

On the OM algorithm

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joint work with Weimann, Nart et al. . .

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CAIPI, Caen



Context

- (K, v) a value field.

$\leadsto v$ of rank 1 *not necessarily discrete*

$$v(0) = \infty$$

$$\forall a, b \in K, v(ab) = v(a) + v(b)$$

$$v(a + b) \geq \min(v(a), v(b))$$

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- \mathbb{F} the residue field. $\mathfrak{m} = \{a \in K \mid v(a) > 0\}$; $\mathbb{F} = \mathbb{A}/\mathfrak{m}$

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K	v	\mathbb{A}	\mathbb{F}
$\mathbb{K}(t)$	ord_t	$\mathbb{K}[[t]]$	\mathbb{K}
\mathbb{Q}	ord_p	\mathbb{Z}_p	\mathbb{F}_p
$\mathbb{K}(t_1, t_2)$	$\begin{cases} v(t_1) = 1 \\ v(t_2) = \sqrt{2} \end{cases}$	$\underbrace{\mathbb{K}[[t_1, t_2]]^{++}}_{\frac{t_2}{t_1} \in \mathbb{A}}$	\mathbb{K}

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- 1 $P \in \mathbb{A}[x]$ irreducible ?

- 2 Factorisation in $\mathbb{A}[x]$? (up to a given precision)

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- \bar{v} the extension of v to \bar{K} .

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Successive factorisations (residual polynomial dissection)

- 1 dissection according to residual polynomials,
- 2 factorisation via a generalised Hensel lemma.

Augmented valuations: chains $\mu_0 < \mu_1 < \dots < w_P$ (P irreducible).

Key polynomials: $\phi_k \in K[x]$ “representative” of μ_k ; $\deg(\phi_k) \leq \deg(\phi_{k+1})$

- $\mu_k(\phi_{k-1}) = w_P(\phi_{k-1})$
- “Optimal” chain: $\deg(\phi_k) < \deg(\phi_{k+1})$

Approximate roots: “optimal” key polynomials \rightsquigarrow

$$\begin{array}{l} \text{Char}(\mathbb{F}) = 0 \\ \text{Char}(\mathbb{F}) \nmid \deg(P) \end{array}$$

Algorithms for number fields ($\mathbb{A} = \mathbb{Z}_p$)

- Ore (1920's): prime ideal decomposition of p in $\mathbb{Q}[x]/(g)$:
 - ① computing Newton polygons of g according to a valuation of $\mathbb{Q}[x]$,
 - ② factorisation of residual polynomials of g (slope of the polygon).
- MacLane (1930's): *augmented valuations* of v in $K[x]/(g)$.
 - chains $\mu_0 < \mu_1 < \dots < \mu_n < \dots < \mu$ (one by factor of g),
 - using *key polynomials* associated to μ_k .
- Okutsu (1982): integral bases, no valuation / key polynomial.
- Montes (1999): OM-algorithm - Ore, MacLane, Okutsu, Montes.
- Nart et al (2010'): discriminant computation, integral basis. . .
- Vaquié / Herrera - Olalla - Mahboub - Spivakosky (2000's):
 generalisation of MacLane for any value field.
- cluster roots / Berkovich skeletons (P. Vaccon Weimann 2025 & 2026)

Algebraic curves / Functions fields ($\mathbb{A} = \mathbb{K}[[t]]$)

- Singularity of plane algebraic curves.
 - Newton–Puiseux algorithm (Duval, P., Rybowicz, Weimann)
 - valuations and Puiseux expansions (Abhyankhar, P., Weimann)
 - equisingularity types (P. & Weimann)
- genus computation (Riemann-Hurwitz formula).
- computing Riemann-Roch spaces (Hess, Darkaoui & Weimann).
- Factorisation in $\mathbb{K}[t, x]$ (Weimann).

Valuations of $K[x]$

A tree of valuations

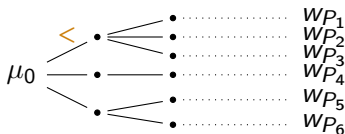
Definition (order on valuations)

- $\mu \leq \mu'$ if $\mu(g) \leq \mu'(g)$ for all $g \in K[x]$,
- $\mu < \mu'$ if $\mu \leq \mu'$ and $\mu \neq \mu'$.

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- Gauss valuation: $\mu_0(\sum_i a_i x^i) := \min_i v(a_i)$.
- P irreducible: $w_P(g) := \bar{v}(g(\theta))$ with $P(\theta) = 0$.

