

VECTOR SPACE BASES FOR THE HOMOGENEOUS PARTS IN HOMOGENEOUS IDEALS AND GRADED MODULES OVER A POLYNOMIAL RING

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Abstract: In this paper, vector space bases for the homogeneous parts of homogeneous ideals and graded modules over a commutative polynomial ring are given using Gröbner bases.

AMS Subject Classification: 13F20, 13A02

Key Words: graded ring, polynomial ring, homogeneous ideal, vector space basis

1. Introduction

Gröbner bases have originally been introduced by Buchberger for the algorithmic solution of some fundamental problems in commutative algebra [3]. Since then Gröbner bases evolved into a crucial concept in symbolic computations providing a uniform approach to solving a wide range of problems such as effective computations in residue class rings modulo polynomial ideals and in modules over polynomial rings, and calculating syzygies and graded resolutions for homogeneous ideals [2, 4, 6].

In this paper, we provide bases for the vector spaces corresponding to the homogeneous parts of homogeneous ideals or graded modules over a polynomial ring. Moreover, we show that the vector space basis for the homogenous part

Received: April 4, 2014

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of a homogeneous ideal is also a Gröbner basis for the ideal generated by the homogeneous part if the degree of the homogeneous part is large enough. The required notions and definitions are introduced in Section 2 and the results are provided in the Sections 3 and 4.

2. Graded Rings and Gröbner Bases for Modules

Let $R = \mathbb{K}[x_0, x_1, \dots, x_n]$ denote the commutative polynomial ring in $n + 1$ indeterminates over a field \mathbb{K} . The *monomials* in R are denoted by $\mathbf{x}^u = x_0^{u_0} \cdots x_n^{u_n}$, where $u = (u_0, \dots, u_n) \in \mathbb{N}_0^{n+1}$. The *total degree* of a monomial \mathbf{x}^u is the sum $|u| = u_1 + \dots + u_n$. The ring R has a natural grading in the sense that it admits a direct sum decomposition

$$R = \bigoplus_{s \geq 0} R_s, \quad (1)$$

where for each integer $s \geq 0$ the set R_s is the additive subgroup of R that consists of all homogeneous polynomials of degree s plus the zero polynomial, and the complex product $R_s R_t = \{rr' \mid r \in R_s, r' \in R_t\}$ is contained in R_{s+t} for all $s, t \geq 0$. Note that $R_0 = \mathbb{K}$ and $R_0 R_s \subseteq R_s$. Thus the subgroups R_s are also \mathbb{K} -vector spaces.

A module M over R (or any graded ring) is a *graded module* over R if it can be decomposed as

$$M = \bigoplus_{t \in \mathbb{Z}} M_t, \quad (2)$$

where each M_t is an additive subgroup of the additive group of M with the property that the complex product $R_s M_t = \{rm \mid r \in R_s, m \in M_t\}$ lies in M_{s+t} for all $s \geq 0$ and all $t \in \mathbb{Z}$. Each additive subgroup M_t is a module over $R_0 = \mathbb{K}$ since $R_0 M_t \subset M_t$. Thus the subgroups M_t are also \mathbb{K} -vector spaces.

Let $m \geq 1$ be an integer. The free R -module R^m has the standard basis consisting of the canonical unit vectors $\mathbf{e}_1, \dots, \mathbf{e}_m$. The module R^m is graded over R with the (standard) grading

$$(R^m)_t = (R_t)^m, \quad t \in \mathbb{Z}.$$

Note that $(R^m)_t = \{0\}$ if $t \leq 0$.

A *monomial* in R^m is an element of the form $\mathbf{x}^u \mathbf{e}_i$ for some $1 \leq i \leq m$ and $u \in \mathbb{N}_0^{n+1}$. Each element in R^m can be uniquely written as a \mathbb{K} -linear

combination of monomials. For instance, let $R = \mathbb{K}[x, y]$ and take the following element in R^2 ,

$$\begin{pmatrix} 3x^2y + xy^2 + 1 \\ x^3y^2 + 2xy^5 - 3y \end{pmatrix} = 3x^2y\mathbf{e}_1 + xy^2\mathbf{e}_1 + \mathbf{e}_1 + x^3y^2\mathbf{e}_2 + 2xy^5\mathbf{e}_2 - 3y\mathbf{e}_2.$$

A *monomial order* on R^m is a relation \succ on the set of monomials in R^m satisfying the following conditions: (1) \succ is a total order, (2) \succ is well-ordering, and (3) for any monomials $m, m' \in R^m$, $m \succ m'$ implies $\mathbf{x}^u m \succ \mathbf{x}^u m'$ for each monomial $\mathbf{x}^u \in R$.

