

Lecture IX: Gröbner basis over valued fields III

Recall: Given $I \subset K[x_0, \dots, x_n] \stackrel{\cong}{=} \mathbb{R}$ homogeneous, $w \in \mathbb{R}^{n+1}$ we showed that

- $\text{in}_w(I) \subseteq K[x_0, \dots, x_n]$ is homog.
 - I admits a homogeneous Gröbner basis for w (finite set $\{g_1, \dots, g_s\} \subseteq I$ where $\text{in}_w I = \langle \text{in}_w(g_1), \dots, \text{in}_w(g_s) \rangle$)
- If $w \in \mathbb{R}^{n+1}$ & $g \in \text{in}_w I$ homog, then $g = \text{in}_w(f)$ for some $f \in I$ homog.

Lemma 0: If $w \in \mathbb{R}^n$, $g^a \in \text{in}_w I$ homog of degree d , then $g = \text{in}_w(f)$ for some $f \in I$ homog of deg d . ($f \in I_d$)

Pf/ Write $g^a = \sum_u \text{in}_w(f_u)$ for $f_u \in I_d$ (*)

Given v, v' with $\text{supp in}_w(f_v) \cap \text{supp in}_w(f_{v'}) \neq \emptyset$, say $x^u \in \text{supp in}_w(f_v) \cap \text{supp in}_w(f_{v'})$

Write $f_v = \sum_p c_{vp} x^p$, $f_{v'} = \sum_p c_{v'p} x^p$ $c_{vu}, c_{v'u} \neq 0$.

Then $\text{trop}(f_v)(w) = -\text{val}(c_{vu}) + \langle w, u \rangle$ so $w' = \text{trop}(f_v)(w) - \text{trop}(f_{v'})(w) = -\text{val}(c_{vu}/c_{v'u}) \in \mathbb{R}^n$
 $\text{trop}(f_{v'})(w) = -\text{val}(c_{v'u}) + \langle w, u \rangle$

Then $\text{in}_w(f_v) + \text{in}_w(f_{v'}) = \text{in}_w(f')$ for $f' = f_v + t^{w'} f_{v'} \in I_d$ (**)

[The identity follows by the same proof as Key Prop from Lecture VIII.]

We join f_v 's with no disjoint support (by induction on the # of summands in (*)) until all summands have pairwise disjoint support. Then, by Lemma 1 from Lecture VIII we can write $g^a = \text{in}_w(f_u)$ (no cancellations can occur & x^u lies in the support of one ...)

• Want to study the structure of \mathbb{R}^n determined by w 's giving the same initial ideals.

Q1: How does $\text{in}_w I$ behave under small perturbations of w ?

Prop (Lecture VIII) Given $f \in \mathbb{R}$ & $w, v \in \mathbb{R}^{n+1}$ there exists $\epsilon > 0$ such that
 $\text{in}_v(\text{in}_w f) = \text{in}_{w+\epsilon v}(f) \quad \forall 0 < \epsilon' < \epsilon$.

• We extend this Prop to homogeneous ideals:

Lemma 1: Let $I \subset \mathbb{R}$ homog & $w \in \mathbb{R}^{n+1}$. Then, we can find $v \in \mathbb{R}^{n+1}$ & $\epsilon > 0$ such that:

- (i) $\text{in}_v(\text{in}_w I)$ & $\text{in}_{w+\epsilon v}(I)$ are homogeneous ideals in $K[x_0, \dots, x_n] \cong \mathbb{R}$
- (ii) $\text{in}_v(\text{in}_w I) \subseteq \text{in}_{w+\epsilon v}(I)$

Proof: See the end of the notes.

Next goal: show the statement holds $\forall \epsilon' < \epsilon$ & = holds in (ii). To this end, we

need to measure how the ideals are changing \rightsquigarrow Hilbert functions.

Given J homog ideal in R (or \tilde{R}) : $\text{Hilb}_J: \mathbb{N} \rightarrow \mathbb{N}$

Note: R/J is a K -graded algebra & each piece is a finite dim'd K -v.s.

