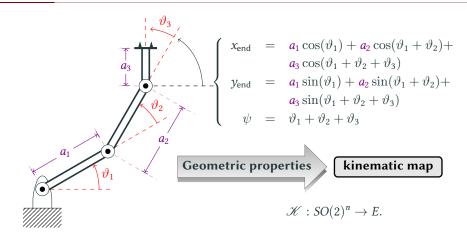
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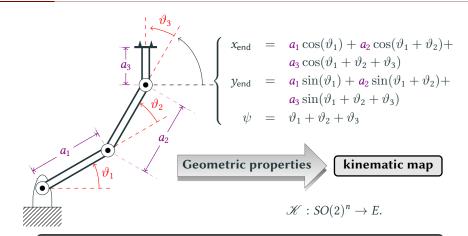
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**Arithmetic size.** A polynomial  $f \in \mathbb{K}[x_1, \ldots, x_n]$  of degree *D* is encoded with an array of coefficients of length  $\binom{n+D}{n}$ .

#### Polynomial systems in engineering sciences (I)

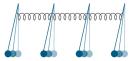


## Polynomial systems in engineering sciences (I)



Polynomial systems are ubiquitous in robotics, mechanics, and some areas of biology and chemistry.

## Polynomial systems in engineering sciences (II)

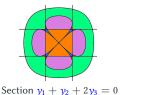


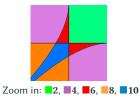
A dynamical system of 4 coupled oscillators: maximal number of equilibria?

 $\rightsquigarrow$  Kuramoto model of 4 oscillators

Maximal number of real solutions of  $\begin{cases}
x_{2i-1}^2 + x_{2i}^2 = 1, x_7 = 0, x_8 = 1 \\
\sum_{j=1}^4 (x_{2i-1}x_{2j} - x_{2i}x_{2j-1}) = y_i, i = 1 \dots 3
\end{cases}$ 

[Xin, Kikkawa, Liu '16] conjectured at most 10 real solutions





#### Definitive answer through polynomial system solvers

## Polynomial systems solving in mathematics

Algebraic methods for polynomial system solving and more generally, computer algebra can be used to prove some mathematical results (or disprove mathematical conjectures).

Theorem. Surfaces of degree 3 always contain lines and conics.

Noether–Lefschetz theorem  $\implies$  surfaces of degree  $\ge 4$  almost never do.

What about some special surfaces of degree 4?  $\cos(t)f + \sin(t)g = 0$ 





Context. A (Alice) wants to send a private message to B (Bob).

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To send a message  $m \in \mathbb{K} \in \mathbb{K}^n$ , A picks a matrix M in  $\mathbb{R}^{n \times s}$  and sends c = m + M,  $f \in \mathbb{R}^n$ 

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$$c = m + M \cdot f \in R^n$$

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National Institute of Standards and Technology U.S. Department of Commerce

Multivariate cryptography and post-quantum cryptography are hot topics

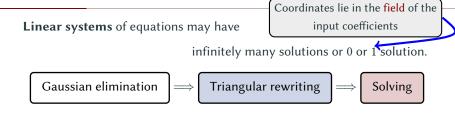
Linear systems of equations may have

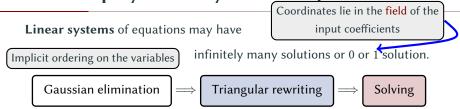
infinitely many solutions or 0 or 1 solution.

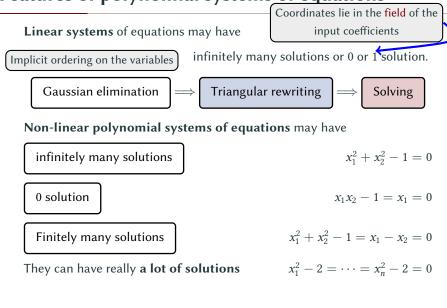
Gaussian elimination

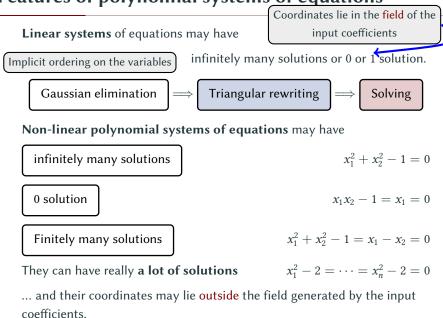
Triangular rewriting











Depends a lot on the application and on the base field  $\mathbb K$ 

- $\mathbb{K}=\mathbb{Q} \rightsquigarrow$  extract informations on real or complex solutions
- ${\mathbb K}$  is a finite field  $\rightsquigarrow$  solutions in  ${\mathbb K}$  or an algebraic closure of  ${\mathbb K}$