Computing w_P from μ_0 : one example

$$P = ((x - 2)^2 - 27)^5 + 3^{15} (x - 2) \in \mathbb{Q}[x] \quad ; \quad v = \text{ord}_3$$

- $\theta = 2 + 3^{\frac{3}{2}} + \frac{1}{2} 3^{\frac{9}{5}} + \dots$

Some valuations:

- $w_P(x) = \bar{v}(\theta) = \bar{v}(2) = 0$

- $\phi_0 = x - 2$; $w_P(\phi_0) = \bar{v}(\theta - 2) = \bar{v}(3^{\frac{3}{2}}) = \frac{3}{2}$

- $\phi_1 = (x - 2)^2 - 27$; $w_P(\phi_1) = \bar{v}(3^{\frac{3}{2}} 3^{\frac{9}{5}}) = \frac{33}{10}$

We will show how to construct:

$$\mu_0 \text{ ————— } \mu_1(\phi_0) = \frac{3}{2} \text{ ————— } \mu_2(\phi_1) = \frac{33}{10} \text{ ————— } w_P$$

Residual and key polynomials

associated to μ_0

$$P = ((x - 2)^2 - 27)^5 + 3^{15} (x - 2)$$

$$\mu_0(P) = 0$$

- $\text{in}_{\mu_0}(P) = (x - 2)^{10}$.

$$R_{\mu_0}(P)(y) = (y - 2)^{10}$$

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$$\mu_0(\phi_0) = 0 < w_P(\phi_0) = \frac{3}{2}. \text{ Getting } \frac{3}{2} ?$$

Generalised Newton polygon

associated to μ_0, ϕ_0

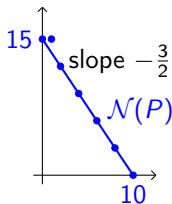
- (μ, ϕ) a *type*, i.e. $\phi \in \text{KP}(\mu)$.
- Taylor expansion: $g = \sum_i a_i \phi^i$ with $\deg(a_i) < \deg(\phi)$.
- Generalised Newton polygon: $\mathcal{N}_{\mu, \phi}(g) = \text{Conv}\{(i, \mu(a_i))\}$.

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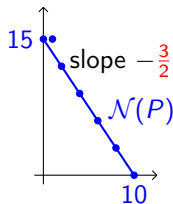
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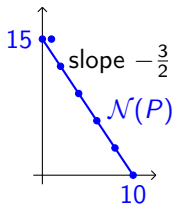
- $\mu_1 = [\mu_0; \phi_0, \frac{3}{2}] : \mu_1(\sum_i a_i \phi_0^i) := \min_i v(a_i) + \frac{3}{2} i$

$$\mu_0 \text{ ————— } \mu_1(x - 2) = \frac{3}{2} \text{ } W_P$$

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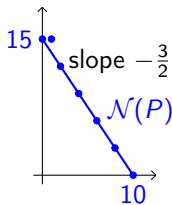
- $\mu_1 = [\mu_0; \phi_0, \frac{3}{2}] : \mu_1(\sum_i a_i \phi_0^i) := \min_i v(a_i) + \frac{3}{2} i$
- $\mu'_1 = [\mu_0; \phi_0, \lambda]$ with $\lambda \neq \frac{3}{2}$?
 - $\lambda > \frac{3}{2} : \mu'_1 \notin \text{WP}$ ✗
 - $\lambda < \frac{3}{2} : \mu'_1 < \mu_1$ ~

$$\mu_0 \text{ ————— } \mu_1(x-2) = \frac{3}{2} \text{ WP}$$

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$$\mu_0 \text{ ————— } \mu_1(x - 2) = \frac{3}{2} \text{ WP}$$

Next residual polynomial

associated to $\mu_1 = [\mu_0; \phi_0, \frac{3}{2}]$

$$P = (\phi_0^2 - 27)^5 + 3^{15} \phi_0 \quad \mu_1(P) = 15$$

$$\Gamma_{\mu_0} = \mathbb{Z} ; \Gamma_{\mu_1} = \frac{1}{2}\mathbb{Z} \rightsquigarrow e = 2$$

- $\text{in}_{\mu_1}(P) = (\phi_0^2 - 27)^5 = 3^{15} (\xi_1 - 1)^5$ with $\xi_1 = \frac{\phi_0^2}{27}$.

$$R_{\mu_1}(P)(y) = (y - 1)^5$$

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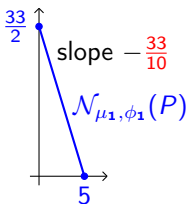
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- **Representative:** $\phi_1 := (x - 2)^2 - 27 \in \text{KP}(\mu_1)$.

