

RIMS Workshop

**Introduction to
Idealistic Filtration Program**

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

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Lecture 3

Can we lift
the algorithm in $\text{char} = 0$
via $(\sigma, \tilde{\mu}, s)$ -method
to the one in $\text{char} = p > 0$?

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1 Question of translating the algorithm

Question Can we translate the algorithm in $\text{char} = 0$ via $(\sigma, \tilde{\mu}, s)$ -method into the one in $\text{char} = p > 0$?

Answer YES !

Basic structure remains the same.

Inductive weaving of the strand

& construction of the modification

- Unit $(\sigma, \tilde{\mu}, s)$ makes sense via the notion of LGS III.
- Modification (\mathbb{I}, E) makes sense via the construction of “Cpc” (at the analytic level) and “Bd”

Termination in the horizontal direction

- Main mechanism of induction on (σ, t) is valid.

Choice of the center

$C_i = \text{Supp}(\mathbb{I}_i^{m_i})$ nonsingular

Case: $\cdots (\sigma_i^{m_i}, \infty, 0)$

Use **Nonsingularity Principle**

Case: $\cdots (\sigma_i^{m_i}, 0, 0, \Gamma)$ **MONOMIAL CASE**

Use **what ???**

$C_i = \text{Supp}(\mathbb{I}_i^{m_i})$ transversal to E_i

The same argument as before.

Termination in the vertical direction

Crucial Claim $\text{inv}(P_i) \leq \text{inv}(P_{i-1})$.

Proof ???

Claim $\text{inv}(P_i) < \text{inv}(P_{i-1})$.

Assuming **Crucial Claim**,

the same proof works.

Claim \nexists an infinite sequence

$\text{inv}(P_0) > \text{inv}(P_1) > \cdots$

$> \text{inv}(P_{i-1}) > \text{inv}(P_i) > \cdots$

The same proof works.

2 Power Series Expansion w.r.t. LGS

Given

$\mathbb{I} = \mathfrak{D}(\mathbb{I})$; a \mathfrak{D} -saturated idealistic filtration

\mathbb{H} ; an LGS of \mathbb{I}

Power Series Expansion

w.r.t.

$$\mathbb{H} = \{(h_\alpha, p^{e_\alpha})\}_{\alpha=1}^l \text{ LGS}$$

$$h_\alpha = x_\alpha^{p^{e_\alpha}} \bmod \mathfrak{m}_P^{p^{e_\alpha}+1}$$

and its associated reg. sys. of parameters

$$(x_1, \dots, x_l, x_{l+1}, \dots, x_d).$$

$$\forall f \in \widehat{\mathcal{O}_{W,P}}$$

$$\exists! f = \sum c_B(f) H^B, \quad H^B = h_1^{b_1} \cdots h_l^{b_l}$$

and

$$\deg_{x_\alpha} c_B(f) \leq p^{e_\alpha} - 1 \text{ for } \alpha = 1, \dots, l,$$

i.e.,

$$c_B(f) = \sum_{0 \leq n_\alpha \leq p^{e_\alpha} - 1} c_{n_1 \dots n_l} x_1^{n_1} \cdots x_l^{n_l}$$

$$\text{with } c_{n_1 \dots n_l} \in k[[x_{l+1}, \dots, x_d]]$$

Coefficient Lemma

$$(f, a) \in \mathfrak{D}(\widehat{\mathbb{I}}) = \widehat{\mathfrak{D}(\mathbb{I})}$$

 \implies

$$(c_B(f), a - |[B]|) \in \mathfrak{D}(\widehat{\mathbb{I}})$$

$$\text{where } |[B]| = b_1 p^{e_1} + \dots + b_l p^{e_l}.$$

In particular,

$$(c_{\mathbb{0}}(f), a) \in \mathfrak{D}(\widehat{\mathbb{I}}).$$

Example of the use of Power Series Expansion & Coefficient Lemma in translating the algorithm