For $d \gg 0$, $\text{Hilb}_J(d) = \text{HilbPoly}(d)$ & degree (Hilbert polynomial)

Lemma 2: Fix $I \subset R$ homog, $d \in \mathbb{N}$. Assume $w \in \mathbb{R}^{n+1}$ satisfies that $\text{Ker dim}(R/J)_d = \text{Ker dim}(R/I)_d - 1$.

$(m_w I)_d$ is spanned over K by its monomials (equiv for $m_w I_d$) Then:

$$B_d = \{x^u : |u| = d, x^u \notin m_w I\}$$

give a K -basis for $(R/I)_d$.

Proof: Claim 1: $B_d \subset (R/I)_d$ is K -linearly independent

Pf/ If not, $\exists f$ homog of degree d , with $f = \sum_{u \in B_d} c_u x^u \in I$ & not all $c_u = 0$.

$\Rightarrow m_w(f)$ has no monomial in $(m_w I)_d$, but $m_w(f) \in m_w I$, contradiction! \square

We have $|B_d| + \dim_K(m_w I)_d = \binom{n+d}{n}$

$\dim_K I_d + \dim_K (R/I)_d = \binom{n+d}{n}$ (*)

From Claim 1: $\dim_K (R/I)_d \geq |B_d|$, hence $\dim_K (m_w I)_d \geq \dim_K I_d$

Claim 2: Given $x^u \in (m_w I)_d$, $\exists f_u \in I_d$ with $m_w f_u = x^u$ (use Lemma 0)

Claim 3: $S = \{f_u : x^u \in (m_w I)_d\}$ is linearly independent in R

Pf/ If they were l.d., write $\sum a_u f_u = 0$ with not all $a_u = 0$.

Write $f_u := x^u + \sum_{v \neq u} c_{uv} x^v$ for $f_u \in S$.

Since $m_w f_u = x^u$, we know $-\text{val}(c_{uv}) + \langle w, v \rangle < \langle w, u \rangle \quad \forall v \neq u$ (1)

$0 = \sum a_u f_u = \sum a_u (x^u + \sum_{v \neq u} c_{uv} x^v)$ so $a_u + \sum_{v \neq u} a_v c_{vu} = 0 \quad \forall u$

Each u' realizing $\text{top}(\sum a_u x^u)(w) = \max_u \{-\text{val}(a_u) + \langle w, u \rangle\}$ (*)

Then $0 = a_{u'} + \sum_{v \neq u'} a_v c_{vu'}$ gives $a_{u'} = -\sum_{v \neq u'} a_v c_{vu'}$ so

$\text{val}(a_{u'}) \geq \text{val}(a_v) + \text{val}(c_{vu'})$ for some $v \neq u'$ ($\text{val}(ab) \geq \min\{\text{val}(a), \text{val}(b)\}$)

Hence: $-\text{val}(a_v) - \text{val}(c_{vu'}) + \langle w, u' \rangle \geq -\text{val}(a_{u'}) + \langle w, u' \rangle \geq -\text{val}(a_v) + \langle w, v \rangle$ by (*) $\forall v \neq u'$

So $-\text{val}(c_{vu'}) + \langle w, u' \rangle \geq \langle w, v \rangle$ for $v \neq u'$ (2)

(1) & (2) contradict each other! We conclude S is lin indep \square .

Claim 3 \Rightarrow $\dim_K I_d \geq \dim_K (u_w I)_d$ (***)

From (**) & (***) we get $\dim_K I_d = \dim_K (u_w I)_d$ & so

$$\dim_K (R/I)_d = |B_d|$$

From Claim 1, B_d are K -lin indep in $(R/I)_d$ so it's a K -basis for $(R/I)_d$

This Lemma shows that Hilbert functions are preserved under taking initials: \square

Corollary 1: For any $w \in R^{n+1}$ & $I \subset R$ homogeneous ideal, Then:

$$\text{Hilb}_I = \text{Hilb}_{u_w I}, \text{ i.e. } \dim_K (R/I)_d = \dim_K (\tilde{R}/u_w I)_d \quad \forall d \geq 0$$

In particular the rings R/I & $R/u_w I$ have the same Krull dimension.

