

Local polynomial factorisation *improving the Montes algorithm*

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My background

Singularities of plane algebraic curves

Puiseux series, Newton-Puiseux algorithm

Puiseux series

Char(\mathbb{K}) = 0 or Char(\mathbb{K}) > $d := \deg(F)$

Theorem (Puiseux, 1850)

 $F \in \mathbb{K}[[t]][x]$ has d distinct roots in $\overline{\mathbb{K}((t))}$:

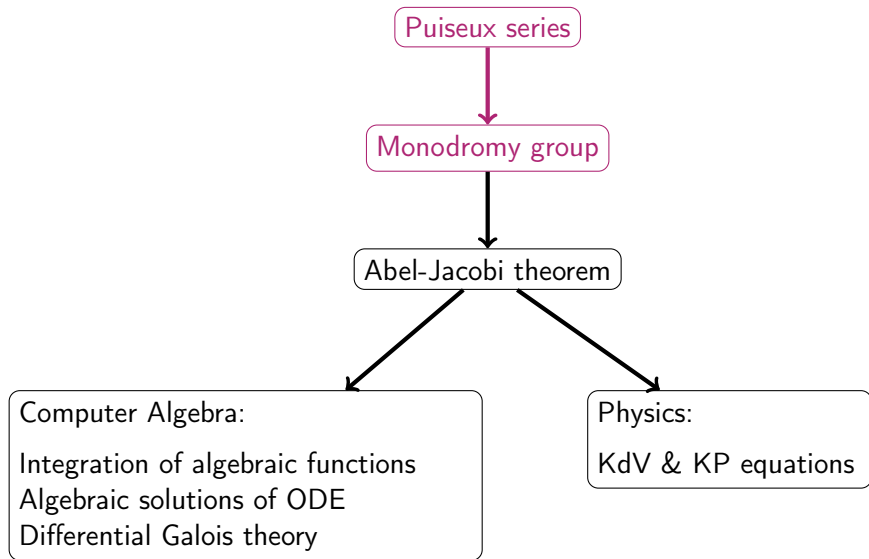
$$S_{ij}(t) = \sum_{k=n_i}^{\infty} \alpha_{i,k} \zeta_{e_i}^{jk} t^{\frac{k}{e_i}}$$

- $e_1, \dots, e_s \in \mathbb{N}^*$ and $d = \sum_{i=1}^s e_i$
- $0 \leq j \leq e_i - 1$, $1 \leq i \leq s$, $n_i \in \mathbb{Z}$, $\alpha_{i,n_i} \neq 0$
- ζ_{e_i} primitive e_i -th root of unity.

Moreover, $\{\alpha_{i,k}\}$ belongs to a finite extension of \mathbb{K} .

$$\overline{\mathbb{K}((x))} = \bigcup_{e \in \mathbb{N}^*} \overline{\mathbb{K}((x^{\frac{1}{e}}))}$$

My initial motivations



Computing Puiseux series: tools and idea

$$F(t, x) = x^6 + tx^5 + 5t^3x^4 - 2tx^4 + 4t^2x^2 + t^5 - 3t^4$$

⇒ We're looking for $S(t) = \alpha t^{\frac{m}{q}} + \dots$ s.t. $F(t, S(t)) = 0$

$$\begin{aligned} F(t, \alpha t^{\frac{m}{q}} + \dots) &= \alpha^6 t^{\frac{6m}{q}} + \alpha^5 t^{\frac{5m}{q}+1} + 5\alpha^4 t^{\frac{4m}{q}+3} \\ &\quad - 2\alpha^4 t^{\frac{4m}{q}+1} + 4\alpha^2 t^{\frac{2m}{q}+2} + t^5 - 3t^4 + \dots \end{aligned}$$

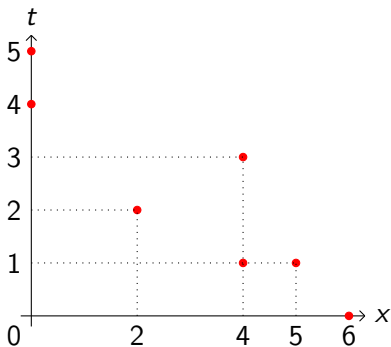
- Some of these terms must cancel !