Case: $\text{inv}^{\leq j-1}(P_i) < \text{inv}^{\leq j-1}(P_{i-1})$

o **Description of**

$$\begin{aligned} \tilde{\mu}_i^j &= \mu_{\mathbb{H}}(\mathfrak{D}(\mathbb{I}_i^{j-1})) \\ &= \inf \left\{ \text{ord} \left(\boxed{c_0(f)} \right) / a; \right. \\ &\quad \left. (f, a) \in \mathfrak{D}(\mathbb{I}_i^{j-1}), a \in \mathbb{Z}_{>0} \right\} \end{aligned}$$

makes sense thanks to Power Series Expansion.

o **Description of**

$$\begin{aligned} &\text{NaiveCpc}(\mathbb{I}_i^{j-1}) \\ &= G \left(\mathfrak{D}(\mathbb{I}_i^{j-1}) \cup \left\{ \begin{array}{l} (\boxed{c_0(f)}, \tilde{\mu}_i^j \cdot a); \\ (f, a) \in \mathfrak{D}(\mathbb{I}_i^{j-1}), a \in \mathbb{Z}_{>0} \end{array} \right\} \right) \end{aligned}$$

and

$$\text{Cpc}(\mathbb{I}_i^{j-1}) = G \left[IL \left\{ \mathfrak{D} \left(\text{NaiveCpc}(\mathbb{I}_i^{j-1}) \right) \right\} \right]$$

makes sense thanks to Power Series Expansion

at the analytic level.

(at the algebraic level ? ^{partial} ← Lecture 5 by Kawanoue)

○ Independence of “Cpc” from the choice of LGS III and $(x_1, \dots, x_l, x_{l+1}, \dots, x_d)$ holds thanks to \mathfrak{D} -saturation and **Coefficient Lemma**

Case: $\text{inv}^{\leq j-1}(P_i) < \text{inv}^{\leq j-1}(P_{i-1})$

We use the “**logarithmic versions**” of
Power series Expansion &
Coefficient Lemma

3 Question of validity of the translated algorithm

Question Will the translated algorithm via $(\sigma, \tilde{\mu}, s)$ -method in $\text{char} = p > 0$ work ?

Answer NO !

We have trouble handling

MONOMIAL CASE

Crucial Claim $\text{inv}(P_i) \leq \text{inv}(P_{i-1})$.

We present some easy **BAD EXAMPLES**.

4 Bad examples

Example 1

- Invariant $\tilde{\mu}$ strictly increases after “permissible” blowup.; Trouble with **Crucial Claim**

$$\boxed{\text{char}(k) = 2}$$

$$\mathbb{H}_i^{j-1} \quad (x^2 + f^{11}y^4, 2) \\ (f^{18}z^4, 2) \quad / f^{18} (z^4, 2)$$

$$\mathfrak{D}_{E_{i,\text{young}}^{j-1}}(\mathbb{H}_i^{j-1}) \quad f \frac{\partial}{\partial f}(x^2 + f^{11}y^4, 2) \\ = (f^{11}y^4, 1) \quad / f^9 (f^2y^4, 1)$$

$$\left\{ \begin{array}{l} E_{i,\text{young}}^{j-1} = \{F\}, \quad F = \{f = 0\} \\ \mathbb{H}_i = \{(x^2 + f^{11}y^4, 2)\} = \{(h, 2)\} \end{array} \right.$$

$\mu_F = 9$ i.e., divisible mod \mathbb{H}_i by f^9 per level

$$\boxed{\tilde{\mu}_i^j = 2}$$

Blowup with center (x, f, z)

Description after blowup

w.r.t. $(x' = x/f, y, z' = z/f, f)$

$$\begin{aligned}
 \pi^\sharp(\mathbb{H}_i^{j-1}) & \quad \pi^\sharp(x^2 + f^{11}y^4, 2) \\
 & = (x'^2 + f^9y^4, 2) \\
 & \quad \pi^\sharp(f^{18}z^4, 2) \\
 & = (f^{20}z'^4, 2) \quad /f^{18} (f^2z'^4, 2) \\
 & \quad \pi^\sharp(f^{11}y^4, 1) \\
 & = (f^{10}y^4, 1) \quad /f^9 (fy^4, 1)
 \end{aligned}$$

