

# Two signature-based variants of Buchberger's algorithm for Gröbner bases over principal ideal domains

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# Gröbner bases

$$\mathbf{X}^{\mathbf{a}} = X_1^{a_1} \cdots X_n^{a_n}$$

- ▶ Valuable tool for many questions related to polynomial equations (solving, elimination, dimension of the solutions...)
- ▶ Classically used for polynomials over fields
- ▶ Some applications with coefficients in general rings (cryptography, number theory...)

Leading term, monomial, coefficient:  $R$  ring,  $A = R[X_1, \dots, X_n]$  with a monomial order  $<$

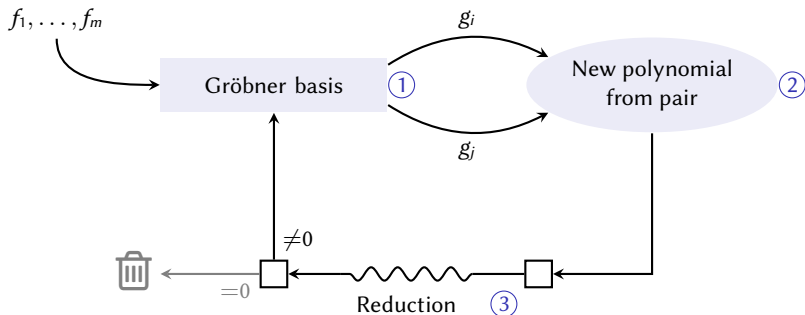
$$f = \underbrace{\text{lc}(f)}_c \cdot \underbrace{\text{lm}(f)}_{\mathbf{X}^{\mathbf{a}}} + \text{smaller terms}$$

## Definition (Weak/strong Gröbner basis)

$$G \subset I = \langle f_1, \dots, f_m \rangle$$

- ▶  $G$  is a **weak Gröbner basis**  $\iff \langle \text{lt}(f) : f \in I \rangle = \langle \text{lt}(g) : g \in G \rangle$
- ▶  $G$  is a **strong Gröbner basis**  $\iff$  for all  $f \in I$ ,  $f$  reduces to 0 modulo  $G$

**Strong  $\implies$  weak, and they are equivalent if  $R$  is a field**



1. **Selection:** different strategies

2. **Construction:** S-polynomials:  $S\text{-Pol}(g_i, g_j) = \frac{\text{lcm}(\text{lt}(g_i), \text{lt}(g_j))}{\text{lt}(g_i)} g_j - \frac{\text{lcm}(\text{lt}(g_i), \text{lt}(g_j))}{\text{lt}(g_j)} g_i$

3. **Reduction:** if  $\text{lt}(f) = t \text{lt}(g)$ ,  $f \rightarrow f - tg$

# Summary of Gröbner basis algorithms over rings

Two questions:

- ▶ How to compute S-polynomials?
- ▶ How to compute reductions?

Buchberger (1965)

Faugère: F4 (1999)

Field

⋮

Usual // Usual

Usual // Usual (linear algebra)

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Field	Buchberger (1965) Faugère: F4 (1999) ⋮	Usual // Usual Usual // Usual (linear algebra)
Euclidean ring	Kandri-Rody, Kapur (1988) Lichtblau (2012)	Usual and G-pols // Usual Usual or G-pols // Usual
Principal ideal domain	Möller strong (1988) Kandri-Rody, Kapur (1988) Pan (1989)	Usual // Usual with G-pol Usual and G-pols // Usual Usual or G-pols // Usual
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**This work:** signature variants of the algos of Kandri-Rody and Kapur, and of Pan/Lichtblau

## Why signatures?

Problem: : useless computations  $\longrightarrow$  

### Simple example

$$p = p_1f_1 + p_2f_2 + \cdots + p_mf_m$$

$$q = q_1f_1 + q_2f_2 + \cdots + q_mf_m$$

$$p - q = 0?$$



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$$= \text{lt}(p_k)\mathbf{e}_k + \text{smaller terms}$$

$$q = q_1f_1 + q_2f_2 + \cdots + q_mf_m$$

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$$= \text{lt}(p_k)\mathbf{e}_k + \text{smaller terms} \quad \text{if } \text{lt}(p_k)\mathbf{e}_k \succneq \text{lt}(q_l)\mathbf{e}_l$$

