

9 The resultant and a modular gcd algorithm in $\mathbb{Z}[x]$

Let F be a field. Then the ring $F[x]$ of polynomials is a unique factorization domain (UFD), so greatest common divisors exist. Not only is $F[x]$ a UFD, it is a Euclidean domain, so gcds can be computed with the Euclidean algorithm.

But what about $\mathbb{Z}[x]$? Because $\mathbb{Z}[x]$ is not a Euclidean domain the Euclidean algorithm cannot be applied directly. Do gcds over $\mathbb{Z}[x]$ even exist? It turns out that the answer is yes. But then some natural questions arise. How can we compute gcds over $\mathbb{Z}[x]$? What is the relationship of gcds over $\mathbb{Z}[x]$ and $\mathbb{Q}[x]$? This script gives answers to these questions.

Subsection ?? and ?? develop some necessary mathematical background. The last subsection gives an efficient modular algorithm for computing gcds over $\mathbb{Z}[x]$. Because of the established relationship between factorization over $\mathbb{Z}[x]$ and $\mathbb{Q}[x]$ in §??, the modular algorithm for gcd over $\mathbb{Z}[x]$ will also be useful for gcd computation over $\mathbb{Q}[x]$.

9.1 Gauss' lemma and theorem

To begin we need to define some notation. Let R be a UFD. Recall that a unit of R is an invertible element, and that two elements $a, b \in R$ are associates if $a = ub$ for $u \in R$ a unit. Over \mathbb{Z} the only units are ± 1 , while over $F[x]$ the units are the nonzero constant polynomials, that is, elements of $F \setminus \{0\}$. Gcds over R and $F[x]$ are unique, but only up to units. To make gcds unique, we define a function lu and normal over R such that for any $a \in R$ we have $a = \text{lu}(a) \times \text{normal}(a)$. An element $a \in R$ is normalized if $a = \text{normal}(a)$, or equivalently, if $\text{lu}(a) = 1$. For all $a, b \in R$, by $\text{gcd}(a, b)$ we mean the unique normalized gcd of a and b . Over \mathbb{Z} we define $\text{lu}(a) = \text{sign}(a)$, so gcds over \mathbb{Z} are positive; while over $F[x]$ we define $\text{lu}(a) = \text{lc}(a)$, so gcds over $F[x]$ are monic. By convention, $\text{lu}(0) = 1$ and $\text{normal}(0) = 0$.

Now let $f = f_0 + f_1x + \dots + f_nx^n \in R[x]$, R a UFD. The *content* $\text{cont}(f)$ is defined as $\text{cont}(f) = \text{gcd}(f_0, \dots, f_n) \in R$. By convention, $\text{cont}(f_0) = \text{gcd}(f_0) = \text{normal}(f_0)$. The *primitive part* $\text{pp}(f)$ of f is defined by $f = \text{cont}(f) \cdot \text{pp}(f)$. A polynomial $f \in R[x]$ is primitive if $\text{cont}(f) = 1$.

Example 9.1. Let $f = 18x^3 - 42x^2 + 30x - 6$. Then $\text{cont}(f) = \text{gcd}(18, -42, 30, -6) = 6$ and $\text{pp}(f) = 3x^2 - 7x^2 + 30x - 6$.

It is useful to extend the notion of content to polynomials in $F[x]$. If $f = (a_0/b) + (a_1/b)x + \dots + (a_n/b)x^n \in F[x]$ for a common denominator b , then $\text{cont}(f) = \text{gcd}(a_0, \dots, a_n) / \text{cont}(b) \in F$, and $\text{pp}(f) = f / \text{cont}(f)$. With this definition, $\text{pp}(f)$ will be a primitive polynomial in $R[x]$.

Example 9.2. $\text{cont}((2/3)x + 1/2) = 1/6$ and $\text{pp}((2/3)x + 1/2) = 4x + 3$.

If R is a UFD, the following fundamental theorem guarantees that $R[x]$ is also a UFD, and fully exposes the relationship between the factorization of polynomials in $R[x]$ and $F[x]$, where F is the fraction field of R .

Theorem 9.3. Gauss Let R be a UFD. Then the following hold.