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#### Algebraic closure - definition

Let  $\mathbb{K}$  be a field. An algebraic closure of  $\mathbb{K}$ , is a field  $\overline{\mathbb{K}}$ , containing  $\mathbb{K}$  s.t. all univariate polynomials of degree d with coefficients in  $\overline{\mathbb{K}}$  have d solutions counted with multiplicities.

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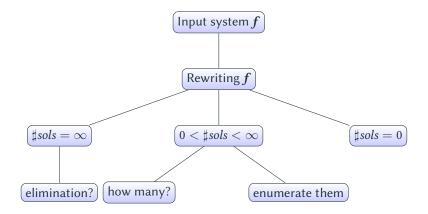
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Algebraic methods

Triangular rewriting

"Solving" over 
$$\overline{\mathbb{K}}$$

#### What does "solving" mean?



#### **Towards Gröbner bases**

Let  $\mathbb{K}$  be a field and  $R = \mathbb{K}[x_1, \ldots, x_n]$ . **Polynomial systems** Linear systems  $\ell_1 = \cdots = \ell_s = 0$  $f_1 = \cdots = f_s = 0$ Equations Vector space Ideal generated by the  $f_i$ 's Algebraic object  $V = \{ \sum_{i} a_i \ell_i \mid a_i \in \mathbb{K} \}$  $I = \{ \sum_{i} q_i f_i \mid q_i \in R \}$ "Flimination of Gaussian elimination monomials" Algorithm (variable ordering) (monomial ordering  $\sim$ term rewriting) Triangular basis of VGröbner basis of I Output

## Gröbner bases and polynomial system solving

Let  $\mathbb{K}$  be a field,  $R = \mathbb{K}[x_1, \ldots, x_n]$ ,  $\prec$  a monomial ordering and

 $\boldsymbol{f}=(f_1,\ldots,f_s)\subset R.$ 

Provided  $\prec$ , a Gröbner basis *G* of the ideal generated by f provides a canonical description of it.

**Emptiness decision** 

A non-zero constant  $a \in \mathbb{K}$  lies in G.

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**Membership** problem

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- Unique representative of f modulo the ideal (provided  $\succ$ )
- Allows to compute "modulo" the equations

 $\rightsquigarrow$  description of the solutions

# Gröbner bases and polynomial system solving

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One can choose  $\prec$  such that *G* has the following shape

$$G = \begin{cases} T_n \subset \mathbb{K}[x_1, \dots, x_n] \\ \vdots \\ T_2 \subset \mathbb{K}[x_{n-1}, x_n] \\ T_1 \subset \mathbb{K}[x_n] \end{cases}$$

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Shape position

When  $s \ge n$ , and when the solution set in  $\overline{\mathbb{K}}^n$  is finite, *G* has (most of the time) the following so-called shape position  $w, x_2 - v_2, \ldots, x_n - v_n$  with  $w, v_i \in \mathbb{K}[x_1]$ 

• Note that, in this case, solutions in  $\mathbb{K}^n$  can be recovered

# julia

# Basic notions of algebra and geometry

Algebraic sets and ideals

Let  $\mathbb{K}$  be a field,  $\overline{\mathbb{K}}$  an algebraic closure of  $\mathbb{K}$ , and  $R = \mathbb{K}[x_1, \ldots, x_n]$ .

**Ideal** An ideal *I* of *R* is a non-empty subset of *R* such that for all *f*, *g* in *I* and  $h \in R$ ,  $f + g \in I$  and  $hf \in I$ .