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$\text{sig}(p) = \text{signature of } p$

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## First ingredient: module term ordering

- ▶ Ideal:  $I = \langle f_1, \dots, f_m \rangle = \{f = p_1 f_1 + \dots + p_m f_m\} \subset A$
- ▶ Module:  $\mathcal{I} = \{\mathbf{f} = (p_1, \dots, p_m, f) : f = p_1 f_1 + \dots + p_m f_m\} \subset A^{m+1}$   
Module part    Polynomial part
- ▶  $\mathcal{I}$  is free with basis  $\{(\mathbf{e}_i, f_i) = (0, \dots, 1, \dots, 0, f_i) : i \in \{1 \dots m\}\}$

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## Definition: signatures

- ▶ Signature ordering: monomial ordering  $<$  on  $\text{Mon}(A^m) = \{\mu \mathbf{e}_i\}$
- ▶ Signature of  $\mathbf{f}$ : largest term  $t \mathbf{e}_i$  with  $t$  in the support of  $p_i$

## Examples:

- ▶  $\mu \mathbf{e}_i <_{\text{PoT}} \nu \mathbf{e}_j \iff i < j$ , or if equal,  $\mu < \nu$   
Position    over    Term
- ▶  $\mu \mathbf{e}_i <_{\text{ToP}} \nu \mathbf{e}_j \iff \mu < \nu$ , or if equal,  $i < j$   
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## Warning: $<$ is a partial order on terms

- ▶  $\mathbf{s} \simeq \mathbf{t} \iff$  incomparable or equal, it is an equivalence relation
- ▶  $\mathbf{s} \leq \mathbf{t} \iff \mathbf{s} < \mathbf{t}$  or  $\mathbf{s} \simeq \mathbf{t}$

## Second ingredient: s-reductions

**Notation:** leading terms, monomials, coefficients of elements of  $\mathcal{I}$  refer to the **polynomial part**

### Definition: s-reductions

$\mathbf{f}$  s-reduces to  $\mathbf{h}$  modulo  $\mathbf{g}$  if:

- ▶  $t\text{lt}(\mathbf{g}) = \text{lt}(\mathbf{f})$
- ▶  $\mathbf{h} = \mathbf{f} - t\mathbf{g}$
- ▶  $t\text{sig}(\mathbf{g}) \leq \text{sig}(\mathbf{f})$

### Properties

- ▶  $\text{lt}(\mathbf{h}) < \text{lt}(\mathbf{f})$
- ▶  $\text{sig}(\mathbf{h}) \leq \text{sig}(\mathbf{f})$

### Definition: signature Gröbner basis

$$\mathcal{G} \subset \mathcal{I} \subset A^{m+1}$$

- ▶  $\mathcal{G}$  is a signature (strong) Gröbner basis  $\iff$  for all  $\mathbf{f} \in \mathcal{I}$ ,  $\mathbf{f}$  s-reduces to 0 modulo  $\mathcal{G}$ .



## Third ingredient: regular operations

### Definition: regular operations

Consider the sum  $\mathbf{h} = \mathbf{f} + \mathbf{g}$  with  $\text{sig}(\mathbf{f}) \leq \text{sig}(\mathbf{g})$ .

- ▶ **Regular** operation  $\iff \text{sig}(\mathbf{f}) \preceq \text{sig}(\mathbf{g}) \longrightarrow \text{sig}(\mathbf{h}) = \text{sig}(\mathbf{g})$  ✓
- ▶ **Singular** operation  $\iff \text{sig}(\mathbf{f}) = -\text{sig}(\mathbf{g}) \longrightarrow \text{sig}(\mathbf{h}) \preceq \text{sig}(\mathbf{g})$  (discarded elements)