Proof: By Lemma 1, $\exists v \in R^{n+1}$ & $\epsilon > 0$ satisfying $in_v(u_w I) \subseteq in_{w+\epsilon v} I$ & both are unmixed ideals. Both are homog, so $\forall d: (in_v(u_w I))_d \subseteq (in_{w+\epsilon v} I)_d$.

For $w' = w + \epsilon v$ & $d \geq 0$ we know that $(in_{w'} I)_d$ is spanned by its monomials, so we can apply Lemma 2 to conclude that the monomials of deg u not in $(u_{w'} I)_d$ are a K -basis of $(R/I)_d$. So $\dim_K (R/I)_d = \dim_K (\tilde{R}/u_{w'} I)_d$ (*)

Claim: $in_v(u_w I) = in_{w+\epsilon v} I$. (Equip, for any $d \geq 0$ $(u_v(u_w I))_d = (in_{w+\epsilon v} I)_d$)

Pf: Assume the contrary & pick $x^u \in (u_{w+\epsilon v} I)_d \setminus (in_v(u_w I))_d$ for some $d \geq 0$

Notice that by Lemma 0, we have $x^u = in_{w+\epsilon v}(f_u)$ for some $f_u \in I_d$.

Write $f_u = x^u + f'_u$ with $f'_u \in R_d$ has all its monomials outside $(in_v(u_w I))_d$

So f'_u has no monomial in $(in_v(u_w I))_d$.

We conclude: f_u has no monomial in $(u_v(u_w I))_d$ so $u_v(u_w I) \not\subseteq (u_v/f_u I)_d$

But $f_u \in I$ homog of degree d , a contradiction! \square

From the Claim we know that $v \in R^{n+1}$ satisfies $(in_v(u_w I))_d$ is unmixed $\forall d$, hence spanned by its monomials. By Lemma 2 applied to $u_w I$ we conclude

$$\dim_K (R/I)_d = \dim_K (\tilde{R}/u_v(u_w I))_d = \dim_K (\tilde{R}/in_{w+\epsilon v} I)_d = \dim_K (R/I)_d \text{ by (*)}$$

The result holds for all d .

Corollary 2: $I \subset R$ homogeneous. For any w, v in \mathbb{R}^{n+1} , there exists $\epsilon > 0$ s.t. 141

$$m_{\mathcal{O}_v}(m_w I) = m_{w+\epsilon'v} I \quad \forall 0 < \epsilon' < \epsilon.$$

Proof: By Noetherianity, we can find $\{g_1, \dots, g_s\} \subseteq K[x_0, \dots, x_n] = \tilde{R}$ a generating set for $m_v(m_w I)$ where each $g_i = m_v(m_w(h_i))$ for some $h_i \in I$.

By Prop 1 (Lecture VIII) $\exists \epsilon > 0$ with $g_i = m_v(m_w(h_i)) = m_{w+\epsilon'v}(h_i) \quad \forall i, \forall 0 < \epsilon' < \epsilon$

Then $\boxed{m_{\mathcal{O}_v}(m_w I) \subseteq m_{w+\epsilon'v} I} \quad (*)$

By Corollary 1: $m_{\mathcal{O}_v}(m_w I)$ has the same Hilb functions as $m_w I$.

$m_w I$ & $m_{w+\epsilon'v} I$ have the same Hilb functions.

So $m_w I$ & $m_{w+\epsilon'v} I$ have the same Hilb functions. By (*), they must be the same ideal. \square

Typical applications: I irreducible. However $m_w I$ is rarely irreducible.

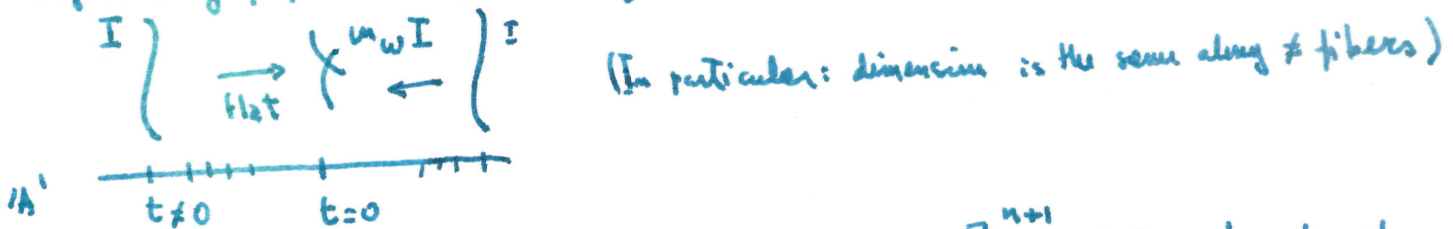
Q: What can we say regarding each of its irred. components? \iff Minimal associated primes