Any monomial order on R can be extended to a monomial order on R^m . For this, an ordering of the standard basis vectors needs to be fixed, say by downward ordering $\mathbf{e}_1 > \dots > \mathbf{e}_m$. Then the TOP (term over position) extension of a monomial order \succ on R , denoted by \succ_{TOP} , is defined as

$$\mathbf{x}^u \mathbf{e}_i \succ_{TOP} \mathbf{x}^v \mathbf{e}_j \quad :\Longleftrightarrow \quad \mathbf{x}^u \succ \mathbf{x}^v \vee (\mathbf{x}^u = \mathbf{x}^v \wedge i < j) \quad (3)$$

and the POT (position over term) extension of \succ , denoted by \succ_{POT} , is given by

$$\mathbf{x}^u \mathbf{e}_i \succ_{POT} \mathbf{x}^v \mathbf{e}_j \quad :\Longleftrightarrow \quad i < j \vee (i = j \wedge \mathbf{x}^u \succ \mathbf{x}^v). \quad (4)$$

For instance, if the lex order on $R = \mathbb{K}[x, y]$ with $x > y$ is extended to a TOP order on R^2 , then

$$x^3y^2\mathbf{e}_2 \succ_{TOP} 3x^2y\mathbf{e}_1 \succ_{TOP} 2xy^5\mathbf{e}_2 \succ_{TOP} xy^2\mathbf{e}_1 \succ_{TOP} -3y\mathbf{e}_2 \succ_{TOP} \mathbf{e}_1.$$

However, if the lex order on R is extended to a POT order on R^2 , then

$$3x^2y\mathbf{e}_1 \succ_{POT} -2xy^2\mathbf{e}_1 \succ_{POT} \mathbf{e}_1 \succ_{POT} x^3y^2\mathbf{e}_2 \succ_{POT} 2xy^5\mathbf{e}_2 \succ_{POT} -3y\mathbf{e}_2.$$

Given a monomial order \succ on R^m , each non-zero polynomial $f \in R^m$ has a unique *leading term* given by the largest involved term and denoted by $\text{lt}_\succ(f)$; the corresponding leading monomial is referred to as $\text{lm}_\succ(f)$. Each submodule M of R^m has a *leading submodule* generated as a module by the leading terms of its elements,

$$\langle \text{lt}_\succ(M) \rangle = \langle \{ \text{lt}_\succ(f) \mid f \in M \} \rangle. \quad (5)$$

A Gröbner basis for a submodule M of R^m w.r.t. a monomial order \succ on R^m is a finite subset \mathcal{G} of M with the property that the leading terms of the elements in \mathcal{G} generate the leading submodule of M , i.e.,

$$\langle \text{lt}_\succ(M) \rangle = \langle \{ \text{lt}_\succ(g) \mid g \in \mathcal{G} \} \rangle. \quad (6)$$

Each submodule of R^m has a Gröbner basis which is generally not uniquely determined. However, a unique Gröbner basis \mathcal{G} called *reduced Gröbner basis* can be obtained, where the leading terms of the elements in \mathcal{G} are monic and for two distinct elements g and g' in \mathcal{G} no term involved in g is divisible by the leading term of g' . Gröbner bases can be computed by *Buchberger's algorithm* for submodules which is available by almost every computer algebra system. More details on Gröbner bases and modules can be found in [1, 5].

3. Vector Space Bases for the Homogeneous Parts in Homogeneous Ideals

An ideal I in R is *homogeneous* if for any element $f \in I$ the homogeneous components of f are also in I . A homogeneous ideal I in R is a graded submodule of R with the direct sum decomposition

$$I = \bigoplus_{t \in \mathbb{Z}} I_t,$$

where the homogeneous parts are given by $I_t = I \cap R_t$ for all $t \in \mathbb{Z}$. Note that $I_t = \{0\}$ if $t \leq 0$.