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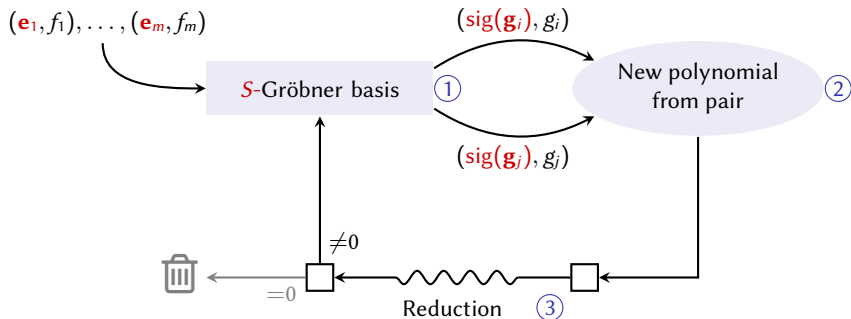
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Idea of the signature-based algorithms:

1. Pick next elements with smallest signature
2. Build new elements using **regular** S-polynomials
3. Only perform **regular** s-reductions

### Key properties

- ▶ **Signatures do not decrease**
- ▶ **Loop invariant:** at signature  $\mathbf{s}$ , all elements with  $\text{sig.} \preceq \mathbf{s}$  s-reduce to  $0 \bmod \mathcal{G}$
- ▶ **Sig-poly pairs** instead of elements of  $\mathcal{I}$ : pair  $(\text{sig}(\mathbf{f}), f)$



1. **Selection**: non-decreasing signatures

2. **Construction**: **regular** S-polynomials:  $S\text{-Pol}(\mathbf{g}_i, \mathbf{g}_j) = \frac{\text{lcmlt}(\mathbf{g}_i, \mathbf{g}_j)}{\text{lt}(\mathbf{g}_i)} g_j - \frac{\text{lcmlt}(\mathbf{g}_i, \mathbf{g}_j)}{\text{lt}(\mathbf{g}_j)} g_i$

3. **Reduction**: **regular**: if  $\text{lt}(\mathbf{f}) = t\text{lt}(\mathbf{g})$  and  $t\text{sig}(\mathbf{g}) \preceq \text{sig}(\mathbf{f})$ ,  $\mathbf{f} \rightarrow \mathbf{f} - t\mathbf{g}$

# Signature of syzygies

## Definition: syzygy

- ▶ Syzygy of  $I$ :  $z = (z_1, \dots, z_m) \in A^m$  such that  $z_1 f_1 + \dots + z_m f_m = 0$
- ▶ It corresponds to an element  $\mathbf{z} = (z, 0) \in \mathcal{I}$ .

We can compute those elements at the same time as a signature Gröbner basis!

## Definition: reduction on the signatures

$\mathbf{f} \in \mathcal{I}$  sig-reduces modulo  $\mathbf{z} \in \text{Syz}(\mathcal{I})$  if:

- ▶ there exists a term  $t$  such that  $\text{sig}(\mathbf{f}) = t \text{sig}(\mathbf{z})$ .

The result of the reduction has the same polynomial part as  $\mathbf{f}$  but smaller signature.

## Definition: signature basis of syzygies

$\mathcal{G}_z \subset \text{Syz}(\mathcal{I})$  such that every syzygy of  $\mathcal{I}$  is signature reducible modulo  $\mathcal{G}_z$ .

## Computing signature bases of syzygies?

### Reminder: signature Gröbner basis

$\mathcal{G} \subset \mathcal{I}$  is a **signature Gröbner basis (SGB)** if for all  $\mathbf{f} \in \mathcal{I}$ ,  $\mathbf{f}$  is s-reducible modulo  $\mathcal{G}$ .

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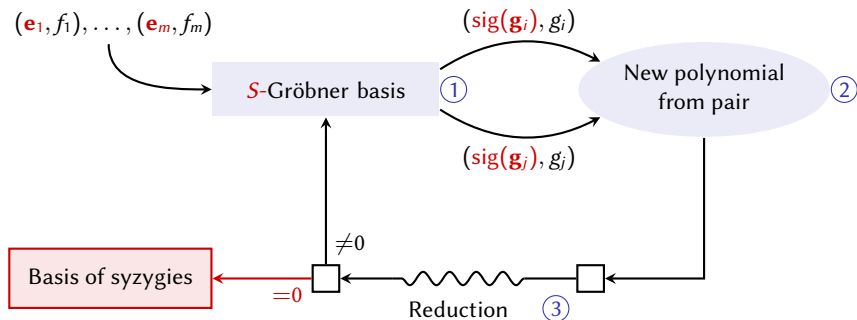
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### Fact

Signature Gröbner basis algorithms can compute both bases at the same time.



