

Lecture 14: Gröbner Bases and Buchberger's Algorithm

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Overview

- Problems with Division Algorithm & Hilbert Basis Theorem
- Gröbner Basis
- Buchberger's Algorithm
- Conclusion
- Acknowledgements

Issues with Division Algorithm

- What properties would we want from a division algorithm?
 - ① remainder should be *uniquely determined*
 - ② ordering shouldn't really matter (especially since we are trying to use it to solve ideal membership problem)
 - ③ univariate division algorithm solves ideal membership problem - so our division algorithm should also solve it

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- The main problem is due to the fact that for some generators of an ideal, we are *missing important leading monomials*
- Example: $f_1 = x^3 - 2xy$ and $f_2 = x^2y - 2y^2 + x$ and $x^2 \in (f_1, f_2)$

$$\begin{aligned} - f_1 y + f_2 x &= \cancel{x^3 y} - \cancel{2xy^2} + x^2 - \cancel{x^3 y} + \cancel{2xy^2} \\ &= x^2 \end{aligned}$$

$$f_1 = x^3 - 2xy$$

$$f_2 = x^2y - 2y^2 + x$$

$$g = x^2$$

lex

$$q_1 = 0$$

$$q_2 = 0$$

$$\underline{x^3 - 2xy}$$

$$\underline{x^2y - 2y^2 + x}$$

$$\left[\begin{array}{l} x^2 \end{array} \right]$$

$$\begin{aligned} g &= f_1 \cdot 0 + f_2 \cdot 0 + x^2 \\ &= f_2 \cdot 0 + f_1 \cdot 0 + x^2 \end{aligned}$$

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- The “fix” for this division algorithm is to find a *good basis* for the ideal generated by F_1, \dots, F_s - the so-called Gröbner basis
- **Property:** a Gröbner basis is one which contains all the *important leading monomials*

Ideal of Leading Terms & Hilbert Basis Theorem

$$\bar{x} = (x_1, \dots, x_n)$$

- Given ideal $I \subseteq \mathbb{F}[x]$ and a monomial ordering $>$, let:

- $LT(I)$ be the set of all leading terms of nonzero elements of I
- $LM(I)$ be the monomial ideal generated by $LT(I)$

Moto: no leading monomial left behind

$$LT(I) := \{ LT(f) \mid f \in I \}$$

$$LM(I) := (LT(I))$$

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- By previous slide, we also know that given a generating set for I , it could be the case that the leading terms of the generators are *strictly contained* in $LT(I)$

$$f_1 = x^3 - 2xy \quad f_2 = x^2y - 2y^2 + x$$

$$\underbrace{LM((f_1, f_2))}_{\cup x^2} \neq \underbrace{(LT(f_1), LT(f_2))}_{(x^3, x^2y)} \quad x^2 \in (f_1, f_2)$$

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- Now we are ready to prove Hilbert's basis theorem:
 - Let $I \subseteq \mathbb{F}[\mathbf{x}]$ be an ideal

Hilbert Basis theorem: $\mathbb{F}[x_1, \dots, x_n]$
all ideals are finitely generated!

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 - Let $I \subseteq \mathbb{F}[\mathbf{x}]$ be an ideal
 - By Dickson's lemma, $LM(I)$ is finitely generated
 - Let $g_1, \dots, g_s \in I$ such that $LM(I) = (LM(g_1), \dots, LM(g_s))$

$$(g_1, \dots, g_s) \subset I$$

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 - By Dickson's lemma, $LM(I)$ is finitely generated
 - Let $g_1, \dots, g_s \in I$ such that $LM(I) = (LM(g_1), \dots, LM(g_s))$
 - The division algorithm from last lecture shows that $I \subseteq (g_1, \dots, g_s)$

Note that for any $f \in I$ we have that $LM(f) \in LM(I) = (LM(g_1), \dots, LM(g_s))$.
- So long as f is nonzero and in I we will be able to divide, and remainder will be zero. Since the division algorithm always terminates, we will end up with remainder zero!