⇒ (m, q) s.t. at least two exponents are the same

Support of the polynomial

$$F(t, x) = t^0 x^6 + t^1 x^5 + 5t^3 x^4 - 2t^1 x^4 + 4t^2 x^2 + t^5 x^0 - 3t^4 x^0$$

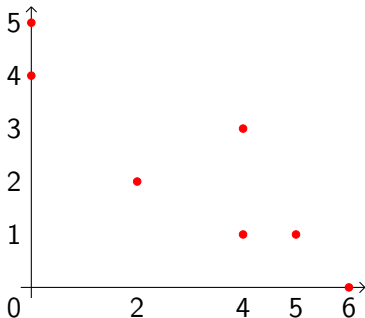
- $\text{Supp}(F) = \{(i, j) \in \mathbb{N}^2 \mid a_{ij} \neq 0\}$



Choice of (m, q) that increases the t -order ?

$$F(t, x) = x^6 + t x^5 + 5 t^3 x^4 - 2 t x^4 + 4 t^2 x^2 + t^5 - 3 t^4$$

- $\text{Supp}(F) = \{(i, j) \in \mathbb{N}^2 \mid a_{ij} \neq 0\}$
 - * (m, q) for cancelling two terms ?
- \leadsto at least two points on $mi + qj = l$
- * increasing the t -order ?
- \leadsto no other point under the line



Choice of (m, q) that increases the t -order ?

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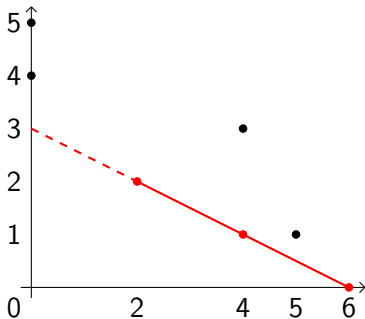
\leadsto at least two points on $mi + qj = l$

* increasing the t -order ?

\leadsto no other point under the line

(Δ_1) $i + 2j = 6$ is such a line

$\leadsto S(t) = \alpha t^{1/2} + \dots$



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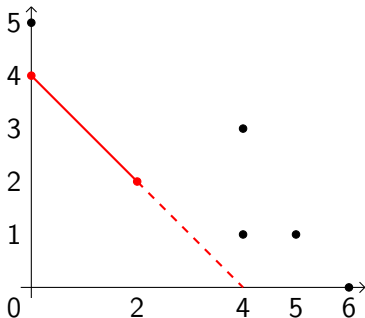
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(Δ_1) $i + 2j = 6$ is such a line

(Δ_2) $i + j = 4$ is too

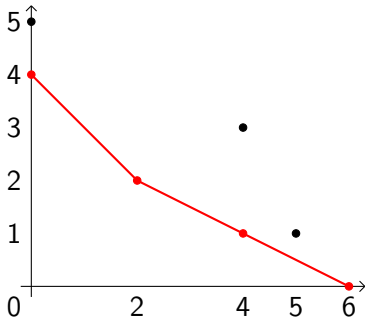


Newton polygon

$$F(t, x) = x^6 + tx^5 + 5t^3x^4 - 2tx^4 + 4t^2x^2 + t^5 - 3t^4$$

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— $\mathcal{N}(F)$: lower part of convex hull of $\text{Supp}(F)$.