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2. **Construction:** **regular** S-polynomials:  $S\text{-Pol}(\mathbf{g}_i, \mathbf{g}_j) = \frac{\text{lcmlt}(\mathbf{g}_i, \mathbf{g}_j)}{\text{lt}(\mathbf{g}_i)} \mathbf{g}_j - \frac{\text{lcmlt}(\mathbf{g}_i, \mathbf{g}_j)}{\text{lt}(\mathbf{g}_j)} \mathbf{g}_i$

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## Singular criterion

Assume that:

1. Every  $\mathbf{g} \in \mathcal{I}$  with signature  $\preceq \mathbf{T}$  is  $s$ -reducible modulo  $\mathcal{G}$
2.  $\mathbf{f}$  has signature  $\mathbf{T}$  and there exists  $\mathbf{g} \in \mathcal{G}$  such that  $\text{lt}(\mathbf{f}) = t\text{lt}(\mathbf{g})$  and  $\text{sig}(\mathbf{f}) = t\text{sig}(\mathbf{g})$

Then  $\mathbf{f}$   $s$ -reduces to 0 modulo  $\mathcal{G}$ .



# Signature criteria

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## F5 criterion (PoT ordering)

If  $\mathbf{g} \in \mathcal{I}$  has signature  $\star \mathbf{e}_j$ , then  $\text{lt}(\mathbf{g})\mathbf{e}_i$  is the signature of a syzygy whenever  $i > j$ .

## Why do we care about signature Gröbner bases?

First, they are Gröbner bases.

### Theorem

If  $\mathcal{G}$  is a signature Gröbner basis, the set of its polynomial parts forms a Gröbner basis.

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If  $\mathcal{G}$  is a signature Gröbner basis, the set of its polynomial parts forms a Gröbner basis.

But better, they also give information on the module  $\mathcal{I}$ !

### Theorem [Gao, Volny, Wang, 2015]

Let  $G = \{(s_i, g_i)\}$  be the sig-poly pairs of a SGB, and  $G_z = \{(z_i, 0)\}$  be the sig-poly pairs of a signature basis of syzygies. Then:

- ▶ one can reconstruct a corresponding SGB  $\mathcal{G}$  and signature basis of syzygies  $\mathcal{G}_z$
- ▶  $\mathcal{G}$  is a “basis with coordinates” allowing to recover coefs in terms of the input polynomials
- ▶  $\mathcal{G}_z$  is a Gröbner basis of the module of syzygies of  $I$

Those are typically expensive computations.

## Sketch of the construction

- In
- ▶  $G = \{(\mathbf{s}_i, g_i)\}$  the sig-poly pairs of a SGB
  - ▶  $G_z = \{(\mathbf{z}_i, 0)\}$  the sig-poly pairs of a sig-basis of syzygies
- Out
- ▶ the corresponding SGB  $\mathcal{G} = \{\mathbf{g}_1, \dots, \mathbf{g}_r\}$
  - ▶ the corresponding sig-basis of syzygies  $\mathcal{G}_z$
1.  $\mathcal{G} \leftarrow \{(\mathbf{e}_i, f_i) : i \in \{1, \dots, m\}\}$  (reducing if needed)
  2. For  $(\mathbf{s}_i, g_i) \in G$  in increasing order of signatures, do
    - 2.1 Find  $\mathbf{g}_j \in \mathcal{G}$  s.t. there exists a term  $t$  with  $t\text{sig}(\mathbf{g}_j) = \mathbf{s}_i$  and  $t\text{lm}(\mathbf{g}_j)$  minimal
    - 2.2 Perform regular reductions of  $t\mathbf{g}_j$  by  $\mathcal{G}$  until not reducible
    - 2.3 Add the result to  $\mathcal{G}$
  3. With  $\mathcal{G}$  known, reconstruct  $\mathcal{G}_z$  in the same way

# Summary of Gröbner basis algorithms over rings

## Two questions:

- ▶ How to compute S-polynomials?
- ▶ How to compute reductions?