$$f \in I \quad (g_1, \dots, g_s)$$

$$\Rightarrow \text{LT}(f) \in (\underline{\text{LM}(g_1)}, \dots, \underline{\text{LM}(g_s)}) \quad (*)$$

\Rightarrow $\exists h_1, \dots, h_s$ s.t.

division
algorithm

$$\rightarrow \underline{f - h_1 g_1 - h_2 g_2 - \dots - h_s g_s} \in I$$

and $\text{LT}(f - h_1 g_1 - h_2 g_2 - \dots - h_s g_s)$
 $\leftarrow \text{LT}(f)$

\Rightarrow (by $(*)$) we will never add to remainder


\Rightarrow when division algorithm terminates
must have \emptyset remainder.

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Gröbner Basis

- From the proof of Hilbert Basis Theorem, we saw the *existence* of a very special generating set of our ideal.
- The main property of the special generating set was that the *leading monomials of generating set generate the ideal $LM(I)$*

no leading monomial left behind

¹This was also independently discovered by Hironaka, who termed these bases “standard bases” and used them for ideals in power series rings 

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- **Definition:** A Gröbner basis of an ideal is a generating set which has the property above.¹
- A first property of Groebner Bases is *uniqueness of remainder* in the division algorithm. More precisely: if $G = \{g_1, \dots, g_s\}$ is a Groebner basis for I , then given $f \in \mathbb{F}[\mathbf{x}]$ there is a unique $r \in \mathbb{F}[\mathbf{x}]$ with the following properties:
 - 1 no term of r is divisible by any $LM(g_i)$
 - 2 there is $g \in I$ such that $f = g + r$

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- Uniqueness comes from fact that if r, r' are remainders, then $r - r' \in I \Rightarrow r = r'$ by division algorithm

$$\begin{aligned} f &= g + r \\ &= g' + r' \end{aligned}$$

$$\underline{r - r'} = \underline{g' - g} \in I$$

\Rightarrow division
 G 0 remainders.

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Algorithmic Questions Around Groebner Bases

- Now that we know how important Groebner bases are, two questions come to mind:
 - ① When do we know that a basis is a Groebner Basis?
 - ② Given an ideal, how can we construct a Groebner basis of this ideal?

① recognize when basis is
Groebner basis?

② can we construct one?

²This name is a shortening for “syzygy polynomials” since they are syzygies over the monomial ideal.

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 - 1 When do we know that a basis is a Groebner Basis?
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- To deal with the first question, we have the following definition:

S-polynomial:² given two polynomials $f, g \in \mathbb{F}[x]$, let $\underline{x^\gamma} = \underline{LCM(LM(f), LM(g))}$. Then, the S-polynomial of f, g is

$$S(f, g) := \frac{x^\gamma}{LT(f)} \cdot f - \frac{x^\gamma}{LT(g)} \cdot g$$

S-polynomials they "cancel" the leading terms of f, g

$f_1 = x^3 - 2xy$ $f_2 = x^2y - 2y^2 + x$

$LCM(x^3, x^2y) = x^3y$

$$\frac{x^3y}{x^3} f_1 - \frac{x^3y}{x^2y} \cdot f_2 = yf_1 - xf_2 = x^2$$

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- Example: $f = x^3y^2 - x^2y^3$ and $g = 3x^4y + y^2$ in $\mathbb{Q}[\mathbf{x}]$ with the graded lexicographic order.

$$\begin{aligned} \text{LCM}(x^3y^2, x^4y) &= x^4y^2 \\ &= x(x^3y^2 - x^2y^3) - \frac{y}{3}(3x^4y + y^2) = -x^3y^3 - \frac{y^3}{3} \end{aligned}$$

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- Example: $f = x^3y^2 - x^2y^3$ and $g = 3x^4y + y^2$ in $\mathbb{Q}[\mathbf{x}]$ with the graded lexicographic order.
- S-polynomials are designed to produce cancellations of leading terms.