- The product of two primitive polynomials in $\mathbb{R}[x]$ is primitive.
- For $f, g \in \mathbb{R}[x]$, $\text{cont}(fg) = \text{cont}(f) \cdot \text{cont}(g)$ and $\text{pp}(fg) = \text{pp}(f) \cdot \text{pp}(g)$.
- $\mathbb{R}[x]$ is UFD, and the unique factorization (up to units and ordering) of an $f \in \mathbb{R}[x]$ is given by

$$f = \underbrace{p_1 p_2 \cdots p_k}_{\text{cont}(f)} \cdot \underbrace{pp(f_1) pp(f_2) \cdots pp(f_r)}_{\text{pp}(f)},$$

where $p_1 p_2 \cdots p_k$ is the factorization over \mathbb{R} of the content of f , and $f_1 f_2 \cdots f_r$ is the factorization over $\mathbb{F}[x]$ of the primitive part of f .

As a corollary of Theorem ??, since $\mathbb{R}[x]$ is a UFD, any two elements of $\mathbb{R}[x]$ have a gcd. To make gcds in $\mathbb{R}[x]$ unique, we extend lu to $f \in \mathbb{R}[x]$ by $\text{lu}(f) = \text{lu}(\text{lc}(f))$. Then $f = \text{lu}(f) \cdot \text{normal}(f)$, where $\text{normal}(f)$ has a normalized leading coefficient from \mathbb{R} . As a corollary of Theorem ??, given primitive polynomials $f, g \in \mathbb{Z}[x]$, we know their gcd h over $\mathbb{Z}[x]$ will also be primitive, and we can compute h by passing over $\mathbb{Q}[x]$ as follows:

$$h := \underset{\mathbb{Z}[x]}{\text{gcd}}(f, g) = \underset{\mathbb{Q}[x]}{\text{pp}}(\underset{\mathbb{Q}[x]}{\text{gcd}}(f, g)) \tag{1}$$

The following algorithm modifies this recipe slightly by first scaling the gcd over $\mathbb{Q}[x]$, which may have rational number coefficients, by $\text{gcd}(\text{lc}(f), \text{lc}(g))$, which is guaranteed to clear the denominators.

$$h := \underset{\mathbb{Z}[x]}{\text{gcd}}(f, g) = \underset{\mathbb{Z}}{\text{pp}}(\overbrace{\underset{\mathbb{Z}}{\text{gcd}}(\text{lc}(f), \text{lc}(g)) \cdot \underset{\mathbb{Q}[x]}{\text{gcd}}(f, g)}^{\in \mathbb{Z}[x]}) \tag{2}$$

Note that (??) and (??) only hold when $\text{gcd}(f, g)$ is primitive. (A sufficient condition for $\text{gcd}(f, g)$ to be primitive is that at least one of f and g be primitive.) Also, since $\text{gcd}(\text{lc}(f), \text{lc}(g))$ may actually be a proper multiple of $\text{lc}(h)$, we still need to take the primitive part in (??).

Algorithm: PrimitiveGCD

Input: ▶ $f, g \in \mathbb{R}[x]$ where \mathbb{R} is a UFD and at least one of f and g is primitive.

Output: ▶ $\text{gcd}(f, g) \in \mathbb{R}[x]$

(1) Compute the monic gcd $v \in \mathbb{F}[x]$ of f and g over $\mathbb{F}[x]$, where \mathbb{F} is the field of fractions of \mathbb{R} .

(2) $b \leftarrow \text{gcd}(\text{lc}(f), \text{lc}(g))$

(3) Return $\text{pp}(bv) \in \mathbb{R}[x]$

Example 9.4. Let $f = 18x^3 - 42x^2 + 30x - 6 \in \mathbb{Z}[x]$ and $g = -12x^2 + 10x - 2 \in \mathbb{Z}[x]$. Then

$$f = \text{cont}(f) \cdot \text{pp}(f) = 6 \cdot (3x^3 - 7x^2 + 5x - 1)$$

and

$$g = \text{cont}(g) \cdot \text{pp}(g) = 2 \cdot (-6x^2 + 5x - 1).$$

Over $\mathbb{Q}[x]$ we have

$$\gcd_{\mathbb{Q}[x]}(f, g) = \gcd_{\mathbb{Q}[x]}(pp(f), pp(g)) = x - 1/3 \in \mathbb{Q}[x].$$

Over $\mathbb{Z}[x]$ we have

$$\gcd_{\mathbb{Z}[x]}(f, g) = \gcd_{\mathbb{Z}}(cont(f), cont(g)) \cdot \gcd_{\mathbb{Z}[x]}(pp(f), pp(g)) = 2 \cdot (3x - 1) \in \mathbb{Z}[x].$$

Note that $\gcd_{\mathbb{Z}[x]}(pp(f), pp(g))$ is equal to $pp(\gcd_{\mathbb{Q}[x]}(f, g))$.