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# Summary of Gröbner basis algorithms over rings **with signatures**

Two questions:

- ▶ How to compute S-polynomials?
- ▶ How to compute reductions?
- ▶ **How to order signatures?**

Case of fields: partial order is enough

Buchberger (1965) → **B. with sig.**

Faugère: F4 (1999) → **F5 (2002)**

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# Summary of Gröbner basis algorithms over rings **with signatures**

## Three questions:

- ▶ How to compute S-polynomials?
- ▶ How to compute reductions?
- ▶ **How to order signatures?**

Case of fields: partial order is enough  
[Eder, Pfister, Popescu 2017]: cannot order coeffs

Buchberger (1965) → **B. with sig.**  
Faugère: F4 (1999) → **F5 (2002)**

Field

⋮

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Usual // Usual (linear algebra)

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## What are G-polynomials?

**Example:**  $f = 3x, g = 2y, I = \langle f, g \rangle$

- ▶ Not a strong Gröbner basis:  $xy = yf - xg \in I$  is not reducible by  $f$  or  $g$
- ▶ Adding  $S\text{-Pol}(f, g) = 0$  does not help
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## Definition

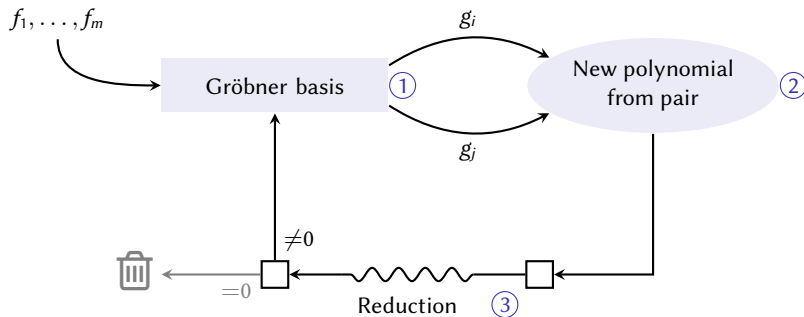
$\mathbf{f}, \mathbf{g} \in \mathcal{I}$ ,  $u, v$  Bézout coefficients for  $\text{lc}(\mathbf{f}), \text{lc}(\mathbf{g})$

- ▶  $G\text{-Pol}(\mathbf{f}, \mathbf{g}) = u \frac{\text{lcm}(\text{lm}(\mathbf{f}), \text{lm}(\mathbf{g}))}{\text{lm}(\mathbf{f})} \mathbf{f} + v \frac{\text{lcm}(\text{lm}(\mathbf{f}), \text{lm}(\mathbf{g}))}{\text{lm}(\mathbf{g})} \mathbf{g}$

## Main properties

- ▶  $\text{lc}(G\text{-Pol}(\mathbf{f}, \mathbf{g})) = \text{gcd}(\text{lc}(\mathbf{f}), \text{lc}(\mathbf{g}))$
- ▶ If  $\text{lt}(\mathbf{f}) = t_1 \text{lt}(\mathbf{g}_1) + t_2 \text{lt}(\mathbf{g}_2)$ , then  $\mathbf{f}$  is reducible by  $G\text{-Pol}(\mathbf{g}_1, \mathbf{g}_2)$
- ▶ One can always choose  $u, v$  such that

$$\text{sig}(G\text{-Pol}(\mathbf{f}, \mathbf{g})) \simeq \max\left(\frac{\text{lcm}(\text{lm}(\mathbf{f}), \text{lm}(\mathbf{g}))}{\text{lm}(\mathbf{f})} \text{sig}(\mathbf{f}), \frac{\text{lcm}(\text{lm}(\mathbf{f}), \text{lm}(\mathbf{g}))}{\text{lm}(\mathbf{g})} \text{sig}(\mathbf{g})\right)$$



1. **Selection:** different strategies

2. **Construction:** S-polynomial

**and** G-polynomial if  $\text{lc}(g_i)$  and  $\text{lc}(g_j)$  do not divide each other

3. **Reduction**

## G-polynomials for syzygies

Need a similar construction to capture all possible combinations of syzygy signatures.