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How Cancellation Happens: S-polynomial lemma

- Next lemma shows that every cancellation of leading terms amongst polynomials of same degree happen *because of S-polynomial*
- **Lemma:** If we have a sum $p_1 + \dots + p_s$ where $\text{mdeg}(p_i) = \delta \in \mathbb{N}^n$ for all $i \in [s]$ such that $\text{mdeg}(p_1 + \dots + p_s) < \delta$, then $p_1 + \dots + p_s$ is a linear combination, with coefficients in \mathbb{F} , of the S-polynomials $S(p_i, p_j)$, where $i, j \in [s]$

leading term
got cancelled.

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 - ① Let $c_i = LC(p_i)$, so $c_i \cdot \mathbf{x}^\delta = LT(p_i)$

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 - ② $\text{mdeg}(p_1 + \dots + p_s) < \delta \Rightarrow \underline{c_1 + \dots + c_s = 0}$

$$(p_1 + \dots + p_s)_\delta = c_1 x^\delta + c_2 x^\delta + \dots + c_s x^\delta = 0$$

$$\Rightarrow \underline{c_1 + c_2 + \dots + c_s = 0}$$

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 - 1 Let $c_i = LC(p_i)$, so $c_i \cdot \mathbf{x}^\delta = LT(p_i)$
 - 2 $\text{mdeg}(p_1 + \dots + p_s) < \delta \Rightarrow c_1 + \dots + c_s = 0$
 - 3 Since p_i, p_j have same leading monomial $LCM(x^\delta, x^\delta) = x^\delta$

$$\rightarrow S(p_i, p_j) = \frac{1}{c_i} p_i - \frac{1}{c_j} p_j$$

$$S(p_i, p_j) = \frac{x^\delta}{\underbrace{LC(p_i)}_{c_i x^\delta}} p_i - \frac{x^\delta}{\underbrace{LC(p_j)}_{c_j x^\delta}} p_j$$

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 - Let $c_i = LC(p_i)$, so $c_i \cdot \mathbf{x}^\delta = LT(p_i)$
 - $\text{mdeg}(p_1 + \dots + p_s) < \delta \Rightarrow \boxed{c_1 + \dots + c_s = 0}$ ←
 - Since p_i, p_j have same leading monomial

$$S(p_i, p_j) = \frac{1}{c_i} p_i - \frac{1}{c_j} p_j$$

- Thus, by using (2)

$$\sum_{i=1}^{s-1} c_i \left(\frac{1}{c_i} p_i - \frac{1}{c_s} p_s \right) = \sum_{i=1}^{s-1} p_i - p_s \frac{\overbrace{c_1 + \dots + c_{s-1}}^{-\frac{c_s}{c_s}}}{c_s}$$

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- ④ Thus, by using (2)

$$\sum_{i=1}^{s-1} c_i \cdot \underline{S(p_i, p_s)} = p_1 + \dots + p_s$$

- ⑤ note that $\text{mdeg}(S(p_i, p_j)) < \delta$ *m degree decreasing!*

Buchberger's Criterion

- Now that we are acquainted with S-polynomials and how cancellations happen, we can state Buchberger's criterion:

Let $I \subseteq \mathbb{F}[x]$ be an ideal. Then a basis $G = \{g_1, \dots, g_s\}$ of I is a Groebner basis of I if, and only if, for all pairs $i \neq j$, the remainder on division of $S(g_i, g_j)$ by G is zero.

$I = \langle f_1, \dots, f_s \rangle$

$S(f_i, f_j)$ divide by $\langle f_1, \dots, f_s \rangle$

using division algorithm

if all remainders are zero

then $\{f_1, \dots, f_s\}$ is Groebner basis.

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- (\Rightarrow) if G is a Groebner basis, then $S(g_i, g_j) \in I \Rightarrow$ remainder of division by G is zero by previous slides.