9.2 The resultant

Our goal will be to develop a modular algorithm for computing gcds over $\mathbb{Z}[x]$. The approach will be to choose a prime p and compute the gcd over $\mathbb{Z}_p[x]$ of the modular images of the polynomials. If the modular gcd is indeed an image of the gcd over $\mathbb{Z}[x]$, then the gcd over $\mathbb{Z}[x]$ can be recovered provided the prime p is large enough to capture the coefficients. But some primes are *bad*. The following example illustrates some subtleties with the approach.

Example 9.5. Consider $f = 3x^3 + 3x - x^2 - 1$ and $g = 3x^2 + 5x - 2$ over $\mathbb{Z}[x]$. These are primitive polynomials with $h = \gcd(f, g) = 3x - 1 \in \mathbb{Z}[x]$. Consider the gcd of the modular images of f and g for the primes 3, 5 and 7.

$$\begin{aligned} \gcd(f \bmod 3, g \bmod 3) &= 1 \text{ degree is too small} \\ \gcd(f \bmod 5, g \bmod 5) &= x^2 + 1 \text{ degree is too large} \\ \gcd(f \bmod 7, g \bmod 7) &= x + 2 \text{ degree is correct} \end{aligned}$$

If we multiply the monic gcd modulo 7 by the leading coefficient of the gcd over $\mathbb{Z}[x]$, and reduce in the symmetric range modulo 7, we obtain $3x + 6 \equiv 3x - 1 \pmod{7}$.

As the last example illustrated, not all primes p are good primes in the sense that the gcd of the modular images of the polynomials may not be equal to the modular image of $h/\text{lc}(h)$, where h is the gcd over \mathbb{Z} .

To get a handle on the bad primes we need to introduce the concept of the resultant. Let $f, g \in \mathbb{F}[x]$ be nonzero, $n = \deg f$, $m = \deg g$. Then $(-g)f + (f)g = 0$, but if we restrict the degrees of s and t in the equation $(s)f + (t)g = 0$, then the following lemma gives an interesting relationship between the existence of a solution to $sf + tg = 0$ and the existence of a nontrivial gcd of f and g .

Lemma 9.6. $\gcd(f, g) \neq 1$ iff there exist nonzero $s, t \in \mathbb{F}[x]$ such that $sf + tg = 0$ with $\deg s < \deg g$ and $\deg t < \deg f$.

Proof. (Only If) Suppose $\deg h = \deg \gcd(f, g) > 1$. Then we can choose $s = -g/h$ and $t = f/h$. (If) Assume $sf + tg = 0$ with $\gcd(f, g) = 1$ and $\deg t < \deg f$. Then $sf = -tg$ and $f \mid t$, which is impossible if $\deg t < \deg f$. □

By convention, if $n = m = 0$ then $\text{Syl}(f, g)$ is the 0×0 matrix and $\text{res}(f, g) = 1$. Also, $\text{res}(f, 0) = \text{res}(0, f) = 0$ if $f = 0$ or f is nonconstant.

Corollary 9.10. *Let $f, g \in F[x]$. Then $\text{gcd}(f, g) = 1$ iff $\text{res}(f, g) \neq 0$.*

Example 9.11. *Let $f = 3x^3 - x^2 + 3x - 1$ and $g = 3x^2 + 5x - 2$. Then $h = \text{gcd}(f, g) = 3x - 1 \in \mathbb{Z}[x]$. Since $\deg h > 0$ we have $\text{res}(f, g) \neq 0$, but*

$$\text{res}(f/h, g/h) = \text{res}(x^2 + 1, x + 2) = \det \text{Syl}(f, g) = \begin{vmatrix} 1 & 1 \\ 0 & 2 & 1 \\ 1 & & 2 \end{vmatrix} = 5.$$

So far, all discussion regarding $\text{Syl}(f, g)$ and $\text{res}(f, g)$ assumed f and g had coefficient from a field F . The case $F[x]$ is mathematically simpler because we can use the language of vector spaces over fields for the description of the linear map given by $\text{Syl}(f, g)$. In particular, $\text{Syl}(f, g)$ is an isomorphism iff $\text{Syl}(f, g)$ is invertible iff $\det \text{Syl}(f, g) = \text{res}(f, g) \neq 0$ iff there exist unique s and t in $F[x]$ with $sf + tg = 1$, $\deg s < \deg g$, $\deg t < \deg f$. The following is a continuation of the previous example.