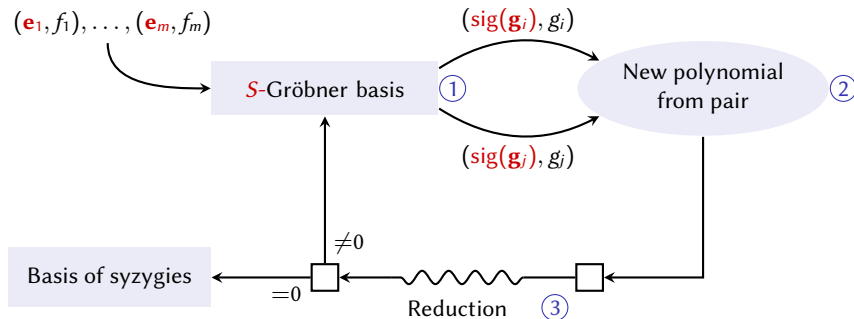
### Definition

$\mathbf{z}_1, \mathbf{z}_2 \in \text{Syz}(\mathcal{I})$  with  $\text{sig}(\mathbf{z}_i) = a_i m_i \mathbf{e}_j$ ;  $u, v$  Bézout coefficients for  $a_1, a_2$

$$\blacktriangleright \text{G-Pol}(\mathbf{z}_1, \mathbf{z}_2) = u \frac{\text{lcm}(m_1, m_2)}{m_1} \mathbf{z}_1 + v \frac{\text{lcm}(m_1, m_2)}{m_2} \mathbf{z}_2$$

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- $\blacktriangleright$  No need to be careful about the choice of  $u, v$

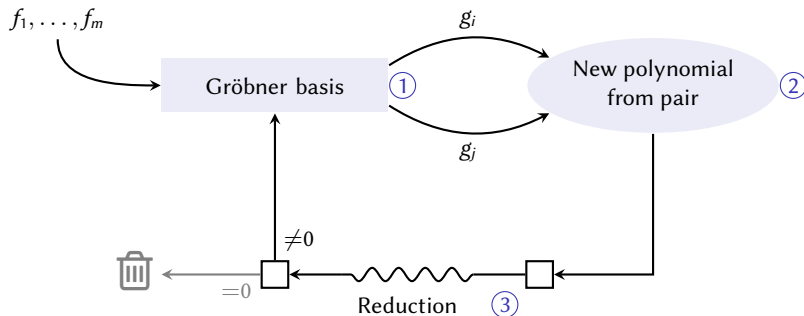


1. **Selection**: non-decreasing signatures

2. **Construction**: **regular** S-polynomial

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## Why does it work?

Idea:

- ▶ Let  $f$  and  $g$  with  $a = \text{lc}(f)$  and  $b = \text{lc}(g)$  not dividing each other, let  $d = \text{gcdlc}(f, g)$
- ▶ How to recover  $\text{S-Pol}(f, g) = \frac{b}{d}\mu f - \frac{a}{d}\nu g$ ?

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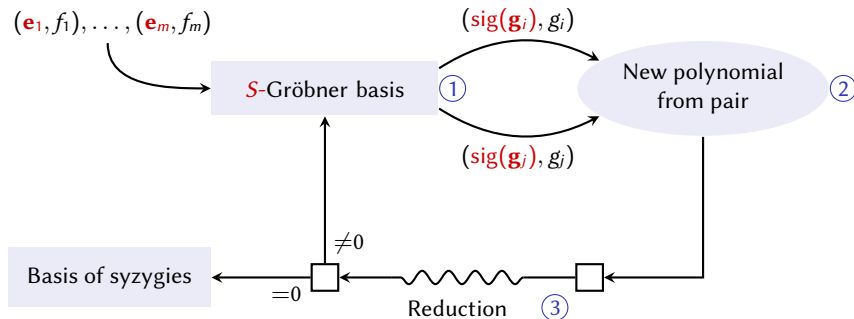
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$$\begin{aligned}\text{S-Pol}(f, h) &= \mu f - \frac{a}{d}h = \left(1 - \frac{ua}{d}\right)\mu f - \frac{av}{d}\mu g \\ &= \frac{vb}{d}\mu f - \frac{av}{d}\nu g = \nu \text{S-Pol}(f, g)\end{aligned}$$