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Next Newton polygon and residual polynomial

$$P = \phi_1^5 + 3^{15} \phi_0$$



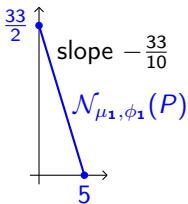
- $\mu_2 = [\mu_1; \phi_1, \frac{33}{10}]$

$$\mu_2(\sum_i a_i \phi_1^i) := \min_i \mu_1(a_i) + \frac{33}{10} i$$

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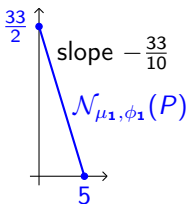
- $\text{in}_{\mu_2}(P) = 3^{15} \phi_0 (\xi_2 + 1)$ with $\xi_2 = \frac{\phi_1^5}{3^{15} \phi_0}$

- $R_{\mu_2}(P)(y) = y + 1$

$$\mu_0 \text{ ————— } \mu_1(\phi_0) = \frac{3}{2} \text{ ————— } \mu_2(\phi_1) = \frac{33}{10} \text{ } w_P$$

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We proved: P irreducible, $w_P(x - 2) = \frac{3}{2}$, $w_P((x - 2)^2 - 27) = \frac{33}{10}$

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

- Dissection according to residual polynomials,
- Generalisation of the Hensel lemma.

Dissection according to the residual polynomial.

$F \in \mathbb{A}[x]$, μ a valuation computed from F .

Theorem

If $R_\mu(F)(y) = h_1^{N_1} \cdots h_m^{N_m}$, then

$$F = F_1 \cdots F_m$$

with $R_\mu(F_i) = h_i^{N_i}$.

Hensel lifting

Modern Computer Algebra, chapter 15.4

$$\underbrace{x^4 - 1}_f = \underbrace{(x - 2)}_g \underbrace{(x^3 + 2x^2 - x - 2)}_h \pmod{5}$$

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$$\begin{cases} e = f - gh = 5x^2 - 5 \\ \hat{g} = g + te = 10x^4 - 9x^3 - 13x^2 + 9x + 3 \\ \hat{h} = h + se = -10x^2 + x + 8 \end{cases}$$

$$f - \hat{g}\hat{h} = 25 \cdot (4x^6 - 4x^5 - 8x^4 + 7x^3 + 5x^2 - 3x - 1) = 0 \pmod{25}$$

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Non increasing degrees ? Add euclidean divisions

Lemma

If $f = qg + r$ with $\deg(r) < \deg(g)$, g monic and $f = 0 \pmod{m}$, then $q = 0 \pmod{m}$ and $r = 0 \pmod{m}$

Hensel step

Input: $f = g h \pmod{\pi^{n+1}}$ and $s g + t h = 1 \pmod{\pi^{n+1}}$.

Algorithm HenselStep:

$$e \leftarrow f - g h \pmod{\pi^{2n+1}};$$

$$q, r \leftarrow \text{QuoRem}(s e, h);$$

$$\hat{g} \leftarrow g + e t + q g \pmod{\pi^{2n+1}};$$

$$\hat{h} \leftarrow h + r \pmod{\pi^{2n+1}};$$

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 $b \leftarrow s \hat{g} + t \hat{h} - 1 \pmod{\pi^{2n+1}};$
 $c, d \leftarrow \text{QuoRem}(s b, \hat{h});$
 $\hat{s} \leftarrow s - d \pmod{\pi^{2n+1}};$
 $\hat{t} \leftarrow t - b t - c \hat{g} \pmod{\pi^{2n+1}};$
return $\hat{h}, \hat{g}, \hat{s}, \hat{t}$

Output: $f = \hat{g} \hat{h} \pmod{\pi^{2n+1}}$ and $\hat{s} \hat{g} + \hat{t} \hat{h} = 1 \pmod{\pi^{2n+1}}$.

Hensel lemma works with μ

- (μ', ϕ) a type, $\lambda > \mu'(\phi)$.
- $\mu = [\mu'; \phi, \lambda]$.