$$\mathfrak{D}_{E_{i+1,\text{young}}^{j-1}}(\mathbb{H}_{i+1}^{j-1}) =$$

$$\mathfrak{D}_{E_{i+1,\text{young}}^{j-1}}(\pi^\sharp(\mathbb{H}_i^{j-1}))$$

$$f \frac{\partial}{\partial f}(x'^2 + f^9y^4, 2)$$

$$= (f^9y^4, 1) \quad /f^9 (y^4, 1)$$

$$\begin{cases}
 E_{i+1,\text{young}}^{j-1} = \{F_{\text{new}}\}, & F_{\text{new}} = \{f = 0\} \\
 \mathbb{H}_{i+1} = \{(x'^2 + f^9y^4, 2)\}
 \end{cases}$$

$\mu_{F_{\text{new}}} = 9$ i.e., divisible mod \mathbb{H}_{i+1} by f^9 per level

$$\boxed{\tilde{\mu}_{i+1}^j = 3 > 2 = \tilde{\mu}_i^j}$$

Source of trouble

$$\begin{array}{ccc}
 (f^{11}y^4, 1) & \xleftarrow{f \frac{\partial}{\partial f}} & (x^2 + f^{11}y^4, 2) \\
 \downarrow \pi^\sharp & & \downarrow \pi^\sharp \\
 (f^{10}y^4, 1) \neq (f^9y^4, 1) & \xleftarrow{f \frac{\partial}{\partial f}} & (x'^2 + f^9y^4, 2)
 \end{array}$$

Conclusion: We will have trouble showing

$$\boxed{\text{Crucial Claim}} \quad \text{inv}(P_i) < \text{inv}(P_{i-1}).$$

Example 2

◦ We get thrown out of the monomial case after blowup.; Trouble with **MONOMIAL CASE**.

$$\boxed{\text{char}(k) = 2}$$

$$\begin{aligned} \mathbb{H}_i^{m_i-1} & \quad (x^2 + f^{10}yz, 2) \\ & \quad (f^{20}, 2) \quad / f^{20} (1, 2) \end{aligned}$$

$$\begin{aligned} \mathfrak{D}_{E_{i,\text{young}}^{m_i-1}}(\mathbb{H}_i^{m_i-1}) & \quad \frac{\partial}{\partial y}(x^2 + f^{10}yz, 2) \\ & = (f^{10}z, 1) \quad / f^{10} (z, 1) \end{aligned}$$

$$\begin{aligned} & \quad \frac{\partial}{\partial z}(x^2 + f^{10}yz, 2) \\ & = (f^{10}y, 1) \quad / f^{10} (y, 1) \end{aligned}$$

$$\begin{cases} E_{i,\text{young}}^{m_i-1} = \{F\}, F = \{f = 0\} \\ \mathbb{H}_i = \{(x^2 + f^{10}yz, 2)\} = \{(h, 2)\} \end{cases}$$

$\mu_F = 10$ i.e., divisible mod \mathbb{H}_i by f^{10} per level

$$\boxed{\tilde{\mu}_i^{m_i} = 0}$$

We are in **MONOMIAL CASE**.

Blowup with center (x, f) defining

$$\text{Supp} \left(\mathfrak{D}_{E_{i,\text{young}}^{m_i-1}}(\mathbb{H}_i^{m_i-1})|_F \right)$$

Description after blowup

w.r.t. $(x' = x/f, y, z, f)$

$$\begin{aligned} \pi^\sharp(\mathbb{I}_i^{m_i-1}) & \pi^\sharp(x^2 + f^{10}yz, 2) \\ & = (x'^2 + f^8yz, 2) \end{aligned}$$

$$\pi^\sharp(f^{20}, 2) = (f^{18}, 2) \quad / f^{16} \quad (f^2, 2)$$

$$\pi^\sharp(f^{10}z, 1) = (f^9z, 1) \quad / f^8 \quad (fz, 1)$$

$$\pi^\sharp(f^{10}y, 1) = (f^9y, 1) \quad / f^8 \quad (fy, 1)$$

$$\mathfrak{D}_{E_{i+1,\text{young}}^{m_i-1}}(\mathbb{I}_{i+1}^{m_i-1}) = \mathfrak{D}_{E_{i+1,\text{young}}^{m_i-1}}(\pi^\sharp(\mathbb{I}_i^{m_i-1}))$$

