

RIMS WorkShop

**Introduction to
Idealistic Filtration Program**

**An approach to resolution of singularities
in positive characteristics**

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Lecture 1

Overview of Idealistic Filtration Program

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1 Introduction

$k = \bar{k}$: alg. closed field, $\text{char } k = p \geq 0$

Problem For algebraic variety V/k ,
construct **resolution of singularities** of V

- $\text{char } k = 0$ with $\forall \dim V$

\Rightarrow solved by Hironaka

- $\text{char } k = p > 0$ with $\dim V \leq 3$

\Rightarrow solved by Abhyankar

(partially Cossart-Piltant)

- $\text{char } k = p > 0$ with $\dim V \geq 4$

\Rightarrow **open!**

We attack this problem along

Idealistic Filtration Program (IFP)

which is designed to “extend”

constructive algorithm in char $k = 0$

into arbitrary characteristic case.

Plan of our lectures

We have **NO**

complete proof yet. We present

- philosophy and framework of IFP (today)
- **candidate** of algorithm for
“**formal uniformization**” (2,3,4-th day)
- algebraization problem (5-th day)

Today: we only consider the case

with NO exceptional divisors

2 Review for char $k = 0$ approach

Brief review for “classical” approach

(mixture of known algorithms in char $k = 0$).

Strategy Construct embedded resolution

of $V \subset M$ (M : nonsingular variety/ k)!
closed

- attach inv_P for closed point $P \in M$

(inv_P : minimal $\Rightarrow V$ is resolved at P)

- Blowup the max. locus (\leftarrow nonsingular)
of inv_P , and check the decrease of inv_P .

Recipe of inv_P Invariant is of the shape

$$\text{inv}_P = (\mu_0, \mu_1, \dots, \mu_t, \infty) \quad (\mu_i \in \mathbb{Q}_{\geq 0}),$$

(in the case with NO exc. divisors!)

and μ_i 's are defined as follows:

1. Initial Step

Put $b_0 := 1,$

$R_0 := \mathcal{O}_{M,P}$: local ring at $P \in M$

\cup

$I_0 := \mathcal{I}_{V,P}$: defining ideal of V

$\rightarrow (I_0 \subset R_0, b_0)$: initial data

Put $\mu_0 := \frac{\text{ord}_P(I_0)}{b_0}$ \leftarrow order of I_0 at P

Example

Put $P := \mathbf{0} \in M := \mathbb{A}_k^3,$

$f := x^2 - y^3,$ and $V := V(f) \subset M.$

Then, $R_0 = k[x, y, z]_{\mathfrak{m}_0},$

$I_0 = (x^2 - y^3)R_0,$

$((x^2 - y^3) \subset k[x, y, z]_{\mathfrak{m}_0}, 1)$: initial data

$\text{ord}_P(I_0) = \text{ord}_0(x^2 - y^3) = 2$

$\mu_0 = 2/1 = 2$

2. “Restriction” Step

Take

$D^{\text{ord}_P(I_0)-1}(I_0) \ni \phi_0$ with $\text{ord}_P(\phi_0) = 1$

$(DJ = J + (\partial g \mid g \in J, \partial : \text{derivation of } R))$

Put $b_1 := \text{ord}_P(I_0)!$,

$R_1 := R_0/(\phi_0)$: local ring at $P \in V(f)$

\cup

$$I_1 := \sum_{j=1}^{\text{ord}_P(I_0)} (D^{\text{ord}_P(I_0)-j} I_0)^{b_1/j}$$

$\rightarrow (I_1 \subset R_1, b_1)$: new data

Put $\mu_1 = \frac{\text{ord}_P(I_1)}{b_1}$

Example

Recall $\text{ord}_P(I_0) = 2$. $b_1 = 2! = 2$.

$$D^{2-1}(x^2 - y^3) = (x^2 - y^3, 2x, 3y^2)$$

Take $\phi_0 = x$.