Lemma

If $B = \phi^b + \dots$ et $\mu(B) = b\mu(\phi)$, then

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

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Notation:

$\lceil F \rceil_{\mu}^n \rightsquigarrow$ we remove “terms” of valuation $> n$

Example: $\lceil 4x - 8 \rceil_{\mu_1}^2 = x - 2$ since $4x - 8 = \underbrace{x - 2}_{3/2} + \underbrace{3(x - 2)}_{5/2}$

Adaptation of the Hensel–Newton algorithm

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

Algorithm HenselStep:

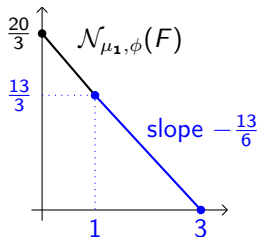
$E \leftarrow \lceil F - G H \rceil^{\mu(F)+2n};$
 $Q, R \leftarrow \lceil \text{QuoRem}(S E, H) \rceil^{\mu(F)+2n};$
 $\tilde{G} \leftarrow \lceil G + E T + Q G \rceil^{\mu(G)+2n};$
 $\tilde{H} \leftarrow \lceil H + R \rceil^{\mu(H)+2n};$
 $B \leftarrow \lceil S \tilde{G} + T \tilde{H} - 1 \rceil^{2n};$
 $C, D \leftarrow \lceil \text{QuoRem}(S B, \tilde{H}) \rceil^{2n};$
 $\tilde{S} \leftarrow \lceil S - D \rceil^{2n-\mu(G)};$
 $\tilde{T} \leftarrow \lceil T - B T - C \tilde{G} \rceil^{2n-\mu(H)};$
return $\tilde{H}, \tilde{G}, \tilde{S}, \tilde{T}$

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

Initialisation: via $\text{in}_\mu(F)$

$$F = \phi^3 + t^3 x^2 \phi + t^6 x \in \mathbb{K}[[t]][x] \text{ with } \phi = x^3 - t^2$$

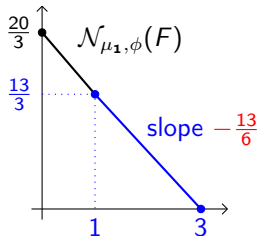
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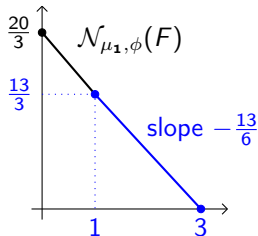
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- $\mu_1 = [\mu_0; x, \frac{2}{3}]$,
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- $\tilde{R}_{\mu_2}(F) = y(y^2 + 1)$.

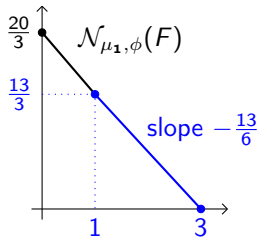


- $H_0 = \phi$, $G_0 = \phi^2 + t^3 x^2 \implies \underbrace{F}_{13/2} - H_0 G_0 = \underbrace{t^6 x}_{20/3}$

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- If $s_0 = 1$ and $t_0 = -y$, then $s_0(y^2 + 1) + t_0 y = 1$,
- $S_0 = \underbrace{t^{-5} x}_{-13/3}$, $T_0 = \underbrace{-t^{-5} x \phi}_{-13/6} \implies S_0 G_0 + T_0 H_0 - 1 = \underbrace{t^{-2} \phi}_{1/6}$

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

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

Proposition

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

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

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

$$F = \phi^N + a_{N-2}\phi^{N-2} + \cdots + a_0$$

They are “optimal” key polynomials

- Hyp: $\text{char}(\mathbb{F})$ does not divide $d = \deg(F)$

Proposition

If $R_\mu = h^N$, then $\phi = \sqrt[N]{F} \in KP(\mu)$

$$F = \phi^N + a_{N-2}\phi^{N-2} + \cdots + a_0$$

Proposition

If $\mathcal{N}_{\mu,\phi}(F)$ has a unique slope λ , then $R_{[\mu,\phi,\lambda]}(F)(y) \neq (y+c)^N$.

- either we get a partial factorisation,
- either we consider $\sqrt[N']{F}$ with N' a proper divisor of N .

\implies logarithmic number of steps before we get a partial factorisation.