A \mathbb{K} -basis for the homogeneous part R_t is given by all monomials of total degree t and so we have

$$\dim_{\mathbb{K}} R_t = \binom{t+n-1}{n-1}, \quad t \in \mathbb{N}_0.$$

Thus the homogeneous part I_t is a finite-dimensional vector space for each $t \in \mathbb{Z}$.

The quotient module R/I has also a graded module structure defined by

$$(R/I)_t = R_t/I_t = R_t/(I \cap R_t), \quad t \in \mathbb{Z}.$$

By the dimension formula,

$$\dim_{\mathbb{K}} R_t = \dim_{\mathbb{K}} I_t + \dim_{\mathbb{K}} (R/I)_t, \quad t \in \mathbb{N}_0,$$

and thus the quotient spaces $(R/I)_t$ are also finite dimensional. Moreover, the ideal of leading terms of I fulfills

$$\dim_{\mathbb{K}} R_t/I_t = \dim_{\mathbb{K}} R_t/\langle \text{lt}_{\succ}(I) \rangle_t, \quad t \in \mathbb{N}_0,$$

where $\langle \text{lt}_{\succ}(I) \rangle_t = \langle \text{lt}_{\succ}(I) \rangle \cap R_t$.

Note that the additive subgroups I_t are not ideals. Nonetheless, we can consider the ideal $\langle I_t \rangle$ generated by the elements in I_t .

Proposition 1. *Let I be a homogeneous ideal in R . Let \mathcal{G} be the reduced Gröbner basis for I w.r.t. any monomial order \succ on R and let*

$$\text{lm}_{\succ}(I_t) = \{\text{lm}_{\succ}(f) \mid f \in I_t\} = \{\mathbf{x}^{a_1}, \dots, \mathbf{x}^{a_s}\}, \quad t \in \mathbb{N}_0.$$

Then a \mathbb{K} -basis for the vector space I_t is given by the set of binomials

$$B_t = \{\mathbf{x}^{a_1} - r_1, \dots, \mathbf{x}^{a_s} - r_s\},$$

where r_i is the remainder of \mathbf{x}^{a_i} on division by \mathcal{G} for $1 \leq i \leq s$.

The vector space I_t is non-trivial if and only if $t \geq \min\{\deg(\text{lt}_{\succ}(g)) \mid g \in \mathcal{G}\}$. If $t \geq \max\{\deg(\text{lt}_{\succ}(g)) \mid g \in \mathcal{G}\}$, then the set $\text{lm}_{\succ}(I_t)$ consists of all monomial multiples of the elements in $\{\text{lt}_{\succ}(g) \mid g \in \mathcal{G}\}$ which are of total degree t , and B_t is the reduced Gröbner basis for the homogeneous ideal $\langle I_t \rangle$.

Proof. Note that the reduced Gröbner basis \mathcal{G} for a homogeneous ideal always consists of homogeneous polynomials and the remainder of a homogeneous polynomial f divided by a set of homogeneous polynomials is either zero or homogeneous of the same total degree as f . It follows that if a monomial \mathbf{x}^{a_i} of total degree t is divided by the Gröbner basis \mathcal{G} giving the remainder r_i , then the difference $\mathbf{x}^{a_i} - r_i$ will be a polynomial of total degree t with leading term \mathbf{x}^{a_i} which lies in I_t , $1 \leq i \leq s$. Hence, B_t is contained in I_t .

By rearranging and deleting duplicates, we may assume that $\mathbf{x}^{a_1} \succ \dots \succ \mathbf{x}^{a_s}$. Let $f_i = \mathbf{x}^{a_i} - r_i \in I_t$, $1 \leq i \leq s$, and claim that the elements f_1, \dots, f_s form a \mathbb{K} -basis of I_t . Indeed, consider a nontrivial linear combination $k_1 f_1 + \dots + k_t f_t$ with $k_i \in \mathbb{K}$ and take the smallest index i such that $k_i \neq 0$. By the ordering of the leading monomials, there is nothing to cancel $k_i f_i$ and so the linear combination is nonzero. Hence, f_1, \dots, f_s are linearly independent.

Moreover, let U be the subspace of I_t spanned by f_1, \dots, f_s . Suppose U is a proper subspace of I_t . Pick an element $f \in I_t \setminus U$ whose leading monomial is minimal. By definition, the leading monomial of f equals the leading monomial of f_i for some i and $\text{lt}(f) = k \text{lt}(f_i)$ for some $k \in \mathbb{K}$. It follows that $f - k f_i$ lies in I_t and has a smaller leading monomial. Thus $f - k f_i \in U$ by the minimality of the leading monomial of f and so $f \in U$, a contradiction. Hence, $U = I_t$ and the claim follows.