Example 9.12. *Let $f = x^2 + 1$ and $g = x + 2$. Define $s := s_0$ and $t := t_1x + t_0$, so that $\deg s < \deg g$ and $\deg t < \deg f$. Considering f and g to live over $\mathbb{Q}[x]$, then the unique solution to $sf + tg = 1$ is given by*

$$\begin{bmatrix} s_0 \\ t_1 \\ t_0 \end{bmatrix} = \overbrace{\begin{bmatrix} 4/5 & -2/5 & 1/5 \\ 1/5 & 2/5 & -1/5 \\ -2/5 & 1/5 & 2/5 \end{bmatrix}}^{\text{Syl}(f, g)^{-1}} \begin{bmatrix} 0 \\ 0 \\ 1 \end{bmatrix}.$$

Indeed, we have

$$\overbrace{\left(\frac{1}{5}\right)}^s (x^2 + 1) + \overbrace{\left(\frac{-1}{5}x + \frac{2}{5}\right)}^t (x + 2) = 1.$$

But if $f, g \in R[x]$, R a UFD, then $\text{Syl}(f, g)$ and $\text{res}(f, g)$ are well defined over R , and $\text{res}(f, g)$ can tell us something about the degree of $\text{gcd}(f, g)$ over R .

Corollary 9.13. *Let $f, g \in R[x]$ be nonzero, R a UFD. Then $\text{gcd}(f, g)$ is nonconstant in $R[x]$ iff $\text{res}(f, g) = 0 \in R$.*

The following theorem will provide the basis for our modular gcd algorithm over $\mathbb{Z}[x]$.

Theorem 9.14. *Let $f, g \in \mathbb{Z}[x]$. Suppose a prime p does not divide $b := \text{gcd}(lc(f), lc(g))$. Then*

- (i) $lc(\text{gcd}_{\mathbb{Z}}(f, g)) \mid b$
- (ii) $\deg(\text{gcd}_{\mathbb{Z}_p[x]}(f \bmod p, g \bmod p)) \geq \text{gcd}_{\mathbb{Z}[x]}(f, g)$

$$\begin{aligned}
 \text{(iii) } \deg \gcd_{\mathbb{Z}_p[x]}(f \bmod p, g \bmod p) &= \deg(\gcd_{\mathbb{Z}[x]}(f, g)) \\
 \iff \underset{\mathbb{Z}[x]}{\text{lc}(\gcd(f, g))} \cdot \underset{\mathbb{Z}_p[x]}{\gcd(f \bmod p, g \bmod p)} &\equiv \underset{\mathbb{Z}[x]}{\gcd(f, g)} \pmod{p} \\
 \iff p \text{ does not divide } \text{res}(f/h, g/h) &\in \mathbb{Z}.
 \end{aligned}$$

Example 9.15. Consider $f = 3x^3 + 3x - x^2 - 1$, $g = 3x^2 + 5x - 2$ and $h = \gcd(f, g) = 3x - 1 \in \mathbb{Z}[x]$ from Example ???. We have $b := \gcd(\text{lc}(f), \text{lc}(g)) = 3$, so a priori we can infer nothing about $\deg \gcd(f \bmod 3, g \bmod 3)$ relative to $\deg h$. Since $\text{res}(f/h, g/h) = 5$, we know that $\deg \gcd(f \bmod 5, g \bmod 5) > \deg h$. Since 7 does not divide $\text{res}(f, g)$, we know that $\deg \gcd(f \bmod 7, g \bmod 7) = \deg \gcd(f, g)$, and, moreover, that $\gcd(f \bmod 7, g \bmod 7) \in \mathbb{Z}_p[x]$ will be the image of $h/\text{lc}(h)$ modulo 7.

The idea for a modular algorithm to compute $\gcd(f, g)$ is now clear. Choose a prime p such that

- p does not divide $b := \gcd(\text{lc}(f), \text{lc}(g))$,
- p hopefully does not divide $\text{res}(f/h, g/h)$, and
- coefficients of $(b/\alpha) \gcd(f, g)$ can be captured in the symmetric range modulo p .

To fill in the details we need to have a handle on the size of coefficients of factors of a polynomial over $\mathbb{Z}[x]$. Recall that $f = f_0 + f_1x + \dots + f_nx^n \in \mathbb{Z}[x]$ we have the following norms:

- $\|f\|_\infty = \max_i |f_i|$,
- $\|f\|_1 = \sum_i |f_i|$.