$$\frac{\partial}{\partial y}(x'^2 + f^8yz, 2)$$

$$= (f^8z, 1) \quad / f^8 \quad (z, 1)$$

$$\frac{\partial}{\partial z}(x'^2 + f^8yz, 2)$$

$$= (f^8y, 1) \quad / f^8 \quad (y, 1)$$

$$\left\{ \begin{array}{l} E_{i+1,\text{young}}^{m_i-1} = \{F_{\text{new}}\}, \quad F_{\text{new}} = \{f = 0\} \\ \mathbb{H}_{i+1} = \{(x'^2 + f^8yz, 2)\} \end{array} \right.$$

$\mu_{F_{\text{new}}} = 8$ i.e., divisible mod \mathbb{H}_{i+1} by f^8 per level

$$\boxed{\tilde{\mu}_{i+1}^{m_i} = 1 > 0 = \tilde{\mu}_i^j}$$

Source of trouble

$$\begin{array}{ccc}
 (f^{10}z, 1) & \xleftarrow{\frac{\partial}{\partial y}} & (x^2 + f^{10}yz, 2) \\
 \downarrow \pi^\sharp & & \downarrow \pi^\sharp \\
 (f^9z, 1) \neq (f^8z, 1) & \xleftarrow{f \frac{\partial}{\partial f}} & (x'^2 + f^8yz, 2)
 \end{array}$$

Conclusion: We can NOT stay

in the MONOMIAL CASE.

Example 3

o Failure to choose the nice center

(as naively expected) in **MONOMIAL CASE**

$$\boxed{\text{char}(k) = 5}$$

$$\mathbb{I}_i^{m_i-1} \quad (x^5 + f^4(y^2 - z^3), 5)$$

$$(f^4, 4) \quad / f^4 \quad (1, 4)$$

$$\mathfrak{D}_{E_{i,\text{young}}^{m_i-1}} (\mathbb{I}_i^{m_i-1})$$

$$f \frac{\partial}{\partial f} (x^5 + f^4(y^2 - z^3), 5)$$

$$= (4f^4(y^2 - z^3), 4) \quad / f^4 \quad (4(y^2 - z^3), 4)$$

$$\frac{\partial}{\partial y} (x^5 + f^4(y^2 - z^3), 5)$$

$$= (2yf^4, 4) \quad / f^4 \quad (2y, 4)$$

$$\frac{\partial}{\partial z} (x^5 + f^4(y^2 - z^3), 5)$$

$$= (-3z^2 f^4, 4) \quad / f^4 \quad (-3z^2, 4)$$

$$\left\{ \begin{array}{l} E_{i,\text{young}}^{m_i-1} = \{F\}, \quad F = \{f = 0\} \\ \mathbb{H}_i = \{(x^5 + f^4(y^2 - z^3), 5)\} = \{(h, 5)\} \end{array} \right.$$

$\mu_F = 4$ i.e., divisible mod \mathbb{H}_i by f^4 per level

$$\boxed{\tilde{\mu}_i^{m_i} = 0}$$

We are in **MONOMIAL CASE**.

Naive choice of the center (x, f) defining

$$\text{Supp} \left(\mathfrak{D}_{E_{i,\text{young}}^{m_i-1}} (\mathbb{I}_i^{m_i-1}) \Big|_F \right)$$

following the analogy to the classical method

HOWEVER

$$\text{Supp} \left(\mathfrak{D}_{E_{i,\text{young}}^{m_i-1}} (\mathbb{I}_i^{m_i-1}) \right) \not\equiv \text{Supp} \left(\mathfrak{D}_{E_{i,\text{young}}^{m_i-1}} (\mathbb{I}_i^{m_i-1}) \Big|_F \right)$$

defined by

$$\underbrace{(x, f, y^2 - z^3)}$$

NOT nonsingular

defined by

$$(x, f)$$

Source of trouble

$$(4(y^2 - z^3)f^4, 4) \xleftarrow{f \frac{\partial}{\partial f}} (x^5 + f^4 \underbrace{(y^2 - z^3)}, 5)$$

$$(2yf^4, 4) \xleftarrow{\frac{\partial}{\partial y}}$$

$$(-3z^2f^4, 4) \xleftarrow{\frac{\partial}{\partial z}}$$

invisible

after setting $f = 0$

Conclusion: We can NOT choose

a nice nonsingular center

in **MONOMIAL CASE**.