Let $t \geq \min\{\deg(\text{lt}_{\succ}(g)) \mid g \in \mathcal{G}\}$. Then $t \geq \deg(g)$ for some element $g \in \mathcal{G}$ and thus the leading monomial of $g\mathbf{x}^u$ with $|u| + \deg(g) = t$ lies in $\text{lm}_{\succ}(I_t)$. Hence, the vector space I_t is non-trivial. Conversely, let $f \in I_t$. Then $f \in I$ and there is an element $g \in \mathcal{G}$ such that the leading term of f is divisible by the leading term of g . Hence, $t \geq \deg(g)$.

Finally, let $t \geq \max\{\deg(\text{lt}_{\succ}(g)) \mid g \in \mathcal{G}\}$ and claim that B_t is the reduced Gröbner basis for $\langle I_t \rangle$. Indeed, the set B_t generates I_t as a vector space and so generates also the ideal $\langle I_t \rangle$. It remains to show that the leading terms of the elements in B_t generate the leading ideal $\langle \text{lt}_{\succ}(\langle I_t \rangle) \rangle$. To this end, let $f \in \langle I_t \rangle$. Since $f \in I$, there is a Gröbner basis element $g \in \mathcal{G}$ such that $\text{lt}_{\succ}(g)$ divides $\text{lt}_{\succ}(f)$. By the choice of t , $\deg(g) \leq t$ and so all monomial multiples of $\text{lt}_{\succ}(g)$ of total degree t appear as leading terms in B_t . But the leading term of f is also a monomial multiple of $\text{lt}_{\succ}(g)$ (possibly of total degree larger than t) and so must be divisible by at least one monomial \mathbf{x}^{a_i} where $1 \leq i \leq s$. This proves the claim. \square

The set $\text{lm}_{\succ}(I_t)$ can be constructed from the reduced Gröbner basis \mathcal{G} for I w.r.t. any monomial order \succ as follows. Starting with the empty set add for each element $g \in \mathcal{G}$ with leading term of total degree $s \leq t$ all monomial multiples of $\text{lt}_{\succ}(g)$ that are of degree t , i.e., the set $\{\text{lt}_{\succ}(g)\mathbf{x}^u \mid |u| = t - s\}$. This will give the set $\text{lm}_{\succ}(I_t)$ in a finite number of steps, since the Gröbner basis is finite.

Example 1. Consider the homogeneous ideal

$$I = \langle z^3 - yw^2, yz - xw, y^3 - x^2z, xz^2 - y^2w \rangle \subset \mathbb{K}[x, y, z, w] = R.$$

The above set is the reduced Gröbner basis w.r.t. the grevlex order \succ on R with $x \succ y \succ z \succ w$. Thus

$$\langle \text{lt}_{\succ}(I) \rangle = \langle z^3, yz, y^3, xz^2 \rangle.$$

Note that all monomials in this generating set have degree greater than or equal to 2 and so $I_i = \{0\}$ for $i \leq 1$. By the above remark, the leading ideals for I_2 , I_3 and I_4 are generated as follows,

$$\begin{aligned} \text{lm}_{\succ}(I_2) &= \{yz\}, \\ \text{lm}_{\succ}(I_3) &= \{z^3, xyz, y^2z, yz^2, yzw, y^3, xz^2\}, \\ \text{lm}_{\succ}(I_4) &= \{xz^3, yz^3, z^4, wz^3, x^2yz, y^3z, yzw^2, xy^2z, y^2z^2, yz^2w, \\ &\quad xyz^2, y^2zw, xyzw, xy^3, y^4, y^3w, x^2z^2, xz^2w\}. \end{aligned}$$