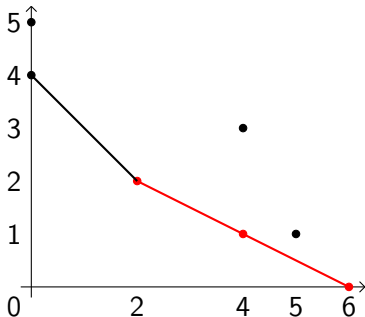
Choice of α that increases the t -order ?

$$F(t, x) = x^6 + t x^5 + 5 t^3 x^4 - 2 t x^4 + 4 t^2 x^2 + t^5 - 3 t^4$$

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$$F(T^2, \alpha T) = (\alpha^6 - 2\alpha^4 + 4\alpha^2) T^6 + \alpha^5 T^7 - 3 T^8 + (5\alpha^4 + 1) T^{10} + \dots$$



Characteristic polynomial

$$F(t, x) = x^6 + tx^5 + 5t^3x^4 - 2tx^4 + 4t^2x^2 + t^5 - 3t^4$$

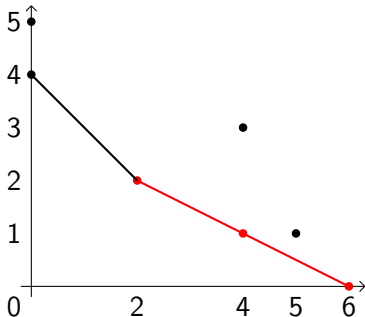
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Characteristic polynomial:

$$\phi_{\Delta_1}(\beta) = \beta^2 - 2\beta + 4$$



Newton-Puiseux algorithm

For each edge Δ of $\mathcal{N}(F)$

1. **Factor** $\phi_{\Delta} = \prod_{k=1}^s \phi_k^{M_k}$

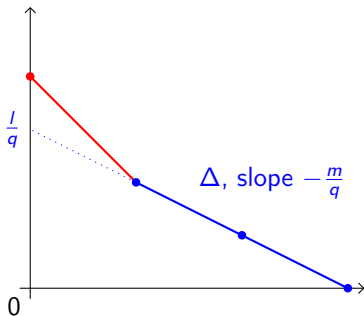
2. For each ϕ_k ,

Puiseux transformation:

$$F_{\Delta, \xi}(t, x) = \frac{F(t^q, t^m(x + \xi^{\frac{1}{q}}))}{t^l}$$

with ξ root of ϕ_k .

3. Recursive calls: $\{F_{\Delta, \xi}(t, x)\}_{\Delta, \xi}$



Main results

- [Po08] A modular-numeric strategy.
 - ① Compute S modulo a *well chosen* prime $p \rightsquigarrow$ essential terms.
 - ② Use this computation to get numerical coefficients of the series.
- Improved arithmetic complexity.
 - [Po08] $\mathcal{O}(D^8) \rightsquigarrow \mathcal{O}(D^5)$.
 - [PoRy15] $\mathcal{O}(D^4)$: *Abhyankhar's trick* (d -th approximate root).
 - [PoWe21] $\mathcal{O}(D^3)$: divide and conquer strategy.

Application: genus in an expected $\mathcal{O}(D^3)$ *binary* operations.

Moving towards generalised Newton polygons

improving the irreducibility test

One example

$$F = (x^\alpha - t^2)^2 + t^\alpha \in \mathbb{A}[x] \text{ with } \mathbb{A} = \mathbb{C}[[t]]$$

- $d = \deg(F) = 2\alpha$,
- $\delta = v_t(\text{Disc}(F)) = 2\alpha^2 - 4\alpha + 4$.
- Assume $\alpha > 4$ odd.

Is F irreducible in $\mathbb{C}[[t]][x]$?

Using the Newton-Puiseux algorithm.