$$R_1 = k[x, y, z]_{\mathfrak{m}_0}/(x) \cong k[y, z]_{\mathfrak{m}_0}$$

Then,

$$\begin{aligned} I_1 &= ((2x, 3y^2)^2 + (x^2 - y^3))R_1 \\ &= y^3 R_1 \end{aligned}$$

$((y^3) \subset k[y, z]_{\mathfrak{m}_0}, 1) : \text{new data}$

$$\text{ord}_P(I_1) = \text{ord}_0(y^3) = 3$$

$$\mu_1 = 3/b_1 = 3/2$$

3. Last Step

Replace “initial data” by “new data,” go back to Step 2, and repeat same procedure!

Continue it until $\mu_{t+1} = \infty$.

Remark

- $H = V(\phi_0)$: **maximal contact** of I_0 at P .

$$\{Q \in M \mid \text{ord}_Q(I_0) \geq \text{ord}_P(I_0)\} \underset{\text{near } P}{\subset} H$$

By construction, we have more:

- $\{Q \in M \mid \text{ord}_Q(I_0) \geq \text{ord}_P(I_0)\}$

|| near P

$$\{Q \in H \mid \text{ord}_Q(I_1) \geq b_1\}$$

Example

$$\text{ord}_P(I_1) = 3. \quad b_2 = 3! = 6.$$

$$D^{3-1}(y^3) = (y). \quad \text{Take } \phi_1 = y.$$

$$R_2 = k[y, z]_{\mathfrak{m}_0}/(y) \cong k[z]_{\mathfrak{m}_0}$$

$$I_2 = y^6 R_2 = (0), \quad \text{ord}_P(I_2) = \infty$$

$$\therefore \mu_2 = \infty. \quad \boxed{\text{inv}_0 = (2, 3/2, \infty)}$$

$H = V(x)$: max. cont. of $x^2 = y^3$ at $\mathbf{0}$.

$$\{Q = (x, y, x) \mid \text{ord}_Q(x^2 - y^3) \geq 2\}$$

||

$$\{Q = (0, y, z) \mid \text{ord}_Q(y^3) \geq 2\}$$

Summary Classical case

Invariant is defined in the following scheme:

initial data: pair $(I_0, b_0) = (I_V, 1)$ on M

obj.	(I_0, b_0)	(I_1, b_1)	\cdots	(I_t, b_t)	$(0, b_{t+1})$
amb.	M	$\supset H_1$	\cdots	$\supset H_t$	$\supset H_{t+1}$
order	μ_0	μ_1	\cdots	μ_t	∞



$$\text{inv}_P = (\mu_0, \mu_1, \dots, \mu_t, \infty)$$

3 Framework of IFP

Try to apply the “classical” argument to char $k > 0$ case \Rightarrow Fails! since

In positive characteristic, maximal contact does not exist in general

To overcome this hurdle, we introduce

- II: idealistic filtration (I.F.)

(refinement of idealistic exponent, ...)

↓ analyzing algebraic structure

- III: Leading Generator System (LGS) of II
(collective substitute of maximal contacts, with possibly singular elements)

By using LGS as substitute of max. cont, we define inv_P as in previous section.

We also emphasize 2 points:

1. In Classical case, ambient space changed by **restricting** to max. cont. in each step

$$M \supset H_1 \supset H_2 \supset \dots$$

In IFP, we stay in the same ambient M , but **enlarging I.F.** in each step

$$I_0 \subset I_1 \subset I_2 \subset \dots$$

2. In Classical case, invariant is of the shape

$$\text{inv}_P = (\mu_0, \mu_1, \dots, \mu_t, \infty)$$

In IFP, invariant is of the shape

$$\text{inv}_P = ((\sigma_0, \mu_0^\sim), \dots, (\sigma_t, \mu_t^\sim), (\sigma_{t+1}, \infty))$$