5 Analysis of trouble

An element in LGS is of the form

$$h = \underbrace{x^{p^e}}_{\text{Principal part}} + \boxed{\text{TAIL}}.$$

It is $\boxed{\text{TAIL}}$ that is causing all the **TROUBLE**.

Conclusion We should incorporate the information on $\boxed{\text{TAIL}}$ into our algorithm.

How ?

$$h = \underbrace{x^{p^e}}_{\text{Principal part}} + \boxed{\text{TAIL}}$$

δ : a diff. operator (of degree $0 < \deg \delta < p^e$)

$$\begin{aligned} \delta h &= \underbrace{\delta x^{p^e}}_{\parallel} + \delta \boxed{\text{TAIL}} \\ &= 0 \end{aligned}$$

Study of the derivatives of $\delta h = \delta \boxed{\text{TAIL}}$

→

Information on $\boxed{\text{TAIL}}$

6 Introduction of invariant $\tilde{\nu}$

SPIRIT: Mimic the construction of invariant $\tilde{\mu}$

$\tilde{\mu}$: **Weak order**

(order after divided as much as possible by
the defining equations of the exceptional divisors)
in regard to all the elements in $\mathfrak{D}_{E_{\text{young}}}(\mathbb{I})$

$\tilde{\mu}$: **Weak order**

(order after divided as much as possible by
the defining equations of the exceptional divisors)
in regard to all the derivatives of LGS

Definition of $\tilde{\nu}_i^j$

$$\mathfrak{D}_{E_{i,\text{young}}^{j-1}}(\mathbb{H}_i^{j-1}) := \mathbb{J}$$

$$\mathbb{H} = \{(h_\alpha, p^{e_\alpha})\}_{\alpha=1}^l \text{ an LGS}$$

$$\{p^{e_\alpha}\}_{\alpha=1}^l = \{p^{e_1} < \dots < p^{e_m}\} = \{p^{e_\beta}\}_{\beta=1}^m$$

$$\begin{aligned} \tilde{\nu}_i^j &= \nu_{\mathbb{H}, E_{i,\text{young}}^{j-1}}(\mathbb{J}) \\ &:= \nu_{\mathbb{H}}(\mathbb{J}) - \sum_{F_\lambda \subset E_{i,\text{young}}^{j-1}} \nu_\lambda \end{aligned}$$

where

$$\left\{ \begin{array}{l} D_{E_{i,\text{young}}^{j-1}}^t(\mathbb{J}_{p^{e_\beta}}) \text{ with } t \in \mathbb{Z}_{>0}, p^{e_\beta} - t > 0 \\ \quad := \{(f, p^{e_\beta} - t) = (\delta(g), p^{e_\beta} - t); \\ \quad \quad \delta \in \text{Diff}_{E_{i,\text{young}}}^t, g \in \mathbb{J}_{p^{e_\beta}}\} \\ \nu_{\mathbb{H}}(\mathbb{J}) \quad := \inf\{\text{ord}(c_0(f)) / (p^{e_\beta} - t); \\ \quad (f, p^{e_\beta} - t) \in D_{E_{i,\text{young}}^{j-1}}^t(\mathbb{J}_{p^{e_\beta}}), \\ \quad t \in \mathbb{Z}_{>0}, p^{e_\beta} - t > 0, f = \sum c_B(f) H^B\} \\ \nu_\lambda \quad := \inf\{n / (p^{e_\beta} - t); \\ \quad c_0(f) \text{ is divisible by } f_\lambda^n, \\ \quad (f, p^{e_\beta} - t) \in D_{E_{i,\text{young}}^{j-1}}^t(\mathbb{J}_{p^{e_\beta}}), \\ \quad t \in \mathbb{Z}_{>0}, p^{e_\beta} - t > 0, f = \sum c_B(f) H^B\} \end{array} \right.$$

Lemma

$\nu_{\mathbb{H}, E_{i, \text{young}}^{j-1}}(\mathbb{J})$ is independent of the choice of \mathbb{H}
(or \mathbb{H}_V). Therefore, $\tilde{\nu}_i^j$ is well-defined.