ϕ -adic expansion

- $F, \phi \in \mathbb{A}[x]$ with ϕ monic. $c = \deg(\phi)$, $d = \deg(F)$
- $k \neq 0$ a power of 2 such that $\frac{k}{2} c \leq d < k c$.

$$F = \sum_{i=0}^{k-1} a_i \phi^i, \quad \deg(a_i) < c$$

- 1 If $k = 1$, return $a_0 = f$.
- 2 Compute $\phi^{\frac{k}{2}}$ by repeated squaring,
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- 4 Recursive calls for q and r

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$$C(k) = 2 C(k/2) + \mathcal{O}(M(k c)) \rightsquigarrow C(k) = \mathcal{O}(M(k c) \log(k)) \subset \mathcal{O}(d)$$

Computing a valuation

- $\nu = [\mu; \phi, \gamma]$ is defined as:

$$\nu(g) = \min\{\mu(a_i) + i\gamma \mid 0 \leq i\},$$

(we start from the *Gauss valuation* $\mu_0(\sum_i a_i x^i) = \min_i \nu(a_i)$)

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② compute recursively the $\mu(a_i)$ $\mathcal{C}(\deg(a_i))$

- Total : $\sum_i \deg(a_i) \leq \deg(g)$

$\leadsto \mathcal{C}(d) = \mathcal{O}(M(d) \log^2(d)) \subset \mathcal{O}(d)$ op. in \mathbb{A} .

NB: assuming we have less than $\log_2(d)$ “successive” valuations

Generalised Newton polygon computation

The computation of $\mathcal{N}_{\mu, \phi}(F)$ is done as follows:

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Total: $\mathcal{O}(M(d) \log(d)^2) \subset \mathcal{O}(d)$ operations in \mathbb{A}

Remark: convex hull in $\mathcal{O}(d \log(d))$ op. in \mathbb{Z} (no op in \mathbb{A})

Residual polynomial computation

- $\mu = [\nu; \phi, \gamma]$; $\mathbb{F}_\mu = \mathbb{F}[z]$; $f = [\mathbb{F}_\mu : \mathbb{F}]$; $I = \{i_0, i_0 + e, \dots, i_0 + n e\}$

$$R_\mu(G) = \sum_{i \in I} z^{\tau_i} R_\nu(a_i)(z) y^{\frac{i-i_0}{e}}$$

- 1 get the a_i , “monomials” with valuation $\mu(G)$,
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- $\tau_i \in \mathcal{O}(\delta) \rightsquigarrow \log(\delta)$ op. in \mathbb{F}_μ
- Remaining: $n C(f) + f + 1$ mult. in \mathbb{F}_μ

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$nf \leq 2d \rightsquigarrow C(d) \leq nC(f) + \mathcal{O}(df)$: $C(d) \in \mathcal{O}(df)$ op. in \mathbb{F}

Computing representatives.

- $\mu = [\nu; \phi, \gamma]$; residue field \mathbb{F}_μ ; e relative ramification index
- $g = \sum_{i=0}^n g_i y^i \in \mathbb{F}_\mu[y]$,
- N “targeted” valuation. $G \in \text{KP}(\mu) : N = \mu(G)$
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- ① Use $N' = N - \lfloor N \rfloor + n\gamma$ $H \in \mathbb{A}[x]$

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$C(d) = nC(\text{deg}(\phi)) + \mathcal{O}(d) \rightsquigarrow C(d) = \mathcal{O}(d)$ op. in \mathbb{A} .

Precision $n\mu(\phi)$ (to compute H) $\rightsquigarrow \mathcal{O}(dn\mu(\phi))$ op. in \mathbb{F} .

Computing $\phi = \sqrt[N]{F}$

$\mathcal{O}(d^2)$ op. in \mathbb{A} via the Tschirnhausen transform

$\mathcal{O}(M(d)) = \mathcal{O}(d)$ op. in \mathbb{A} via Newton iteration.

- $F_\infty = x^d F(1/x)$ the reciprocal polynomial of F ,
- $F_\infty(0) = 1 \rightsquigarrow \exists! \psi \in \mathbb{A}[[x]]$ s.t. $\psi(0) = 1$ and $\psi^N = F_\infty$,
- ψ is the root of $z^N - F_\infty = 0 \rightsquigarrow$ Newton iteration !
- ϕ is the reciprocal polynomial of $\lceil \psi \rceil^{\frac{d}{N}}$

Finding μ that factorise F or prove irreducibility

- Write $R_{\mu_0}(F) = h^N$ - or return (**False**, μ_0) $\mathcal{O}(df)$

- $\mu \leftarrow \mu_0$

- While $N > 1$

- $\phi \leftarrow \sqrt[N]{F}$ $\mathcal{O}(d)$

- $\mathcal{N}_{\mu, \phi}(F)$ has a unique slope λ and $R_{[\mu; \phi, \lambda]}(F) = h^N$
- or return (**False**, μ) $\mathcal{O}(d)$

- $\mu \leftarrow [\mu; \phi, \lambda]$

- Return (**True**, μ).