[PoWe21]

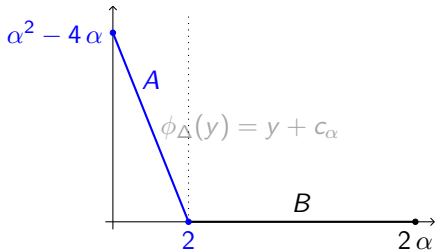
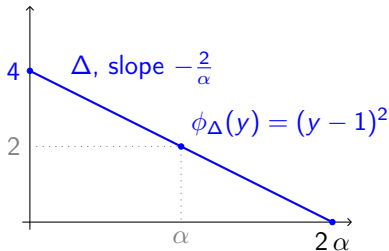
$$F = y^{2\alpha} - 2x^2 y^\alpha + x^4 + x^\alpha$$

$$1 \quad G \leftarrow F(t^\alpha, t^2(x+1))/t^{4\alpha},$$

$$2 \quad \text{Hensel: } G = A \cdot B,$$

$$3 \quad \text{Recursive call with } A$$

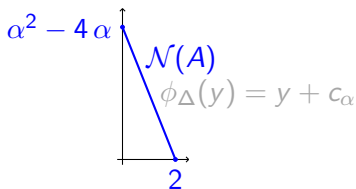
Polynomial	size
F	$\Theta(\alpha^2) = \Theta(\delta)$
G	$\Theta(\alpha^3) = \Theta(d\delta)$
A	$\Theta(\alpha^2) = \Theta(\delta)$



Answer: Yes complexity: $\Theta(d\delta)$ Answer in $\mathcal{O}(\delta)$?

Avoiding any blow-up ?

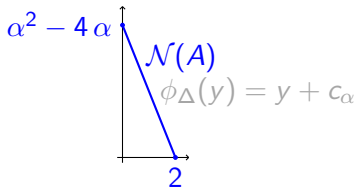
$$F = (x^\alpha - t^2)^2 + t^\alpha$$



- Writing $\psi = x^\alpha - t^2$, we have $F = \psi^2 + t^\alpha$,
 - Can we “guess” the second Newton polygon from $\psi^2 + t^\alpha$?
 - Can we “read” ϕ_Δ ?

Avoiding any blow-up ?

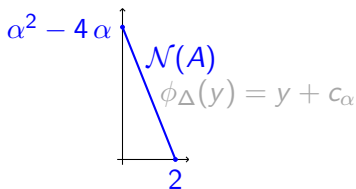
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- Key ingredients:
 - $\psi = \sqrt[2]{F}$ is an **approximate root** of F ,
 - $F = \psi^2 + t^\alpha$ is the **ψ -adic expansion** of F .

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- Key ingredients:
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- Questions:
 - Why t^α corresponds to $\alpha^2 - 4\alpha$?
 - How to recover the correct characteristic polynomial ?

This talk

Context:

- \mathbb{A} a discrete valuation ring (e.g. $\mathbb{K}[[t]]$, \mathbb{Z}_p),
- $v_{\mathbb{A}}$ valuation over \mathbb{A} (e.g. v_t , v_p),
- π an uniformiser (e.g. t , p),
- \mathbb{F} the residue field (e.g. \mathbb{K} , \mathbb{F}_p).

Objective(s):

- 1 Irreducibility test in $\mathbb{A}[x]$,
- 2 Factorisation in $\mathbb{A}[x]$.
- 3 Case $\mathbb{A} = \mathbb{K}[[t]]$: Puiseux series of F ?

Notations: $F \in \mathbb{A}[x]$ (monic) ; $d = \deg(F)$; $\delta = v_{\mathbb{A}}(\text{Disc}(F))$

Approximate root of $F \in \mathbb{A}[x]$ monic

[Ab10]

- Hyp: $\text{char}(\mathbb{A})$ does not divide d ,
- Let $N \in \mathbb{N}$ dividing d ,

Proposition

There is an unique monic $\psi \in \mathbb{A}[x]$ such that:

- $\deg(\psi) = d/N$,
- $\deg(F - \psi^N) < d - d/N$,

$\leadsto \psi = \sqrt[N]{F}$ is the N -th approximate root of F .

$$F = \sum_{i=0}^N a_i \psi^i, \quad \deg(a_i) < \deg(\psi) \implies a_{N-1} = 0$$

Example: $\psi = \sqrt[d]{F} = x + \frac{a_{d-1}}{d}$ is the d -th approximate root of F .