Def: $J \subseteq P$, P prime & if $J \subseteq P' \subseteq P$ for P' prime then $P' = P$ (P min assoc prime of J)

Lemma 3 $I \subset R$ homogeneous prime ideal of $\dim = d$ & $w \in \Gamma_{\text{rel}}^{n+1}$. Then, every minimal associated prime of $m_w I$ has dimension $= d$.

Proof: See [MS Lemma 2.4.12] Prove it for $w = 0 \in \mathbb{R}^{n+1}$.

Key geometric property: Gröbner bases for term orders give models over A^1 with good degeneracy properties (flatness!)



This property holds when K has a valuation & $w \in \Gamma_{\text{rel}}^{n+1}$. We get a family over $\text{Spec}(\mathcal{O}_v) = \{P \in \mathcal{O}_v : \text{prime}\}$. \mathcal{O}_v has either no prime $\neq 0$ ($\Gamma_{\text{rel}} = \{t\}$)

• fiber over $(0) :=$ Special fiber, fiber over $\mathcal{M}_v :=$ generic fiber • 2 primes: (0) & \mathcal{M}_v ($\Gamma_{\text{rel}} \neq \{t\}$)

CASE 1: $\Gamma_{\text{rel}} = \{t\}$ $K = \mathcal{O}_v = K$ & special fiber = generic fiber

CASE 2: $\mathcal{I}_{\mathcal{O}_v, w} \left\{ \begin{array}{l} \xrightarrow{\text{flat}} \\ \leftarrow \end{array} \right. \left. \begin{array}{l} m_w I \\ \leftarrow \end{array} \right. \left. \begin{array}{l} I \\ \leftarrow \end{array} \right.$

$\mathcal{I}_{\mathcal{O}_v, w} \subset \tilde{F}(x) : \langle t \in I \rangle \subseteq \mathcal{O}_v[x_0, \dots, x_n]$

$\tilde{F}(x) = t^{\text{top}(f)(w)} f(t^{-w_0} x_0, \dots, t^{-w_n} x_n)$

$w = (w_0, \dots, w_n) \in \Gamma_{\text{rel}}^{n+1}$

$\text{Spec } \mathcal{O}_v$ with points (0) and \mathcal{M}_v .

• Why \tilde{f} ? $f = \sum c_u x^u \implies f(t^{-w_0} x_0, \dots, t^{-w_n} x_n) = \sum c_u t^{-\langle w, u \rangle} x^u$

$$\begin{aligned} \implies \text{top}(f)_{(w)} + \text{val}(c_u t^{-\langle w, u \rangle}) &= \text{val}(c_u) - \langle w, u \rangle + \text{top}(f)_{(w)} \\ &= \text{top}(f)_{(w)} - (-\text{val}(c_u) + \langle w, u \rangle) \geq 0 \end{aligned}$$

Then $\tilde{f} \in \mathcal{O}_r[x]$. Furthermore, $\text{in}_w(\tilde{f}) = \text{in}_w(f)$.

ICR-hung, $w \in \Gamma_{\text{val}}^{n+1}$, $\Gamma_{\text{val}} \neq \emptyset$

Lemma 4: $M = \mathcal{O}_r[x] / I_{\mathcal{O}_r, w}$ is a flat \mathcal{O}_r -module with $\Pi \otimes K \cong K[x] / I$

$$\& \Pi \otimes_{\mathcal{O}_r} K \cong K[x_0, \dots, x_n] / u_w I$$

So $\text{Spec } \Pi \longrightarrow \text{Spec } \mathcal{O}_r$ is a flat family with

- generic fiber $\cong \text{Spec}(K[x] / I)$
- special fiber $\cong \text{Spec}(K[x] / u_w I)$

Proof: See end of notes.