By the division algorithm, a vector space basis for I_2 is $B_2 = \{yz - xw\}$, a vector space basis for I_3 is

$$\begin{aligned} B_3 &= \{z^3 - yw^2, xyz - x^2w, y^2z - xyw, yz^2 - xzw, \\ &\quad yzw - xw^2, y^3 - x^2z, xz^2 - y^2w\}, \end{aligned}$$

and a vector space basis for I_4 is

$$B_4 = \left\{ \begin{array}{lll} xz^3 - xyw^2, & yz^3 - y^2w^2, & z^4 - xw^3, \\ z^3w - yw^3, & x^2yz - x^3w, & y^3z - xy^2w, \\ yzw^2 - xw^3, & xy^2z - x^2yw, & y^2z^2 - x^2w^2, \\ yz^2w - xzw^2, & xyz^2 - x^2zw, & y^2zw - xyw^2, \\ xyzw - x^2w^2, & xy^3 - x^3z, & y^4 - x^3w, \\ y^3w - x^2zw, & x^2z^2 - xy^2w, & xz^2w - y^2w^2 \end{array} \right\}.$$

The homogeneous ideal $\langle I_3 \rangle$ has the generating set B_3 and one can show that it is also the reduced Gröbner basis for this ideal w.r.t. the above grevlex order. However, a Gröbner basis for the ideal I w.r.t. the grevlex order with $w \succ y \succ z \succ x$ is

$$\{z^4 - xw^3, yw^2 - z^3, yz - xw, y^2w - xz^2, y^3 - x^2z\}.$$

It follows that a basis for the \mathbb{K} -vector space I_3 is

$$B'_3 = \{yw^2 - z^3, xyz - x^2w, y^2z - xyw, yz^2 - xzw, \\ yzw - xw^2, y^2w - xz^2, y^3 - x^2z\}.$$

Since B'_3 differs from B'_3 only by scalar multiples, it is also a generating set for the ideal $\langle I_3 \rangle$. However, it is not the reduced Gröbner basis w.r.t. the grevlex order with $w \succ y \succ z \succ x$ since the S-polynomial

$$S(yw^2 - z^3, yzw - xw^2) = z(yw^2 - z^3) - w(yzw - xw^2) = -z^4 + xw^3$$

has the leading term z^4 which is not divisible by any of the leading terms in B'_3 . This confirms the necessity of the condition $t \geq \max\{\deg(\text{lt}_\succ(g)) \mid g \in \mathcal{G}\}$ for B_t to form a Gröbner basis for the ideal $\langle I_t \rangle$.

4. Vector Space Bases for the Homogeneous Parts in Graded Modules

Let $m \geq 1$ be an integer. The graded submodules M of R^m can be characterized as follows [5]:

- The standard grading on R^m induces a graded module structure on M , which is given by $M_t = (R^m)_t \cap M$ for all $t \in \mathbb{Z}$.

- There are elements f_1, \dots, f_r in R^m , whose components are homogeneous polynomials of the same degree, such that $M = \langle f_1, f_2, \dots, f_r \rangle \subset R^m$ for all $t \in \mathbb{Z}$.
- A reduced Gröbner basis for M (w.r.t. any monomial order on R^m) consists of vectors of homogeneous polynomials whose components have the same degree.

Using these facts, we obtain the following result.

Proposition 2. *Let $M \subset R^m$ be a graded module over R . Let \mathcal{G} be a Gröbner basis for M w.r.t. any monomial order \succ and let*

$$\text{lm}_{\succ}(M_t) = \{\text{lm}_{\succ}(f) \mid f \in M_t\} = \{\mathbf{x}^{a_1} \mathbf{e}_{i_1}, \dots, \mathbf{x}^{a_s} \mathbf{e}_{i_s}\}, \quad t \in \mathbb{N}_0,$$

where $\mathbf{e}_{i_1}, \dots, \mathbf{e}_{i_s}$ are unit vectors in R^m . Then a \mathbb{K} -basis for the vector space M_t is given by

$$B_t = \{\mathbf{x}^{a_1} \mathbf{e}_{i_1} - r_1, \dots, \mathbf{x}^{a_s} \mathbf{e}_{i_s} - r_s\},$$

where $r_j \in R^m$ is the remainder of $\mathbf{x}^{a_j} \mathbf{e}_{i_j}$ on division by \mathcal{G} for each $1 \leq j \leq s$. The vector space M_t is non-trivial if and only if $t \geq \min\{\deg(\text{lt}_{\succ}(g)) \mid g \in \mathcal{G}\}$.

The proof is the same as that of Prop. 1 since all statements used there are also applicable to submodules of R^m (see for instance [5, Chapter 5, 2]). Moreover, the construction of $\text{lm}_{\succ}(M_t)$ in the module case is analogous to that in the ideal case (see the remark after the proof of Prop. 1).