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Lemma – Definition  
Let 
$$S \subset R$$
. Then  
$$\left\{ \sum_{i=1}^{s} q_i f_i \mid q_i \in R, (f_1, \dots, f_s) \subset S \right\}$$
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**Remark.** Let  $\xi \in \overline{\mathbb{K}}^n$  such that  $f_i(\xi) = 0$  for  $1 \le i \le s$ .

Then for all  $g \in \langle \boldsymbol{f} \rangle$ ,  $g(\xi) = 0$ .

Let  $\mathbb{K}$  be a field,  $\overline{\mathbb{K}}$  an algebraic closure of  $\mathbb{K}$ , and  $R = \mathbb{K}[x_1, \ldots, x_n]$ .

### Definition

A  $\mathbb{K}$ -algebraic set V (also called algebraic variety) of  $\overline{\mathbb{K}}^n$  is a subset of  $\overline{\mathbb{K}}^n$  such that there exists a subset  $S \subset R$  such that

$$V = \{ \xi \in \overline{\mathbb{K}}^n \mid \forall f \in S \quad f(\xi) = 0 \}$$

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**Remark.** for any  $f \in \langle S \rangle$  and  $\xi \in V$ ,  $f(\xi) = 0$ .

*V* is the algebraic set associated to  $\langle S \rangle$ . It is denoted by V(S) or  $V(\langle S \rangle)$ .

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- Let *I* and  $\mathcal{J}$  be ideals of *R*. It holds that  $I \subset \mathcal{J}$  iff  $V(\mathcal{J}) \subset V(I)$ .
- Let *I* and  $\mathcal{J}$  be ideals of *R*. It holds that  $V(I \cap \mathcal{J}) = V(I) \cup V(\mathcal{J})$ .

Let  $\mathbb{K}$  be a field,  $\overline{\mathbb{K}}$  an algebraic closure of  $\mathbb{K}$ , and  $R = \mathbb{K}[x_1, \dots, x_n]$ .

Hilbert's basis theorem

Let I be an ideal of R. There exists a finite subset  $S \subset R$  such that  $I = \langle S \rangle$ .

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• Any  $\mathbb{K}$ -algebraic set of  $\overline{\mathbb{K}}^n$  is defined as the solution set (in  $\overline{\mathbb{K}}^n$ ) of a finite polynomial system of equations.

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Algebraic methods

Appropriate bases of ideals

Ascending chains of ideals Let  $(I_i)_{i \in \mathbb{N}}$  be a sequence of ideals such that  $I_1 \subset I_2 \subset \cdots \subset I_i \subset I_{i+1} \subset \cdots$ There exists  $k \in \mathbb{N}$  such that for all  $\ell \ge k$ ,  $I_k = I_\ell$ .

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• Warning: applies to  $\overline{\mathbb{K}}$  only.

**Example.** Take 
$$\mathbb{K} = \mathbb{R}$$
 and  $I = \langle x_1^2 + x_2^2 + 1 \rangle$ .

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Let  $E \subset \overline{\mathbb{K}}^n$ . Consider the subset *S* of *R* associated to *E* defined as

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• **Exercise.** Prove that  $Id(\mathbb{R}) = \langle 0 \rangle$ .

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**Definition/Lemma – radical ideal** 

Let  $I \subset R$  be an ideal. The set

 $\{f \in R \mid \exists k \in \mathbb{N} \text{ such that } f^k \in I\}$ 

is an ideal. It is called the radical of I and denoted by  $\sqrt{I}$ .

• Let  $I \subset R$  be an ideal. It holds that

 $\sqrt{I} = \mathsf{Id}(V(I)).$ 

• Let  $V \subset \overline{\mathbb{K}}^n$  be an algebraic set. It holds that

 $V(\mathsf{Id}(V)) = V.$ 

# Zariski topology

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One can equip  $\overline{\mathbb{K}}^n$  with a so-called Zariski topology, where the class of closed sets is the class of algebraic sets in  $\overline{\mathbb{K}}^n$ .