7 Observe how invariant $\tilde{\nu}$ overcomes trouble

Example 1

Center (x, f, z)

$(\sigma, \tilde{\mu}, s)$ -permissible

$$\tilde{\mu}_i^j = 2$$

NOT $(\sigma, \tilde{\mu}, \tilde{\nu}, s)$ -permissible

$$< \tilde{\mu}_{i+1}^j = 3$$

Compute

$$\tilde{\nu}_i^j = 4$$

$$f \frac{\partial}{\partial f} (x^2 + f^{11} y^4, 2)$$

$$= (f^{11} y^4, 1)$$

$$\nu_F = 11$$

divisible mod \mathbb{H} by f^{11} per level

$$/ f^{11} (y^4, 1)$$

New Center (x, f, y, z)

$(\sigma, \tilde{\mu}, \tilde{\nu}, s)$ -permissible

$$\tilde{\mu}_i^j = 2 \geq \tilde{\mu}_{i+1}^j = 2$$

Example 2 (Say $E_{i,\text{aged}}^{j-1}$)

$(\sigma, \tilde{\mu}, s)$ -method

$$(\sigma_i^j, \tilde{\mu}_i^j, s_i^j)$$

$$\parallel \quad \parallel$$

$$0 \quad 0$$

→ End of weaving. Try to determine the center as in the classical monomial case.

Center (x, f)

$$\tilde{\mu}_i^j = 0 < \tilde{\mu}_{i+1}^j = 1.$$

$(\sigma, \tilde{\mu}, \nu, s)$ -method

$$(\sigma_i^j, \tilde{\mu}_i^j, \nu_i^j, s_i^j)$$

$$\parallel \quad \parallel \quad \parallel$$

$$0 \quad 1 \quad 0$$

→ Weaving continues. Center determined by the later units.

Center $((x, f, y, z): (\sigma, \tilde{\mu}, \tilde{\nu}, s)$ -permissible

$$\tilde{\mu}_i^j = 0 = \tilde{\mu}_{i+1}^j = 0.$$

Computation of $\tilde{\nu}_i^j = 1$.

$$\begin{cases} \frac{\partial}{\partial y}(x^2 + f^{10}yz, 2) = (f^{10}z, 1) / f^{10} (z, 1) \\ \frac{\partial}{\partial z}(x^2 + f^{10}yz, 2) = (f^{10}y, 1) / f^{10} (y, 1) \\ \nu_F = 10 \end{cases}$$

We have to add y and z to make the center

$(\sigma, \tilde{\mu}, \tilde{\nu}, s)$ -permissible

Center (x, y) : **NOT** $(\sigma, \tilde{\mu}, \tilde{\nu}, s)$ -permissible

Center (x, f, y, z) : $(\sigma, \tilde{\mu}, \tilde{\nu}, s)$ -permissible

Example 3 (Say $E_{i,\text{aged}}^{j-1}$)

$(\sigma, \tilde{\mu}, s)$ -method

$$(\sigma_i^j, \tilde{\mu}_i^j, s_i^j)$$

$$\parallel \parallel$$

$$0 \quad 0$$

→ End of weaving. Try to determine the center as in the classical monomial case.

We have **TROUBLE** choosing a good center.

$(\sigma, \tilde{\mu}, \nu, s)$ -method

$$(\sigma_i^j, \tilde{\mu}_i^j, \nu_i^j, s_i^j)$$

$$\parallel \parallel \parallel$$

$$0 \quad 1/4 \quad 0$$

→ Weaving continues. Center determined by the later units.

Center (x, f, y, z) : **nonsingular**, $(\sigma, \tilde{\mu}, \tilde{\nu}, s)$ -permissible