$$\text{S-Pol}(g, h) = u \text{S-Pol}(f, g)$$



1. **Selection:** non-decreasing signatures
2. **Construction:** **non-singular** S-polynomial if one of  $\text{lc}(\mathbf{g}_i)$  and  $\text{lc}(\mathbf{g}_j)$  divides the other  
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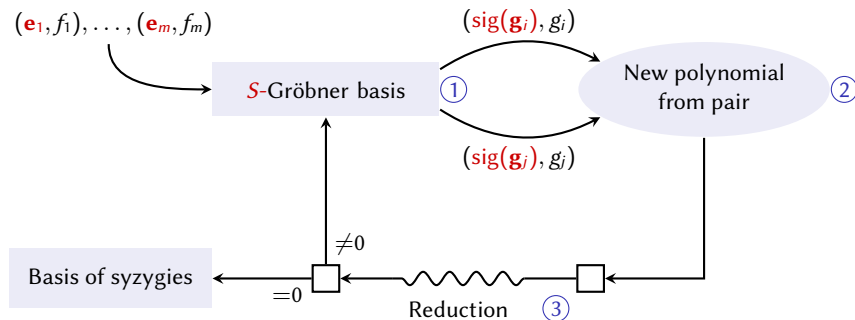
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## Comparison of the algorithms

### Theorem: general criterion for correctness

Let  $\mathcal{G} \subset \mathcal{I}$  and  $\mathcal{G}_z \subset \text{Syz}(I)$  be such that:

- ▶ for all  $i$ , there is an element with signature  $e_i$  in  $\mathcal{G} \cup \mathcal{G}_z$
- ▶ all regular S-pols of  $\mathcal{G}$  s-reduce to 0 mod  $\mathcal{G}$
- ▶ if those reductions are regular, their result is sig-reducible mod  $\mathcal{G}_z$
- ▶ all G-pols of  $\mathcal{G}$  are s-reducible mod  $\mathcal{G}$
- ▶ all G-pols of  $\mathcal{G}_z$  are sig-reducible mod  $\mathcal{G}_z$

Then  $\mathcal{G}$  is a SGB and  $\mathcal{G}_z$  is a sig-basis of syzygies.

Kandri-Rody, Kapur	Pan/Lichtblau
S-pol if regular	S-pol is non-singular and lc divides
G-pol if lc does not divide	G-pol if lc does not divide
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More criteria?	More criteria?

# Super-reducibility

## Super-reducible criterion in the case of fields

- ▶  $\mathbf{f}$  is super reducible modulo  $\mathbf{g}$  if  $t\text{sig}(\mathbf{g}) \simeq \text{sig}(\mathbf{f})$  and  $t\text{lt}(\mathbf{g}) = \text{lt}(\mathbf{f})$
- ▶  $\mathbf{h} = \mathbf{f} - t\mathbf{g}$  is a singular  $s$ -reduction
- ▶ If  $\mathbf{h}$   $s$ -reduces to  $0 \bmod \mathcal{G}$ , then  $\mathbf{f}$   $s$ -reduces to  $0 \bmod \mathcal{G}$
- ▶ **Consequence:** we can exclude super-reducible polynomials