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- The Zariski closure of a subset W in  $\overline{\mathbb{K}}^n$  is the smallest (for the partial order induced by inclusion) algebraic set which contains W.
- The Zariski topology is less fine that the Euclidean topology.
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The set of polynomials of degree ≤ D with coefficients in K is a finite dimensional vector space. It is isomorphic to K<sup>N</sup> with N = (<sup>n+D</sup><sub>D</sub>). A property 𝒫 on polynomials is generic iff there exists a non-empty Zariski open subset U ⊂ K<sup>N</sup> such that 𝒫 holds for any f ∈ U.

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Other example.

$$(x_1^2 + x_2^2)(x_1 - 1) = (x_1^2 + x_2^2)(x_2 - 1) = 0$$

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#### Lemma

For a generic choice of a (n-d)-dimensional affine linear subspace  $\mathscr{L}_{n-d}$ ,  $V \cap \mathscr{L}_{n-d}$  has dimension 0.

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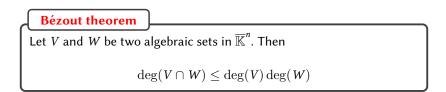
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### **Gröbner bases**

Definitions and first properties

Hilbert's weak Nullstellensatz.

Rewriting input polynomial systems

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Picking 
$$x_1 \succ x_2$$
  
 $f_1 = x_1 + x_2 - 1$   
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 $f_1 - f_2 = 2x_2 - 2$ 

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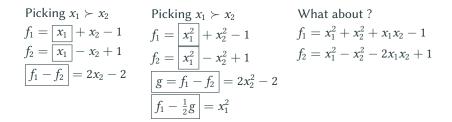
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What about ?  

$$f_1 = x_1^2 + x_2^2 + x_1x_2 - 1$$
  
 $f_2 = x_1^2 - x_2^2 - 2x_1x_2 + 1$ 

Hilbert's weak Nullstellensatz.

Rewriting input polynomial systems



#### We need more ingredients

#### Admissible monomial orderings

Let  $\prec$  be a total order over  $\mathbb{N}^n$ . We say that  $\prec$  is an admissible monomial ordering if the following holds:

- $\mathbf{0} \preceq \boldsymbol{\alpha}$  for all  $\boldsymbol{\alpha} \in \mathbb{N}^n$ ;
- if  $lpha\preceta$  then for any  $\gamma\in\mathbb{N}^n$  it holds that  $lpha+\gamma\preceta+\gamma$

 $\prec$  is compatible with multiplication

• there is no infinitely decreasing sequence  $(\boldsymbol{\alpha}_i)_{i\in\mathbb{N}}$ 

There are many different ways to define admissible monomial orderings, which may have additional properties.

## Some examples (I)

Lexicographical monomial ordering Let  $\alpha = (\alpha_1, \dots, \alpha_n)$  and  $\beta = (\beta_1, \dots, \beta_n)$  in  $\mathbb{N}^n$ .  $\alpha \prec_{lex} \beta \iff \exists i \text{ such that } \begin{cases} \alpha_j = \beta_j \text{ for } j < i \\ \alpha_i < \beta_i \end{cases}$ 

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This ordering eliminates variables at first. It compares first the exponent of  $x_1$ , in case of equality it compares the exponent of  $x_2$ , and so on.

#### Examples

- $x_3^{10} \prec_{lex} x_2^3 \prec_{lex} x_1$
- $1 \prec_{lex} x_2 \prec_{lex} x_2^2 \prec_{lex} x_2^{1000} \prec_{lex} x_1 \prec_{lex} x_1 x_2 \prec_{lex} x_1^2$

## Some examples (II)

Graded lexicographical monomial ordering Let  $\boldsymbol{\alpha} = (\alpha_1, \dots, \alpha_n)$  and  $\boldsymbol{\beta} = (\beta_1, \dots, \beta_n)$  in  $\mathbb{N}^n$ .  $\boldsymbol{\alpha} \prec_{grlex} \boldsymbol{\beta} \iff \sum_{i=1}^n \alpha_i < \sum_{i=1}^n \beta_i$  or  $\begin{cases} \sum_{i=1}^n \alpha_i = \sum_{i=1}^n \beta_i \\ \text{and there exists } i \text{ such that} \\ \alpha_j = \beta_j \text{ for } j < i \\ \alpha_i < \beta_i \end{cases}$ 

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This ordering first filters monomials w.r.t. their degrees and next applies the lexicographical ordering.