The pair (σ, μ^\sim) is called **paired invariant**

Summary IFP case

Invariant is defined in the following scheme:

initial data: I.F. $\mathbb{I}_0 = G(I_V \times \{1\})$ on M

obj.	\mathbb{I}_0	$\subset \mathbb{I}_1$	\cdots	$\subset \mathbb{I}_t$	$\subset \mathbb{I}_{t+1}$
amb.	M	M	\cdots	M	M
order	(σ_0, μ_0^\sim)	\cdots	\cdots	(σ_t, μ_t^\sim)	(σ_{t+1}, ∞)

\Downarrow

$\text{inv}_P = ((\sigma_0, \mu_0^\sim), \dots, (\sigma_t, \mu_t^\sim), (\sigma_{t+1}, \infty))$

4 Idealistic Filtration

R : regular k -algebra, $\mathbb{I} \subset R \times \mathbb{R}$: subset

(We denote $\mathbb{I}_a = \{f \in R \mid (f, a) \in \mathbb{I}\}$)

Definition 1 \mathbb{I} is called **idealistic filtration**

(I.F.) on R if the following condition holds:

1. $\mathbb{I}_0 = R$
2. \mathbb{I}_a : ideal of R ($a \in \mathbb{R}$)
3. $\mathbb{I}_a \mathbb{I}_b \subset \mathbb{I}_{a+b}$ ($a, b \in \mathbb{R}$)
4. $\mathbb{I}_a \supset \mathbb{I}_b$ ($a \leq b$)

Definition 2 $\mathbb{T} \subset R \times \mathbb{R}$: subset

The minimal I.F. containing \mathbb{T} is called the

I.F. generated by \mathbb{T} and denoted as $G(\mathbb{T})$.

Example

If $\mathbb{I} = G(I \times \{b\})$ (I :ideal, $b \in \mathbb{R}_{>0}$)

$$\mathbb{I}_a = \begin{cases} R & : a \leq 0 \\ I & : 0 < a \leq b \\ I^2 & : b < a \leq 2b \\ I^n & : (n-1)b < a \leq nb \end{cases}$$

(I, b) : pair $\longleftrightarrow G(I \times \{b\})$: I.F.

Definition 3 Denote $U = \max\text{Spec } R$.

We define the support $\text{Supp}(\mathbb{I}) \subset U$ of \mathbb{I} as

$$\text{Supp}(\mathbb{I}) = \{Q \in U \mid \text{ord}_Q(\mathbb{I}_a) \geq a \ (\forall a \in \mathbb{R})\}$$

Saturate I.F. to visualize more information!

Definition 4 \mathbb{I} : I.F. on R is called

\mathfrak{D} -saturated if the following condition holds:

$$\forall \partial \in \text{Diff}^t(R/k) \text{ (diff. operators of deg } \leq t),$$

$$\partial \mathbb{I}_a \subset \mathbb{I}_{a-t} \quad (\forall a \in \mathbb{R})$$

The minimum \mathfrak{D} -saturated I.F. containing \mathbb{I} is called \mathfrak{D} -saturation of \mathbb{I} denoted as $\mathfrak{D}(\mathbb{I})$.

Example $\mathbb{I} = \text{G}((x^2 - y^3) \times \{2\}) \Rightarrow$

$$\mathfrak{D}(\mathbb{I}) = \text{G}(\{(x^2 - y^3, 2), (2x, 1), (3y^2, 1)\})$$

5 Leading Generator System

\mathbb{I} : \mathfrak{D} -saturated I.F. on R

Assumptions (Always assumed)

- $R = (R, \mathfrak{m}) = \mathcal{O}_{M,P}$: local ring at closed point P in non-singular variety M
- $\mu(\mathbb{I}) \geq 1$ $\left(\mu(\mathbb{I}) := \inf_{a>0} \frac{\text{ord}_P(\mathbb{I}_a)}{a} \right)$
(corresp. to the condition $P \in \text{Supp}(\mathbb{I})$)

Definition 5 $\pi_n: \mathfrak{m}^n \rightarrow \mathfrak{m}^n / \mathfrak{m}^{n+1} : \text{proj.}$