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- (\Rightarrow) if G is a Groebner basis, then $S(g_i, g_j) \in I \Rightarrow$ remainder of division by G is zero by previous slides.
- (\Leftarrow) need to prove that for any $f \in I$, we have that

$$\underline{LT(f)} \in \underline{(LT(g_1), \dots, LT(g_s))} = \underline{LM(I)}$$

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- (\Rightarrow) if G is a Groebner basis, then $S(g_i, g_j) \in I \Rightarrow$ remainder of division by G is zero by previous slides.
- (\Leftarrow) need to prove that for any $f \in I$, we have that

$$LT(f) \in (LT(g_1), \dots, LT(g_s))$$

- $f \in I = (g_1, \dots, g_s)$ (as G is a generating set)

$$f = \underline{g_1}h_1 + \dots + g_s h_s$$

where $mdeg(f)$ $\leq \max_i(mdeg(g_i h_i))$

in the most efficient way

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- Strategy: let's pick *most efficient representation* of f

Proof of Buchberger's Criterion

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- Take representation of *lowest ~~mu~~ multidegree*, that is, one for which

$$\underline{\delta} := \max_i(\text{mdeg}(g_i h_i)) \quad \text{is minimum}$$

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- $f \in I = (g_1, \dots, g_s)$ (as G is a generating set)

$$\text{mdeg}(f) = x^\gamma$$

$$f = \underbrace{g_1 h_1} + \dots + \underbrace{g_s h_s}$$

$$x^\gamma \leq \text{LM}(g_i h_i)$$

where $\text{mdeg}(f) \leq \max_i(\text{mdeg}(g_i h_i))$

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- In particular, $\text{mdeg}(f) \leq \delta$
- If $\text{mdeg}(f) = \delta$, then there is some $i \in [s]$ such that

$$\text{mdeg}(f) = \text{mdeg}(g_i h_i) \Rightarrow \text{LM}(f) \in (\text{LM}(g_1), \dots, \text{LM}(g_s))$$

$$\begin{array}{c} x^\sigma \\ \sigma = \sigma_i + \nu_i \Rightarrow x^{\sigma_i} \mid x^\sigma \end{array}$$

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- If $\text{mdeg}(f) = \delta$, then there is some $i \in [s]$ such that


$$\text{mdeg}(f) = \text{mdeg}(g_i h_i) \Rightarrow LM(f) \in (LM(g_1), \dots, LM(g_s))$$

- So need to see what happens when $\delta > \text{mdeg}(f)$

Proof of Buchberger's Criterion


- We are now in case: $\text{mdeg}(f) < \delta$
- In this case we will use the fact that $\underline{S(g_i, g_j)}^G = \underline{0^3}$ to obtain another expression of $f \in I$ with smaller δ

$f^G = 0$ f divided by $\langle g_1, \dots, g_s \rangle$
has zero remainder.

³This is a short-hand notation to say that the division by G is zero 

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$$f = g_1 h_1 + \dots + g_s h_s$$

$$\boxed{\text{mdeg}(g_i h_i) = \delta}$$

$$f = \underbrace{[g_1 h_1 + \dots + g_s h_s]_\delta} + \sum_{\delta < \delta} [g_1 h_1 + \dots + g_s h_s]_\delta$$

$$LT(h_1) LT(g_1) + \dots + LT(g_s) LT(h_s) \quad \text{< } LT(h_i)$$


$$= \underbrace{LT(h_1) g_1 + \dots + LT(h_s) g_s}_{\text{each polynomial has mdeg} = \delta} + \sum_{i=1}^s \underbrace{(h_i - LT(h_i)) g_i}_{\text{mdeg} < \delta}$$