**Feature.** All monomials are preceded by a finite number of other monomials.

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$$1 \prec_{grlex} x_3 \prec_{grlex} x_2 \prec_{grlex} x_1 \prec_{grlex} x_3^2 \prec_{grlex} x_2 x_3 \prec_{grlex} x_2^2 \prec_{grlex} x_1 x_3 \prec_{grlex} x_1 x_2 \prec_{grlex} x_1^2$$

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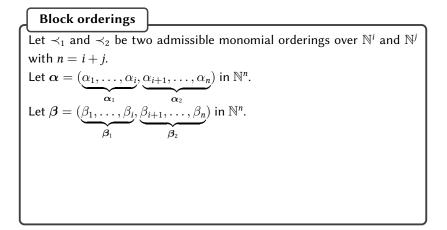
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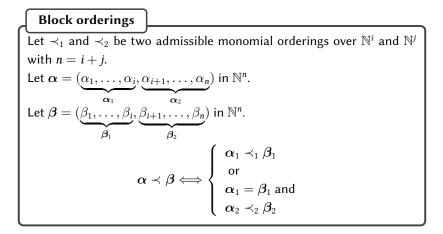
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$$1 \prec_{grevlex} x_3 \prec_{grevlex} x_2 \prec_{grevlex} x_1 \prec_{grevlex} x_3^2 \prec_{grevlex} x_2 x_3 \prec_{grevlex} x_1 x_3 \prec_{grevlex} x_2^2 \prec_{grevlex} x_1 x_2 \prec_{grevlex} x_1^2$$

### Some examples (II)





### Some more comments on monomial orderings

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#### Change of ordering algorithms?

Let  $\mathbb{K}$  be a field,  $R = \mathbb{K}[x_1, \ldots, x_n]$ 

and  $\prec$  be an admissible monomial ordering over *R*.

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Recall that  $f \in R$  is a finite sequence of coefficients in  $\mathbb{K}$  (indexed by monomials of  $\mathbb{N}^n$ )

Assume  $f \neq 0$   $\rightsquigarrow (c_{\alpha_1}, \ldots, c_{\alpha_t}) \in \mathbb{K} - \{0\}^t$ .

**Definition** Let  $f \in R - \{0\}$ . Let  $1 \le i \le t$  be such that  $\alpha_j \prec \alpha_i$  for all  $1 \le j \le t$ ,  $j \ne i$ .

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- The leading coefficient of f w.r.t.  $\prec$ , denoted by LC  $_{\prec}(f)$ , is  $c_{\alpha,\cdot}$ .

Consider again  $f_1 = x_1^2 + 2x_2^2 + 5x_1x_2 - 1$  $f_2 = x_1^2 - 3x_2^2 - 2x_1x_2 + 1$ 

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Consider  $\prec_{lex}$ ,  $\prec_{grlex}$  and  $\prec_{grevlex}$ . Compute the leading monomials, terms and coefficients of  $f_1$ ,  $f_2$ .

# Leading monomials, coefficients and terms (II)

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Observe that  $g_1 \in \langle f_1, f_2 \rangle$  brings a new information:  $\mathsf{LM}_{grevlex}(g_1) \notin \langle \mathsf{LM}_{grevlex}(f_1), \mathsf{LM}_{grevlex}(f_2) \rangle$ What could be the next steps?

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No new information  $(g_3 \in \langle f_1, f_2 \rangle$  and  $\mathsf{LM}_{grevlex}(g_3) \in \langle \mathsf{LM}_{grevlex}(f_1), \mathsf{LM}_{grevlex}(f_2), \mathsf{LM}_{grevlex}(g_1) \rangle )$ 

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Remember the ascending chains of ideals theorem... <sup>37</sup>

Admissible monomial orders

Mimic degree extension step in Euclidean divison

New specific question: ideal membership for monomial ideals

More is needed...

Let  $\mathbb{K}$  be a field,  $R = \mathbb{K}[x_1, \dots, x_n]$  and  $\prec$  an admissible monomial ordering.