## Super-reducible criterion in the case of rings

- ▶  $\mathbf{f}$  is super reducible modulo  $\mathbf{g}$  if  $t\text{sig}(\mathbf{g}) = \text{sig}(\mathbf{f})$  and  $t\text{lt}(\mathbf{g}) \simeq \text{lt}(\mathbf{f})$
- ▶  $\mathbf{f}' = \mathbf{f} - t\mathbf{g}$  is **not** a reduction!
- ▶ If  $\mathbf{f}'$   $s$ -reduces to  $0 \bmod \mathcal{G}$  and  $G$ -pols of  $\mathcal{G}$   $s$ -reduce to  $0$ , then  $\mathbf{f}$   $s$ -reduces to  $0 \bmod \mathcal{G}$
- ▶ **Consequence:** we can exclude super-reducible  $S$ -polynomials

### Definition: cover property in the case of fields

The pair  $(\mathbf{f}_1, \mathbf{f}_2)$  is covered by  $\mathbf{g} \in \mathcal{G} \cup \mathcal{G}_z$  if:

- ▶ there exists a term  $t$  such that  $\text{sig}(\text{S-Pol}(\mathbf{f}_1, \mathbf{f}_2)) = t \text{sig}(\mathbf{g})$
- ▶  $t \text{lt}(\mathbf{g}) < \text{lcm}(\text{lt}(\mathbf{f}_1), \text{lt}(\mathbf{f}_2))$  (with  $\text{lt}(\mathbf{g}) = 0$  if syzygy)

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- ▶  $t_g\text{lt}(\mathbf{g}) < \text{lcmlm}(\mathbf{f}_1, \mathbf{f}_2)$

## Correctness criterion with the cover property

### Reminder: general criterion for correctness

Let  $\mathcal{G} \subset \mathcal{I}$  and  $\mathcal{G}_z \subset \text{Syz}(I)$  be such that:

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- ▶ all G-pols of  $\mathcal{G}$  are s-reducible modulo  $\mathcal{G}$
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Then  $\mathcal{G}$  is a SGB and  $\mathcal{G}_z$  is a sig-basis of syzygies.

This criterion is convenient...

- ▶ in practice, because it allows to eliminate many elements
- ▶ in theory, because it allows for a simpler proof of correctness

But it requires that **all** regular S-pols of  $\mathcal{G}$  be covered, which Pan/Lichtblau a priori cannot enforce.

## Quantitative comparison between the algorithms

System	Algorithm	Total pairs	Reduced	To zero	Time (s)
<b>Katsura-4</b>	Kandri-Rody, Kapur	420	188	0	1.35
	Pan/Lichtblau	855	412	0	1.6
<b>Katsura-5</b>	Kandri-Rody, Kapur	248	723	0	32.40
	Pan/Lichtblau	7178	3983	0	79.87
<b>Cyclic-5</b>	Kandri-Rody, Kapur	221	63	0	0.37
	Pan/Lichtblau	347	158	0	0.71
<b>Cyclic-6</b>	Kandri-Rody, Kapur	3019	742	8	200.33
	Pan/Lichtblau	9672	5782	8	616.82

- ▶ Toy implementation of both algorithms in Magma
- ▶ Kandri-Rody and Kapur is almost always more efficient than Pan/Lichtblau
- ▶ It is not due to the lack of cover criterion

## Indicative timings

<b>System</b>	S-GB (s)	Recons. (s)	<b>Total (s)</b>	GB (s)	<b>GB + coefs (s)</b>	<b>Syz. basis (s)</b>
<b>Cyclic-5</b>	0.4	0.1	<b>0.5</b>	0.01	<b>954.6</b>	<b>954.8</b>
<b>Cyclic-6</b>	200.3	10.6	<b>210.9</b>	2.08	<b>&gt;24h</b>	<b>&gt;24h</b>

- ▶ Signature algorithms: Kandri-Rody and Kapur, reconstruction
- ▶ Classical algorithm: Magma's built-in GroebnerBasis, IdealWithFixedBasis and SyzygyMatrix

## This work

- ▶ Two signature-based algorithms for PID's following closely Buchberger's algorithm
- ▶ Compatible with powerful criteria such as super-reducibility and the cover criterion
- ▶ Additional criteria and optimizations are available (coprime criterion, Gebauer-Möller criteria, coefficient reductions...)
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## Future directions

- ▶ Linear algebra algorithms à la F4
- ▶ Improve implementation
- ▶ Extend use of signature bases

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Thanks for your attention!