Theorem 9.16. Suppose $f, g, h \in \mathbb{Z}[x]$ with $f = gh$ and $\deg f = n$. Then

- (i) $\|h\|_\infty \leq (n + 1)^{1/2} 2^n \|f\|_\infty$
- (ii) $\|g\|_\infty \|h\|_\infty \leq \|g\|_1 \|h\|_1 \leq (n + 1)^{1/2} 2^n \|f\|_\infty$

What about the size of $\text{res}(f/h, g/h)$? The following bound, based on the above bound for the magnitudes of coefficients of an integer polynomial, and Hadamard’s bound for the determinant, but taking into account the structure of $\text{Syl}(f/h, g/h)$, at least gives us a bound on the magnitude of the product of all bad primes, that is, those primes that divide $\text{res}(f/h, g/h)$.

Lemma 9.17. Let $f, g \in \mathbb{Z}[x]$, $n = \deg f \geq \deg g \geq 1$. Let $\|f\|_\infty, \|g\|_\infty \leq A$. Then

$$|\text{res}(f/h, g/h)| \leq (n + 1)^n A^{2n}.$$

The following example illustrates that it would be too expensive to choose primes that are large enough to guarantee they don’t divide $\text{res}(f, g)$.

Example 9.18. Let $f, g \in \mathbb{Z}[x]$ have degrees bounded by $n = 1000$ and max-norm bounded by 10^3 . Then

- Theorem ?? gives the a priori bound $\|\gcd(f, g)\|_\infty \leq 10^{305}$.
- Lemma ?? gives the bound $|\text{res}(f/h, g/h)| \leq 10^{9001}$

9.3 A big prime modular gcd algorithm

Instead, the following algorithm chooses a random prime that is large enough to capture the coefficient of $\gcd(f, g)$, but then checks that a correct image was computed in step (4).

Algorithm: ModularGCD

Input: ▶ Primitive $f, g \in \mathbb{Z}[x]$, $n = \max(\deg f, \deg g)$, $A = \max(\|f\|_\infty, \|g\|_\infty)$

Output: ▶ $\gcd(f, g) \in \mathbb{Z}[x]$

(1) $b \leftarrow \gcd(\text{lc}(f), \text{lc}(g))$

$$B \leftarrow (n + 1)^{1/2} 2^n A b$$

(2) Choose a random prime p with $2B < p \leq 4B$.

$$v \leftarrow \gcd(f \bmod p, g \bmod p)$$

(3) Compute $w, f^*, g^* \in \mathbb{Z}[x]$ with max-norm $< p/2$ such that

$$w \equiv bv \pmod{p}, \quad f^* w \equiv bf \pmod{p}, \quad g^* w \equiv bg \pmod{p}$$

(4) If $\|f^*\|_1 \|w\|_1 \leq B$ and $\|g^*\|_1 \|w\|_1 \leq B$ then return $\text{pp}(w)$

Else goto (2)

We will not prove it here, but mention that it can be shown rigorously that the random prime chosen in step (2) will divide $\text{res}(f/h, g/h)$ with probably at most $1/2$. In other words, less than half the primes (in the worst case) in the range $2B < p \leq 4B$ will divide $\text{res}(f/h, g/h)$. It follows that the expected running time of the algorithm is at most two iterations.

Example 9.19. Consider $f = 3x^3 - x^2 + 3x - 1$ and $g = 3x^2 + 5x - 2$, both primitive polynomials.

1. We get $b = 3$ and $B = 240$. Note that B will always be large enough that any prime $> 2B$ will necessarily not divide either of the leading coefficients of f or g .
2. We choose the prime $p = 487$ and compute

$$v = \gcd(f \bmod p, g \bmod p) = x + 162.$$

3. Here we obtain $w = 3x - 1$ and

$$\overbrace{(3x^2 + 3)}^{f^*} \overbrace{(3x - 1)}^w \equiv \overbrace{9x^3 - 3x^2 + 9x - 3}^{bf} \pmod{p}, \quad \overbrace{(3x + 6)}^{g^*} \overbrace{(3x - 1)}^w \equiv \overbrace{9x^2 + 15x - 6}^{bg} \pmod{p}$$

4. Now, to verify correctness of the computed image w , we need to check that the congruences in step (3) actually hold without the mod. One way to do this is to do a multiplication over $\mathbb{Z}[x]$. Instead, the algorithm computes the a priori bound $\|f^* w\|_\infty \leq \|f^*\|_1 \|w\|_1$ to check if the product $f^* g$ over $\mathbb{Z}[x]$ is such that all coefficients of $f^* g$ don't change when reduced modulo p in the symmetric range; if this is the case, then $f^* w = bf$ over $\mathbb{Z}[x]$ and w is verified to be a factor of bf . Similar for bg .