The leading algebra $L(\mathbb{I})$ of \mathbb{I} is defined as

$$L(\mathbb{I}) = \bigoplus_{n \geq 0} \pi_n(\mathbb{I}_n) \subset \text{Gr}(R) \left(= \bigoplus_{n \geq 0} \mathfrak{m}^n / \mathfrak{m}^{n+1} \right)$$

($\mathbb{I}_n \subset \mathfrak{m}^n$ since $\mu(\mathbb{I}) \geq 1$)

Example $\mathbb{I} = G((x^2 - y^3) \times \{2\}) \Rightarrow$

$$L(\mathfrak{D}(\mathbb{I})) \cong k[x] \quad (p \neq 2); \quad k[x^2] \quad (p = 2)$$

Observation R : regular, $R/\mathfrak{m} = k$

$\text{Gr}(R) \cong k[X]$: polynomial ring/ k

\cup \cup

$L(\mathbb{I}) \cong L$: graded k -subalg. of $k[X]$

\mathbb{I} : \mathfrak{D} -sat. $\Rightarrow L$: stable under differentiation

i.e. $\partial_{X^J} L \subset L$ ($\forall J$: multi-index)

(∂_{X^J} is defined by $\partial_{X^J} X^K = \binom{K}{J} X^{K-J}$)

What can we say on such L ?

$\text{char } k = 0 \Rightarrow L$ is generated by L_1 ,

(L_1 : homogeneous part of degree 1 of L)

Example $f = x^2 + xy$,

$L' = k[f] \subset k[x, y, z]$

\downarrow enlarge L' to be stable under diff.

$\partial_x f = 2x + y$, $\partial_y f = x$,

$L'[\partial_x f, \partial_y f] = k[x, y] \subset k[x, y, z]$

$\text{char } k = 0, \mathbb{I} = G(\mathcal{I}_V \times \{\text{ord}_P(I_V)\}) \Rightarrow$
 $\bar{h} \in L(\mathfrak{D}(\mathbb{I}))_1 \leftrightarrow \text{max. cont. } V(h) \text{ of } \mathcal{I}_V$

Example $\mathbb{I} = G((x^2 - y^3) \times \{2\})$

$$L(\mathfrak{D}(\mathbb{I})) = k[x], \quad L(\mathfrak{D}(\mathbb{I}))_1 = k \cdot x$$

From these observations, we can see

the substitute of max. cont. should correspond to generators of $L(\mathbb{I})$.

How is L generated in $p > 0$?

Proposition 6 (Hironaka-Oda)

S : polynomial ring/ k , $\text{char } k = p > 0$

$L \subset S$: graded k -subalgebra of S ,

stable under differentiation

$$\Rightarrow \begin{cases} \exists x_1, \dots, x_\ell \in S_1 & : k\text{-lin. indep.} \\ \exists e_1, \dots, e_\ell \in \mathbb{Z}_{\geq 0} & : \text{non-neg. integers} \end{cases}$$

s.t. $x_1^{p^{e_1}}, \dots, x_\ell^{p^{e_\ell}}$ generate S as k -algebra.

Remark Also VALID for $\text{char } k = 0$ if we set $p = \infty$. $\implies \forall e_i = 0$.
i.e. L is generated by L_1 .

Definition 7 A representative $\mathbb{H} \subset \mathbb{I}$ of generators of $L(\mathbb{I})$ in the shape as above is called a **leading generator system (LGS)** of \mathbb{I} . By definition, \mathbb{H} is not unique.

$$\mathbb{H} = \{(h_i, p^{e_i}) \mid 1 \leq i \leq \ell\}$$

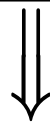
$$h_i = x_i^{p^{e_i}} + (\text{higher}).$$

Example LGS \mathbb{H} of $G((x^2 - y^3) \times \{2\})$:

$$\mathbb{H} = \begin{cases} \{(x, 1)\} & \text{char } k \neq 2 \\ \{(x^2 - y^3, 2)\} & \text{char } k = 2 \end{cases}$$

Remark $V(h_i)$ may be **singular**.