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- Let's isolate part of highest multi-degree:
- $\text{mdeg}(f) < \delta \Rightarrow$ component of multi-degree δ must vanish
- Now we use our lemma over $LT(h_1) \cdot g_1 + \dots + LT(h_s) \cdot g_s$ to decrease its multi-degree via S-polynomials

$$LT(h_i)g_i = p_i \quad \text{mdeg}(p_i) = \delta$$


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- Let $p_i = LT(h_i) \cdot g_i$. From your homework, we know

$$S(p_i, p_j) = \mathbf{x}^{\delta - \gamma_{ij}} \cdot \underline{S(g_i, g_j)}$$

where $\gamma_{ij} = \text{LCM}(\text{LM}(g_i), \text{LM}(g_j))$

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$$\bullet \underline{S(g_i, g_j)^G = 0} \Rightarrow \underline{S(g_i, g_j)} = \underline{A_1 g_1} + \dots + \underline{A_s g_s}$$

$$\underline{\text{mdeg}(A_i g_i)} \leq \underline{\text{mdeg}(S(g_i, g_j))}$$

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Proof of Buchberger's Criterion

- $S(g_i, g_j)^G = 0 \Rightarrow S(g_i, g_j) = A_1g_1 + \cdots + A_sg_s$
 $\text{mdeg}(A_i g_i) \leq \text{mdeg}(S(g_i, g_j))$

Proof of Buchberger's Criterion

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$$\text{mdeg}(A_i g_i) \leq \text{mdeg}(S(g_i, g_j))$$

- Multiplying above by $\mathbf{x}^{\delta - \gamma_{ij}}$

$$\underline{S(p_i, p_j)} = \mathbf{x}^{\delta - \gamma_{ij}} \cdot \underline{S(g_i, g_j)} = \underline{B_1 g_1} + \cdots + \underline{B_s g_s}$$

$$B_k = \mathbf{x}^{\delta - \gamma_{ij}} \cdot A_k$$

Proof of Buchberger's Criterion

- $S(g_i, g_j)^G = 0 \Rightarrow S(g_i, g_j) = A_1 g_1 + \dots + A_s g_s$

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$$\underline{S(p_i, p_j)} = \mathbf{x}^{\delta - \gamma_{ij}} \cdot S(g_i, g_j) = B_1 g_1 + \dots + B_s g_s$$

- When $B_i g_i \neq 0$ by the first bullet

$$\underline{\text{mdeg}(B_i g_i)} \leq \text{mdeg}(\underline{\mathbf{x}^{\delta - \gamma_{ij}} \cdot \underline{S(g_i, g_j)}}) < \underline{\delta}$$

by property of S-polynomials

$$\text{mdeg}(A_i g_i)$$

$$\text{mdeg}(S(p_i, p_j)) < \delta$$

Proof of Buchberger's Criterion

- $S(g_i, g_j)^G = 0 \Rightarrow S(g_i, g_j) = A_1 g_1 + \dots + A_s g_s$

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$$\text{mdeg}(B_i g_i) \leq \text{mdeg}(\mathbf{x}^{\delta - \gamma_{ij}} \cdot S(g_i, g_j)) < \delta$$

by property of S-polynomials

- By our S-polynomial lemma, we have

$$\boxed{\sum_{i=1}^s LT(h_i) \cdot g_i} = \sum_{i \neq j} a_{ij} \cdot \underbrace{S(p_i, p_j)}_{\text{mdeg} < \delta} = \boxed{C_1 g_1 + \dots + C_s g_s} \quad \text{mdeg} < \delta$$

where $\text{mdeg}(C_i g_i) < \delta$

Proof of Buchberger's Criterion

$$f = \underbrace{\sum \text{LT}(h_i) g_i}_{\text{mdug } \delta} + \text{sum of stuff mdug } < \delta$$

//

$$f = \underbrace{\sum c_i g_i}_{\text{mdug } < \delta} + \underbrace{\text{sum of stuff mdug } < \delta}_{\sum E: g_i}$$

contradicts minimality of δ

Example: twisted cubic

- Let $G = \{y - x^2, z - x^3\}$ with monomial order $y > z > x$

- Problems with Division Algorithm & Hilbert Basis Theorem
- Gröbner Basis
- Buchberger's Algorithm
- Conclusion
- Acknowledgements