Remark: Assumption $w \in \Gamma_{\text{val}}^{n+1}$ is hard to remove. Ex, if K has trivial valuation, then for generic $w \in \mathbb{R}^{n+1}$: $u_w I$ is non-trivial

But generic & special fibers agree, and I need not be non-trivial!
(because $K = k = \mathcal{O}_r$)

Proof of Lemma 4:

• Flatness: Π is flat over \mathcal{O}_r if $0 \rightarrow N' \rightarrow N$ N, N' \mathcal{O}_r -modules

Then $\Pi \otimes_{\mathcal{O}_r}$ is exact: $0 \rightarrow \Pi \otimes_{\mathcal{O}_r} N' \rightarrow \Pi \otimes_{\mathcal{O}_r} N$ is exact.

By Eisenbud's Comm Algebra [Prop 6.1] Π is flat $\iff \text{Tor}_1^{\mathcal{O}_r}(\mathcal{O}_r / I, \Pi) = 0 \forall I \subset \mathcal{O}_r$ fg ideal

Note: If $I = \langle a \rangle$, then $\text{Tor}_1^{\mathcal{O}_r}(\mathcal{O}_r / \langle a \rangle, \Pi) = (0 :_{\Pi} a) = \{ m \in \Pi : am = 0 \}$.

• Claim: \mathcal{O}_r is a valuation ring, hence every finitely generated ideal is principal.

Proof: $I = \langle g_1, \dots, g_s \rangle$ $\text{val}(g_1) \leq \text{val}(g_2) \leq \dots \leq \text{val}(g_s)$ so $I = \langle g_1 \rangle$
because $a_i = \frac{a_i}{a_1} g_1$ & $\text{val}(a_i/a_1) \geq 0$ so $\frac{a_i}{a_1} \in \mathcal{O}_r \forall i$. \square

• $\text{Tor}_1^{\mathcal{O}_r}(\mathcal{O}_r / \langle a \rangle, \Pi) = 0 \iff a$ is a nonzero divisor in Π .

Claim: M is torsion free.

Pf/ Note that $\Pi = \mathcal{O}_r[x] / I_{\mathcal{O}_r, w} \cong \frac{R^w}{I^w}$
 $\bar{x}_i \longmapsto t^{w_i} x_i$

where $R^w = \{ \sum c_u x^u : -\text{val}(c_u) + \langle w, u \rangle \in \mathbb{Z} \}$
 $\Pi = K[x]$
 $I^w = I \cap R^w$

Then, if $f \in R^w$ with $af \in I^w$, then $af \in I$, so $f \in I$, hence $f \in I^w$ \square

(1) Special fiber := $\Pi \otimes_{\mathcal{O}_r} \mathcal{O}_r / \mathfrak{m}_K = \Pi \otimes_{\mathcal{O}_r} K$

(2) General fiber := $\Pi \otimes_{\mathcal{O}_r} (\mathcal{O}_r / (\mathfrak{o}))_{(\mathfrak{o})} = \Pi \otimes_{\mathcal{O}_r} K$

(2) Claim: $\Psi: R^w_{I^w} \otimes_{\mathcal{O}_r} K \longrightarrow R/I$ is an iso.
 $f \otimes a \longmapsto af$ (extend linearly on each comp.)

Well defined: $f \in I^w$, then $\Psi(f \otimes 1) = f \in I$ by definition \checkmark

Injective: $\Psi(\sum_{i \in \Lambda} \mu_i (f_i \otimes a_i)) = 0$ with $\mu_i \in \mathbb{Z}$, $f_i \in R^w$, $a_i \in K^{\times}$ $\forall i$
 Λ : finite
 ie $\sum_i \mu_i f_i a_i \in I$

Take $v = \min \{ \text{val}(a_i) : i \in \Lambda \}$. By definition, $f_i \otimes a_i = \frac{f_i a_i}{t^v} \otimes t^v$
 because $a_i / t^v \in \mathcal{O}_r$.