6 Enlargement

 (I, b)
Classical
 \downarrow **change level** $b \rightarrow \text{ord}_P(I) = b \cdot \mu$
 $(I, \text{ord}_P(I))$ on low dim'l ambient $H \subset M$

How to Translate?
 \mathbb{I} with LGS \mathbb{H}
IFP
 \cap “enlargement”

 \mathbb{I}'

on original ambient M

Rough idea

- divide \mathbb{I} into \mathbb{H} and “remainder w.r.t. \mathbb{H} ”

$$\mathbb{I} = \text{“} \mathbb{H} + (\text{Remainder}) \text{”}$$

- and change level of “remainder” part

$$\mathbb{I}' = \text{“} \mathbb{H} + (\text{level-adjusted Remainder}) \text{”}$$

Following example is the idealistic case.

Example Translate as follows:

$$\text{pair: } (x^2 - y^3) \subset k[x, y, z]_{\mathfrak{m}_0}/(x), 2)$$

$$\Downarrow$$

$$\text{I.F.: } G((x, 1), (x^2 - y^3, 2)) \text{ on } k[x, y, z]_{\mathfrak{m}_0}$$

and

$$\text{pair: } ((x^2 - y^3) \subset k[x, y, z]_{\mathfrak{m}_0}/(x), 3)$$

$$\Downarrow$$

$$\text{I.F.: } G((x, 1), (y^3, 3)) \text{ on } k[x, y, z]_{\mathfrak{m}_0}$$

Is it always possible?

Yes, but in **formal** level. In \widehat{R} , we have

$$\widehat{\mathbb{I}} = G(\mathbb{H} \cup \{(c_0(f), a) \mid (f, a) \in \mathbb{I}\})$$

$$\widehat{\mathbb{I}}' = \mathfrak{D}(G(\mathbb{H} \cup \{(c_0(f), \mu \sim a) \mid (f, a) \in \mathbb{I}\}))$$

where $c_0(f)$ is determined as follows:

Remainder in completion

Take

$$\begin{cases} \mathbf{x} = \{x_1, \dots, x_\ell\}, y \subset R \\ \mathbb{H} = \{(h_i, p^{e_i}) \mid 1 \leq i \leq \ell\}: \text{LGS of } \mathbb{I} \end{cases}$$

such that

$$\begin{cases} h_i \in x_i^{p^{e_i}} + \mathfrak{m}^{p^{e_i}+1} \quad (1 \leq i \leq \ell) \\ \{\mathbf{x}, y\}: \text{reg. sys. of par's(RSP) of } R \end{cases}$$

Proposition 8 Regard $\hat{R} = k[[\mathbf{x}, y]]$. Then,

$$f \in \hat{R} \Rightarrow \exists! c_0(f) \in k[[y]][x] \subset \hat{R}$$

$$\text{s.t.} \quad \begin{cases} f - c_0(f) \in \sum_{i=1}^r h_i \hat{R} \\ \deg_{x_i}(c_0(f)) < p^{e_i} \quad (1 \leq i \leq \ell) \end{cases}$$

 $c_0(f)$: “the remainder of f w.r.t. \mathbb{H} ”.**Descent to Zariski local level**

Not finished.

Later we will investigate this subject again.