Valuations on $\mathbb{A}[x]$

- Gauss valuation:

- $F = \sum_i a_i x^i$,
- $v_0(F) = \min_i v_{\mathbb{A}}(a_i)$.

- **Extended valuation:** given $\psi \in \mathbb{A}[x]$ monic, $\frac{m}{q} \in \mathbb{Q}$:

- $v_{\psi} = (v_0, \psi, \frac{m}{q})$ extends v_0 .

Defined by $v_{\psi}(\psi) = m q$, $v_{\psi}(x) = m$ and $v_{\psi}(\pi) = q$,

- Expand $F = \sum_i a_i(x) \psi^i$ with $\deg(a_i) < \deg(\psi)$,

- **Generalised Newton polygon:**

$\mathcal{N}_{\psi}(F)$ is the lower convex hull of $(i, v_{\psi}(a_i \psi^i) - v_{\psi}(F))_i$.

Improving the irreducibility test

generalisation of the work of Abhyankhar to $\mathbb{A}[x]$.

link with the Newton–Puiseux algorithm for $\mathbb{A} = \mathbb{K}[[t]]$

PoWe - Submitted, *A quasi-linear irreducibility test in $\mathbb{K}[[x]][y]$*

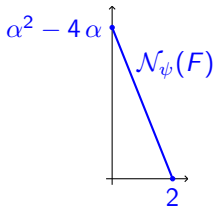
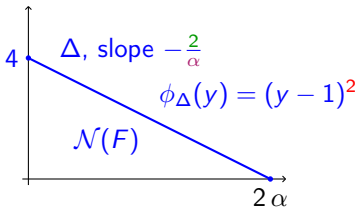
PoWe - Preprint, *Local polynomial factorisation: improving the Montes algorithm*

We get the second Newton polygon !

$$F = (x^\alpha - t^2)^2 + t^\alpha$$

With $m = 2$, $q = \alpha$, $\psi = \sqrt[2]{F}$, we get:

- $F = \psi^2 + t^\alpha$.
- $v_\psi(F) = 4\alpha$
- $v_\psi(\psi^2) - v_\psi(F) = 0$,
- $v_\psi(t^\alpha) - v_\psi(F) = \alpha^2 - 4\alpha$.



Reminder: $v_\psi(t) = \alpha$ $v_\psi(x) = 2$ $v_\psi(\psi) = 2\alpha$

Complexity ?

- Computing $\psi = \sqrt[N]{F}$: $\mathcal{O}(M(d)) = \mathcal{O}(d)$ op in \mathbb{A} .
 - $F_\infty = x^d F(1/x)$ the reciprocal polynomial of F ,
 - $F_\infty(0) = 1 \rightsquigarrow \exists! \phi \in \mathbb{A}[[x]]$ s.t. $\phi(0) = 1$ and $\phi^N = F_\infty$,
 - ϕ is the root of $z^N - F_\infty = 0 \rightsquigarrow$ Newton iteration !
 - ψ is the reciprocal polynomial of $[\phi]^{d/N}$

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- ψ -adic expansion: $\mathcal{O}(M(d) \log(N)) = \mathcal{O}(d)$ op in \mathbb{A} .
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 - Recursive call on A and B .

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 - Recursive call on A and B .
- Truncation: $n = 2\delta/d$.

Total cost: $\delta \text{plog}(d)$!

Types and operators.

- $\mathfrak{t}_0 = [P_0]$, with $P_0 \in \mathbb{F}[y]$ irreducible

$\leadsto v_0$ the Gauss valuation, $R_0(G) = \overline{G(y)/\pi^{v_0(G)}}$, $\mathbb{F}_0 = \mathbb{F}$.