Then $\sum \mu_i f_i \otimes a_i = (\sum_i \mu_i \frac{f_i a_i}{t^v}) \otimes t^v = (t^{-v} \sum_i \mu_i f_i a_i) \otimes t^v$

Since $\sum_i \mu_i f_i a_i \in I$, so does $t^{-v} \sum_i \mu_i f_i a_i$
 $t^{-v} \sum_i \mu_i f_i a_i \in R^w$ } $t^{-v} \sum_i \mu_i f_i a_i \in I^w$

We conclude $\sum_{i \in \Lambda} \mu_i (f_i \otimes a_i) = 0$ in $R^w_{I^w}$, so Ψ is injective.

Surjective: Pick $a_u x^u \in R$ & $c \in K$ with $-\text{val}(c) + u < w, u \geq 0$ (\exists because $\Gamma_{\text{val}} \neq \{0\}$)
 $\Psi(c x^u \otimes \frac{a_u}{c}) = a_u x^u$ $c x^u \in R^w, \frac{a_u}{c} \in K$.

(1) Claim: $\Psi: \mathbb{O}_r[x] / I_{\mathcal{O}_r, w} \otimes_{\mathcal{O}_r} K \longrightarrow K(x) / \text{in}_w I$ is an iso
 $(f \otimes c) \longmapsto \frac{fc}{\text{in}_w I}$

Well defined: If $f \in I$ & $\tilde{f} \in I_{\mathcal{O}_r, w}$, then $\Psi(\tilde{f} \otimes 1) = \text{in}_w(f)$ (see pages 5)
 & extend linearly $c \in K = \mathcal{O}_r / \mathfrak{m}_r$

Surjective by construction.

Injective:

Step 1: $f \in \mathcal{O}_r[x]$ & $\overline{f} = 0$, then $\overline{f} \in \text{in}_w(I)$. Break f into its homogeneous components, $f = \sum_i f_i$ & $\overline{f} \in \text{in}_w(I) \Rightarrow f_i \in \text{in}_w(I)$ & each $f_i = \text{in}_w(h_i)$ for some $h_i \in I$ because $w \in \Gamma_{\text{val}}^{\text{non}}$ (Lecture VIII)

Consider \tilde{h}_i to each i : $\tilde{h}_i \in \mathcal{O}_v[x]$. & $h = \sum_i \tilde{h}_i \in \mathcal{I}_{\mathcal{O}_v, w}$

Then $\overline{\tilde{h}_i} = m_w(h_i) = f_i \quad \forall i$, so $\overline{h} = \overline{f}$ in $k(x)$, ie $h - f \in \mathcal{M}_r \mathcal{O}_v[x]$

STEP 2: $\Psi(\sum_i m_i (f_i \otimes a_i)) = 0$ for $m_i \in \mathcal{Z}$, $f_i \in \mathcal{O}_v[x]$, $a_i \in \mathcal{O}_r$.

so $\sum m_i (f_i \otimes a_i) = (\sum_i m_i f_i a_i) \otimes 1 \mapsto 0$ implies $\sum m_i a_i f_i \in m_w \mathcal{I}$

By step 1, we have $\exists h \in \mathcal{I}_{\mathcal{O}_v, w}$, $\in \sum m_i a_i f_i - h \in \mathcal{M}_r \mathcal{O}_v[x]$, say

$$\sum m_i a_i f_i = h + ah_1, \quad h, h_1 \in \mathcal{O}_v[x], \quad a \in \mathcal{M}_r \quad (\text{coeff in the expression})$$

f_i is a f_i ideal in \mathcal{O}_v , hence they are multiples of a single element $a \in \mathcal{M}_r$.
(contained in \mathcal{M}_r)

$$\text{Then } \sum m_i a_i f_i \otimes 1 = (h + ah_1) \otimes 1 = h \otimes 1 + h_2 \otimes a = 0 \text{ in } \frac{\mathcal{O}_v[x]}{\mathcal{I}_{\mathcal{O}_v, w}} \otimes k.$$

$0 (h \in \mathcal{I}_{\mathcal{O}_v, w})$ \mathcal{M}_r

□

Proof of Lemma 1.

• Start by finding σ with $m_r(m_w \mathcal{I})$ minimal.