Buchberger's Algorithm

- From Buchberger's criterion, we can devise a natural algorithm to compute Groebner bases:
- **Input:** $I = (f_1, \dots, f_s)$
- **Output:** Groebner basis G for I

⁴Or the ascending chain condition on the monomial ideal $LT(I)$, for the fancy language ones

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$$S_{ij}^G \neq 0$$

add S_{ij} to G

- 3 Once all $S_{ij}^G = 0$ then return G

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- Algorithm will terminate because of Dickson's lemma!⁴

$S^G \neq 0$
 \Rightarrow remainder of S
by G S^G
 $LM(S^G) \notin$
 $(LM(f_1), \dots, LM(f_s))$

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$$(\text{LM}(f_1), \dots, \text{LM}(f_s)) \neq \text{LM}(S^G)$$

$$\Rightarrow (\text{LM}(f_1), \dots, \text{LM}(f_s)) \subsetneq (\text{LM}(f_1), \dots, \text{LM}(f_s), \text{LM}(S^G))$$

every time we add a new S-polynomial
we are strictly increasing the
monomial ideal

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- ③ Once all $S_{ij}^G = 0$ then return G
- Buchberger's criterion shows that this algorithm always returns a Groebner basis!
 - Algorithm will terminate because of Dickson's lemma!⁴
 - Thus, computing Groebner basis is decidable!

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Reduced Groebner Basis

- Of all Groebner bases for an ideal I , one is special. What makes it special are the following:
 - $LC(p) = 1$ for all $p \in G$
 - For all $p \in G$, no monomial of p lies in $(LT(G) \setminus \{p\})$

$$G = \{p_1, \dots, p_n\}$$

$$LC(p_i) = \underline{1}$$

$$p_i \stackrel{G \setminus p_i}{\sim}$$

$$p_i \mapsto \frac{p_i}{LC(p_i)}$$

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- These are so-called **reduced Groebner bases**
- Practice problem: prove that a reduced Groebner basis is *unique*.
- Why would we want uniqueness?
 - used to test whether two ideals are the same ideal! ✓
 - nice “canonical” basis for the ideal (w.r.t. monomial ordering)

Applications of Groebner Bases

- Solution to *Ideal Membership Problem*:

Given f, I , simply compute Groebner basis G of I and

$$f \in I \Leftrightarrow f^G = 0$$

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 - Now this is just like doing Gaussian Elimination!

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- Solve the system just like you would solve a linear system:

$$\left(\begin{array}{cccc|c} \textcircled{1} & 0 & 0 & & \\ 0 & \textcircled{1} & & & \\ \vdots & \vdots & \textcircled{1} & & \\ 0 & 0 & \vdots & & \\ & & & \textcircled{1} & \\ & & & & \vdots \\ & & & & 0 \end{array} \right) \begin{array}{c} b \\ 0 \end{array}$$

\uparrow \uparrow
 x t

$$\boxed{x = b - t}$$

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 - Example: $I = (x^2 + y^2 + z^2 - 1, x^2 + z^2 - y, x - z)$

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- Groebner basis for the above ideal

$$G = \{ \underline{x - z}, \underline{y - 2z^2}, \underline{z^4 + (1/2)z^2 - 1/4} \}$$

univariate in z

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- z is determined by last equation
- propagate solution by “going up” the other equations!

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Conclusion

- Today we learned about Groebner bases and their main property
- This “fixes” all the problems that we had with our division algorithm
- Proved Hilbert Basis Theorem
- Proved Buchberger’s criterion, which allows us to test whether a basis is a Groebner basis
- Proved decidability of finding Groebner basis for any ideal
- Used Groebner bases to solve *ideal membership problem* and *system of polynomial equations*
- If anyone would like to present the refinement on Buchberger’s Algorithms from CLO 2.10, ~~then give bonus homework points~~

could be great final project
(references there)

Acknowledgement

- Lecture based entirely on the book by CLO: Ideals, varieties and algorithms (see course webpage for a copy - or get online version through UW library)