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- $\mathbf{t}_k = [P_0, (\phi_1, \lambda_1, P_1), \dots, (\phi_k, \lambda_k, P_k)]$ is a type if:
 - \mathbf{t}_{k-1} is a type.
 - $\phi_k \in \mathbb{A}[x]$ is monic, irreducible and satisfies $R_{k-1}(\phi_k) \sim P_{k-1}$.
 - $\lambda_k = -m_k/q_k \in \mathbb{Q}^-$, with $(q_k, m_k) \in \mathbb{N}^2$ coprime.
 - $P_k \in \mathbb{F}_k[y]$ is monic, irreducible over $\mathbb{F}_k := \mathbb{F}_{k-1}[y]/(P_{k-1})$.

$$\ell_k := \deg(P_k); z_k := y \pmod{P_k(y)} \in \mathbb{F}_{k+1}$$

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- $R_k(G) = \sum_{i \in \Delta_k} z_{k-1}^{\tau_{k,i}} R_{k-1}(a_i\phi_k^i)(z_{k-1}) y^{\frac{i-i_k(G)}{q_k}} \in \mathbb{F}_k[y]$

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$$\ell_k := \deg(P_k); z_k := y \pmod{P_k(y)} \in \mathbb{F}_{k+1}$$

ϕ_k approximate root $\implies \ell_k q_k > 1$ (no refinement step !)

General algorithm

Algorithm FastIrreducible(F):

Input: $F \in \mathbb{A}[x]$ monic separable s.t. $\text{Char}(\mathbb{F}) \nmid \deg(F)$.

Output: F irreducible ?, a type \mathbf{t} and a representative ϕ of \mathbf{t} .

if $R_0(F)$ is not some $P_0^{N_0}$ then return *False*, [];

$\mathbf{t} \leftarrow [P_0]$, $k \leftarrow 1$, $N \leftarrow N_0$;

while $N > 1$ do

$\phi_k \leftarrow \sqrt[N]{F}$;

if $\mathcal{N}_k^-(F)$ is not one sided then return (*False*, \mathbf{t} , ϕ_k);

if $R_k(F)$ is not some $P_k^{N_k}$ then return (*False*, \mathbf{t} , ϕ_k);

$\mathbf{t} \leftarrow \mathbf{t} \cup (\phi_k, \lambda_k, P_k)$; // λ_k the slope of $\mathcal{N}_k(F)$

$N \leftarrow N_k$, $k \leftarrow k + 1$;

return (*True*, \mathbf{t} , F)

Factorisation over $\mathbb{A}[x]$

a new divide and conquer strategy

adapt the Hensel–Newton algorithm to extended valuations

Hensel lemma works with extended valuations

- $\phi = \phi_k$ a representative of a type \mathbf{t}_{k-1} (i.e. $R_{k-1}(\phi) \sim P_{k-1}$),
- $v = v_{k+1}$ an augmented valuation (from v_k, ϕ and some λ_k).

Lemma

Assume $B = \phi^b + \dots$ and $v(B) = bv(\phi)$. Then

- $v(A \% B) \geq v(A)$,
- $v(A // B) \geq v(A) - v(B)$.

Notation:

$F = \sum_{B=(b_1, \dots, b_k)} c_B(x) \phi_1^{b_1} \cdots \phi_k^{b_k}$ the multi-adic expansion of F

$[F]^n \rightsquigarrow$ remove from it the terms of valuations $> n$

Adaptation of the Hensel algorithm

In: $v(F - G H) \geq v(F) + n$ and $v(S G + T H - 1) \geq n$.