Example 2. Let $R = \mathbb{K}[x, y, z, w]$ and consider the submodule M of R^4 generated by the vectors

$$\begin{pmatrix} y^2 \\ xz \\ yw \\ z^2 \end{pmatrix}, \begin{pmatrix} z \\ w \\ 0 \\ 0 \end{pmatrix}, \begin{pmatrix} x \\ y \\ -z \\ -w \end{pmatrix}, \quad \text{and} \quad \begin{pmatrix} 0 \\ 0 \\ x \\ y \end{pmatrix}.$$

The generators are vectors of homogeneous monomials of the same total degree and so by the above remark, the module M is graded.

The reduced Gröbner basis for the module M w.r.t. the POT-extension of the grevlex order \succ with $x \succ y \succ z \succ w$ is given by the columns of the matrix

$$\begin{pmatrix} 0 & 0 & 0 & 0 & z & x & y^2 \\ 0 & yz - xw & xz^2 - y^2w & y^3 - x^2z & w & y & xz \\ x & -z^2 & yzw & -y^2z & 0 & -z & yw \\ y & -zw & z^3 & -xz^2 & 0 & -w & z^2 \end{pmatrix}.$$

Thus the leading ideal of M is

$$\langle \text{lt}_{\succ_{POT}}(M) \rangle = \langle y^2 \mathbf{e}_1, x \mathbf{e}_1, z \mathbf{e}_1, y^3 \mathbf{e}_2, xz^2 \mathbf{e}_2, yz \mathbf{e}_2, x \mathbf{e}_3 \rangle$$

and therefore

$$\begin{aligned} \text{lm}_{\succ_{POT}}(M_1) &= \{x \mathbf{e}_1, z \mathbf{e}_1, x \mathbf{e}_3\}, \\ \text{lm}_{\succ_{POT}}(M_2) &= \{x^2 \mathbf{e}_1, xy \mathbf{e}_1, xz \mathbf{e}_1, xw \mathbf{e}_1, y^2 \mathbf{e}_1, yz \mathbf{e}_1, z^2 \mathbf{e}_1, \\ &\quad zw \mathbf{e}_1, yz \mathbf{e}_2, x^2 \mathbf{e}_3, xy \mathbf{e}_3, xz \mathbf{e}_3, xw \mathbf{e}_3\}. \end{aligned}$$

The bases for the \mathbb{K} -vector spaces B_1 and B_2 for M_1 and M_2 , respectively, are

$$\begin{aligned} B_1 &= \left\{ \begin{pmatrix} 0 \\ 0 \\ x \\ y \end{pmatrix}, \begin{pmatrix} z \\ w \\ 0 \\ 0 \end{pmatrix}, \begin{pmatrix} x \\ y \\ -z \\ -w \end{pmatrix} \right\}, \\ B_2 &= \left\{ \begin{pmatrix} x^2 \\ xy \\ -xz \\ -xw \end{pmatrix}, \begin{pmatrix} xy \\ y^2 \\ -yz \\ -yw \end{pmatrix}, \begin{pmatrix} xz \\ xw \\ 0 \\ 0 \end{pmatrix}, \begin{pmatrix} xw \\ yw \\ -zw \\ -w^2 \end{pmatrix}, \begin{pmatrix} y^2 \\ xz \\ yw \\ z^2 \end{pmatrix}, \begin{pmatrix} yz \\ yw \\ 0 \\ 0 \end{pmatrix}, \right. \\ &\quad \left. \begin{pmatrix} z^2 \\ zw \\ 0 \\ 0 \end{pmatrix}, \begin{pmatrix} zw \\ w^2 \\ 0 \\ 0 \end{pmatrix}, \begin{pmatrix} 0 \\ yz - xw \\ -z^2 \\ -zw \end{pmatrix}, \begin{pmatrix} 0 \\ 0 \\ x^2 \\ xy \end{pmatrix}, \begin{pmatrix} 0 \\ 0 \\ xy \\ y^2 \end{pmatrix}, \begin{pmatrix} 0 \\ 0 \\ xz \\ yz \end{pmatrix}, \begin{pmatrix} 0 \\ 0 \\ xw \\ yw \end{pmatrix} \right\}. \end{aligned}$$

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