Let  $\boldsymbol{\alpha} = (\alpha_1, \dots, \alpha_n)$  and  $\boldsymbol{\beta} = (\beta_1, \dots, \beta_n)$  be two monomials of *R*. The least common multiple of  $\boldsymbol{\alpha}, \boldsymbol{\beta}$  (lcm( $\boldsymbol{\alpha}, \boldsymbol{\beta}$ )) is the monomial  $(\max(\alpha_1, \beta_1), \dots, \max(\alpha_n, \beta_n))$ . Let  $\mathbb{K}$  be a field,  $R = \mathbb{K}[x_1, \dots, x_n]$  and  $\prec$  an admissible monomial ordering.

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• Back to a notation with variables, it generates  $\langle x^{\alpha} \rangle \cap \langle x^{\beta} \rangle$ .

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- Back to a notation with variables, it generates  $\langle x^{\alpha} \rangle \cap \langle x^{\beta} \rangle$ .
- For f, g in  $R \{0\}$ , we define  $\operatorname{lcm}_{\prec}(f, g) = \operatorname{lcm}(\operatorname{LM}_{\prec}(f), \operatorname{LM}_{\prec}(g))$ .

$$\operatorname{spol}_{\prec}(f,g) = \frac{\lambda}{\operatorname{LT}_{\prec}(f)}f - \frac{\lambda}{\operatorname{LT}_{\prec}(g)}g$$

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 $\mathsf{LM}_{\prec}(g) \notin \langle \mathsf{LM}_{\prec}(f_1), \dots, \mathsf{LM}_{\prec}(f_s) \rangle$ 

Let  $\mathbb{K}$  be a field,  $R = \mathbb{K}[x_1, \dots, x_n]$  and  $\prec$  an admissible monomial ordering over R.

#### Definition

Let  $I \subset R$  be an ideal. One says that  $G \subset R$  is a Gröbner basis for  $(I, \prec)$  if the following conditions hold:

- *G* is finite;
- $G \subset I$ ;
- $\langle \mathsf{LM}_{\prec}(g) \mid g \in G \rangle = \langle \mathsf{LM}_{\prec}(f) \mid f \in I \rangle.$

# Ideal membership problem for monomial ideals

Let  $\mathbb{K}$  be a field and  $R = \mathbb{K}[x_1, \ldots, x_n]$ .

Monomial ideals

Let  $I \subset R$  be an ideal. One says that I is a monomial ideal iff there exists a subset S of monomials such that  $I = \langle S \rangle$ .

Note that we do not assume S to be finite. Hilbert's basis theorem implies that I is finitely generated by elements of R, not by monomials.

Lemma Let  $I \subset R$  be a monomial ideal and  $S \subset R$  be a set of monomial generators for I. Let  $x^{\alpha}$  be a monomial. The following holds:

 $\boldsymbol{x}^{\boldsymbol{lpha}} \in I \Longleftrightarrow \boldsymbol{x}^{\boldsymbol{lpha}}$  is divisible by some monomial in S

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Dickson's Lemma

Let  $I \subset R$  be a monomial ideal. It holds that I has a finite monomial basis.

Let  $I = \langle \boldsymbol{x}^{\boldsymbol{\alpha}_1}, \dots, \boldsymbol{x}^{\boldsymbol{\alpha}_s} \rangle$ 

We define the Hilbert function as follows:

$$d \mapsto \mathsf{HF}_{I}(d) = \sharp \{ \boldsymbol{\beta} \in \mathbb{N}^{n} \mid \deg(\boldsymbol{x}^{\boldsymbol{\beta}}) = d \text{ and } \boldsymbol{x}^{\boldsymbol{\beta}} \notin I \}$$

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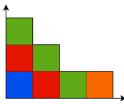
The Hilbert series is  $HS_I(t) = \sum_{d=0}^{\infty} HF_I(d)t^d$ .

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The Hilbert series is  $HS_I(t) = \sum_{d=0}^{\infty} HF_I(d)t^d$ .



Take 
$$I = \langle x_1^4, x_1^2 x_2, x_1 x_2^2, x_2^3 \rangle$$
  
HS<sub>I</sub>(t) = 1 + 2t + 3t<sup>2</sup> + t<sup>3</sup>