Algorithm HenselStep:

$$E \leftarrow \lceil F - G H \rceil^{v(F)+2n};$$

$$Q, R \leftarrow \lceil \text{QuoRem}(U E, H) \rceil^{v(F)+2n};$$

$$\tilde{G} \leftarrow \lceil G + E V + Q G \rceil^{v(G)+2n};$$

$$\tilde{H} \leftarrow \lceil H + R \rceil^{v(H)+2n};$$

$$B \leftarrow \lceil U \tilde{G} + V \tilde{H} - 1 \rceil^{2n};$$

$$C, D \leftarrow \lceil \text{QuoRem}(U B, \tilde{H}) \rceil^{2n};$$

$$\tilde{U} \leftarrow \lceil U - D \rceil^{2n-v(G)};$$

$$\tilde{V} \leftarrow \lceil V - B V - C \tilde{G} \rceil^{2n-v(H)};$$

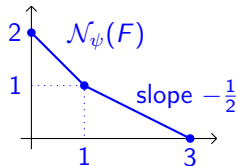
return $\tilde{H}, \tilde{G}, \tilde{U}, \tilde{V}$

Out: $v(F - \tilde{G} \tilde{H}) \geq v(F) + 2n$ and $v(\tilde{S} \tilde{G} + \tilde{T} \tilde{H} - 1) \geq 2n$.

Good initialisation ?

$$F = \underbrace{\psi^3}_{18} + \underbrace{\pi^3 x^2 \psi}_{19} + \underbrace{\pi^6 x}_{20} \text{ with } \psi = x^3 - \pi^2$$

- $v_\psi(\pi) = 3, v_\psi(x) = 2, v_\psi(\psi) = 6.$



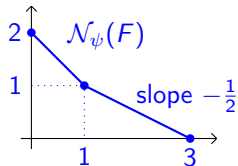
Good initialisation ?

$$F = \underbrace{\psi^3}_{39} + \underbrace{\pi^3 x^2 \psi}_{39} + \underbrace{\pi^6 x}_{40} \text{ with } \psi = x^3 - \pi^2$$

- $v_\psi(\pi) = 3, v_\psi(x) = 2, v_\psi(\psi) = 6.$

- Extend v_ψ from right hand slope:

$$v(\pi) = 6, v(x) = 4, v(\psi) = 13$$



$$v(\pi) = q v_\psi(\pi), v(x) = q v_\psi(x), v(\psi) = q v_\psi(\psi) + m$$

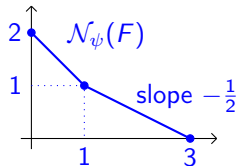
Good initialisation ?

$$F = \underbrace{\psi^3}_{39} + \underbrace{\pi^3 x^2}_{39} \psi + \underbrace{\pi^6 x}_{40} \text{ with } \psi = x^3 - \pi^2$$

- $v_\psi(\pi) = 3, v_\psi(x) = 2, v_\psi(\psi) = 6.$

- Extend v_ψ from right hand slope:

$$v(\pi) = 6, v(x) = 4, v(\psi) = 13$$



- $\tilde{R}(F) = y(y^2 + 1)$

- $H_0 = \underbrace{\psi}_{13}, G_0 = \underbrace{\psi^2 + \pi^3 x^2}_{26} \implies \underbrace{F}_{39} - H_0 G_0 = \underbrace{\pi^6 x}_{40}$

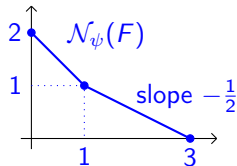
Good initialisation ?

$$F = \underbrace{\psi^3}_{39} + \underbrace{\pi^3 x^2 \psi}_{39} + \underbrace{\pi^6 x}_{40} \text{ with } \psi = x^3 - \pi^2$$

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- $\tilde{R}(F) = y(y^2 + 1)$

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- With $s_0 = 1$ and $t_0 = -y$, we have $s_0(y^2 + 1) + t_0 y = 1,$

- $S_0 = \underbrace{\pi^{-5} x}_{-26}, T_0 = \underbrace{-\pi^{-5} x \psi}_{-13} \implies S_0 G_0 + T_0 H_0 - 1 = \underbrace{\pi^{-2} \psi}_1$

Multi-factor Hensel lifting

(modified residual polynomial: $\tilde{R}_k(G)(y) := y^{ik(G)} R_k(G)(y^{qk})$)

Main algorithm:

Given

- a factorisation $\tilde{R}(F) = h_0 h_1 \cdots h_r h_\infty$; $h_0 = y^s$, $h_\infty \in \mathbb{F}_k^\times$,
- a precision $n \in \mathbb{N}$.