7 Paired invariants

\mathbb{I} : \mathfrak{D} -saturated I.F. on R as before,

$\mathbb{H} = \{(h_i, p^{e_i}) \mid i\}$: LGS of \mathbb{I}

Definition 9 (σ : “dimension”) Define

$$\sigma(\mathbb{I}) = (\sigma_0, \sigma_1, \dots) \in \mathbb{Z}_{\geq 0}^{\infty}$$

where $\sigma_e = \dim R - \#\{i \mid e_i \leq e\}$

Example $\mathbb{I} = \mathfrak{D}(G((x^2 - y^3) \times \{2\}))$:

$$\mathbb{H} = \begin{cases} \{(x, 1 = p^0)\} & (p \neq 2) \\ \{(x^2 - y^3, 2 = p^1)\} & (p = 2) \end{cases}$$

$$\dim R = \dim k[x, y, z]_{\mathbf{0}} = 3$$

$$\Rightarrow \sigma(\mathbb{I}) = \begin{cases} (2, 2, 2, \dots) & p \neq 2 \\ (3, 2, 2, \dots) & p = 2 \end{cases}$$

Remark $\text{char } k = 0 \Rightarrow \sigma(\mathbb{I})$: const. seq.

Definition 10 (μ^\sim : order mod. \mathbb{H}) Define

$$\text{ord}_{\mathbb{H}}(J) = \sup\{n \in \mathbb{Z}_{\geq 0} \mid J \subset \mathfrak{m}^n + \sum_i R h_i\}$$

and $\mu^\sim(\mathbb{I}) = \inf_{a>0} \frac{\text{ord}_{\mathbb{H}}(\mathbb{I}_a)}{a}$

Example

$$\begin{aligned} \mathbb{I} &= \mathfrak{D}(\mathbb{G}((x^2 - y^3) \times \{2\})) \\ &= \mathbb{G}((x^2 - y^3, 2), (2x, 1), (3y^2, 1)) \\ \mathbb{H} &= \begin{cases} \{(x, 1)\} & (p \neq 2) \\ \{(x^2 - y^3, 2)\} & (p = 2) \end{cases} \end{aligned}$$

$$p \neq 2 \Rightarrow \text{modulo } (x) \Rightarrow \mu^\sim(\mathbb{I}) = \frac{3}{2}$$

$$p = 2 \Rightarrow \text{modulo } (x^2 - y^3) \Rightarrow \mu^\sim(\mathbb{I}) = 2$$

Proposition 11 If \mathbb{I} is \mathfrak{D} -saturated,

$\sigma(\mathbb{I})$ and $\mu^\sim(\mathbb{I})$ are independent

of the choice of LGS \mathbb{H} .

8 Basic Results

We have to arrange the situation to function without “nonsingularity of max. cont.”

These results are important in this context.

Theorem 12 (U.S.C. of paired inv.)

$$\left\{ \begin{array}{l} \text{Spec } R : \text{nonsingular affine variety}/k \\ \mathbb{I} : \mathfrak{D}\text{-saturated I.F. on } R \end{array} \right.$$

$\Rightarrow (\sigma_P(\mathbb{I}), \mu_{\tilde{P}}(\mathbb{I}))$ with lex. order is **upper semi-continuous** on $P \in \max\text{Spec } R$.

We look at only $\max\text{Spec } R$. It is enough since we define inv_P for only closed points P as in classical approach.

Theorem 13 (NonSingularity Principle)

Let \mathbb{I} be \mathfrak{D} -saturated I.F. on $R = \mathcal{O}_{M,P}$ with $\mu(\mathbb{I}) \geq 1$. Assume $\mu^\sim(\mathbb{I}) = \infty$. Then,

1. \mathbb{I} is generated by LGS \mathbb{H} of \mathbb{I} .
2. $\left\{ \begin{array}{l} \exists \{x_i \mid i\} \subset R \quad : \text{a part of RSP of } R \\ \exists \{e_i \mid i\} \subset \mathbb{Z}_{\geq 0} \quad : \text{non-neg. integers} \end{array} \right.$
such that $\left\{ (x_i^{p^{e_i}}, p^{e_i}) \mid i \right\}$ is an LGS of \mathbb{I} .

This theorem says:

In the final step of defining invariant,

$\mu^\sim(\mathbb{I}) = \infty$. Then, Support of \mathbb{I} is

germ of nonsingular variety. i.e.

$$\text{Supp}(\mathbb{I}) = V(\{x_i \mid i\}) \quad \text{near } P$$