\implies at most $\log_2(\deg(F))$ iterations

precision $\frac{\delta}{d}$; $df \leq 2\delta l_0 \rightsquigarrow \mathcal{O}(\delta l_0)$

A (first) factorisation algorithm.

- 1 Get (μ, ϕ) that factorises F (or F irreducible) $\mathcal{O}(\delta \ell_0)$
- 2 Factorise $\tilde{R}_{[\mu, \phi, \lambda]}(F) = h_0 h_1 \cdots h_r$ in $\mathbb{F}_k[y]$.
- 3 Multi-factor Hensel: $F = F_0 F_1 \cdots F_r$. $\mathcal{O}(d n)$
- 4 Back to step 1 for each F_i .

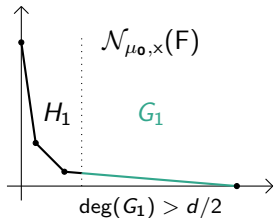
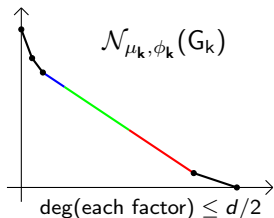
\implies at most $\deg(F)$ iterations at maximal precision

Precision $\delta \rightsquigarrow \mathcal{O}(d^2 \delta)$ + univariate factorisations

A divide and conquer algorithm

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

Step 1: "small" precision.

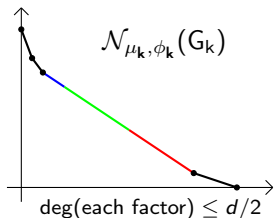
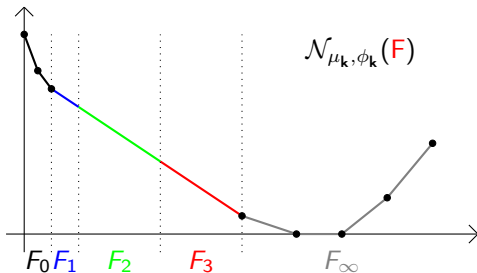
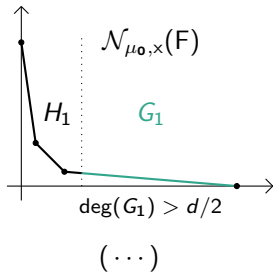
 (\dots) 

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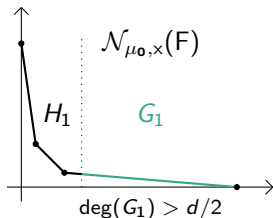
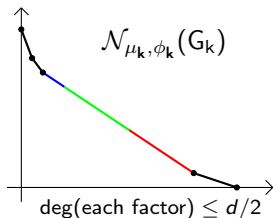
Step 2: required precision.



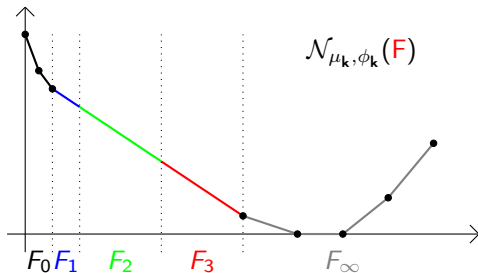
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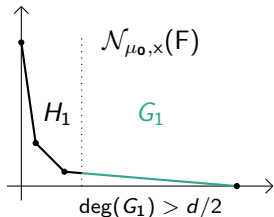
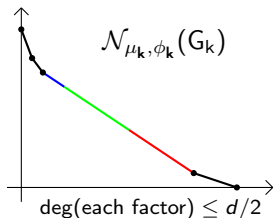
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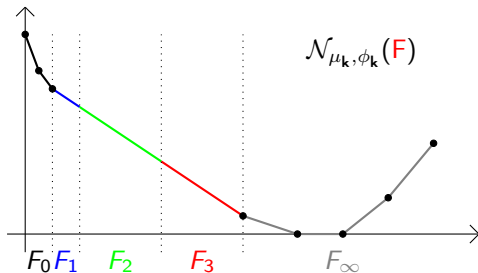
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Other divide and conquer approach : van der Hoeven & Lecerf.

Thank you !