Compute a factorisation (use a subproduct tree)

$v(F - F_0 F_1 \cdots F_r F_\infty) > n$ with $\tilde{R}(F_i) = h_i$, $i = 0, \dots, t, \infty$.

Remark: F_0, \dots, F_r of type \mathfrak{t} ; \mathfrak{t} does not divide F_∞

Complexity: $\mathcal{O}\left(\frac{v(F)+n}{v(\pi)} d\right)$

Factorisation with precision σ in $\mathbb{A}[x]$: $\mathcal{O}(\sigma d + \delta)$ if $\deg(F_\infty) \leq \frac{d}{2}$.

A factorisation algorithm.

- 1 Run FastIrreducible with precision $2\delta/d$ $\mathcal{O}(\delta)$
 \leadsto either F irreducible (return F), either get a type \mathbf{t}_{k-1} .
- 2 Factor $\tilde{R}_k(F) = h_0 h_1 \cdots h_r$ in $\mathbb{F}_k[y]$.
- 3 Lift $F = F_0 F_1 \cdots F_r$ with precision σ . $\mathcal{O}(\sigma d + \delta)$
- 4 Go back to Step 1 for each F_i .

Total:

$$\mathcal{O}(\rho(\sigma d + \delta)).$$

A divide and conquer algorithm.

- 1 Find a type \mathbf{t} such that $F_{\mathbf{t}}$ has degree $> d/2$ and that either $F_{\mathbf{t}}$ is irreducible, either any of its proper factor has degree $\leq d/2$.

Previous algorithm with precision $4 \delta/d$

$$\mathcal{O}(\rho \delta)$$

- 2 Hensel $\rightsquigarrow F = F_0 F_1 \cdots F_r F_{\infty}$

$$\mathcal{O}(n d + \delta)$$

- 3 Recursive call for each non irreducible factor.

Total:

$$\mathcal{O}((n + \delta) d)$$

State of the art (sketch)

- Abhyankar-Moh [Ab06]: approximate roots,
- Mac Lane, Abhyankar [Ma36²,Ab90,Ru14]: extended valuations,
- Montes et al [Mo99,GuMoNa11&12,BaNaSt13,GuNaPa12] $\mathcal{O}(d^2 + d\delta^2)$,
- Caruso et al [CaRoVa16]: slope factorisation,

Case $\mathbb{A} = \mathbb{K}[[x]]$:

- Sasaki et al [KaSa99,AIAtMa17]: Extended Hensel Construction
at least $\mathcal{O}(d^2(\delta + d^2))$,
- Puiseux [PoRy15,PoWe]: Newton–Puiseux algorithm $\mathcal{O}(d\delta)$.

Conclusion

Up to factorisations in $\mathbb{F}_k[y]$:

- Irreducibility test in $\mathbb{A}[x]$ in $\mathcal{O}(\delta)$, ← improved by a factor d !
- “direct” factorisation in $\mathbb{A}[x]$: $\mathcal{O}(\rho n d)$, ← was $\mathcal{O}(n d^2)$
- Divide and conquer: $\mathcal{O}((n + \delta) d)$.

Application: OM-factorisation for $\mathbb{A} = \mathbb{Z}_p$ when $\text{Char}(\mathbb{F}) \nmid d$:

- $\mathcal{O}(d^2 + \delta d \log(p))$ ← was $\mathcal{O}(d^2 + \delta d \log(p) + d\delta^2)$!

Practical aspects:

- Sage prototype,
- some C implementation via Flint (irreducibility for $\mathbb{A} = \mathbb{F}_q[[t]]$).

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