39. Supports and annihilators 88
40. Going up and going down 90
41. Separable extensions 94
42. Geometrically reduced algebras 95
43. Separable extensions, continued 98
44. Perfect fields 99
45. Universal homeomorphisms 100
46. Geometrically irreducible algebras 105
47. Geometrically connected algebras 108
48. Geometrically integral algebras 109
49. Valuation rings 110
50. More Noetherian rings 113
51. Length 115
52. Artinian rings 118
53. Homomorphisms essentially of finite type 119
54. K-groups 121
55. Graded rings 123
56. Proj of a graded ring 125
57. Noetherian graded rings 129
58. Noetherian local rings 131
59. Dimension 134
60. Applications of dimension theory 138
61. Support and dimension of modules 139
62. Associated primes 140
63. Symbolic powers 144
64. Relative assassin 144
65. Weakly associated primes 147
66. Embedded primes 151
67. Regular sequences 152
68. Quasi-regular sequences 155
69. Blow up algebras 158
70. Ext groups 160
71. Depth 163
72. Functorialities for Ext 166
73. An application of Ext groups 166
74. Tor groups and flatness 167
75. Functorialities for Tor 172
76. Projective modules 173
77. Finite projective modules 174
78. Open loci defined by module maps 178
79. Faithfully flat descent for projectivity of modules 179
80. Characterizing flatness 180
81. Universally injective module maps 181
82. Descent for finite projective modules 187
83. Transfinite dévissage of modules 189
84. Projective modules over a local ring 191
85. Mittag-Leffler systems 192
86. Inverse systems 193
1. Introduction

Basic commutative algebra will be explained in this document. A reference is [Mat70].

2. Conventions

A ring is commutative with 1. The zero ring is a ring. In fact it is the only ring that does not have a prime ideal. The Kronecker symbol \( \delta_{ij} \) will be used. If \( R \to S \) is a ring map and \( q \) a prime of \( S \), then we use the notation “\( p = R \cap q \)” to indicate the prime which is the inverse image of \( q \) under \( R \to S \) even if \( R \) is not a subring of \( S \) and even if \( R \to S \) is not injective.

3. Basic notions

The following is a list of basic notions in commutative algebra. Some of these notions are discussed in more detail in the text that follows and some are defined in the list, but others are considered basic and will not be defined. If you are
COMMUTATIVE ALGEBRA

not familiar with most of the italicized concepts, then we suggest looking at an introductory text on algebra before continuing.

00AS (1) \( R \) is a ring,
00AT (2) \( x \in R \) is nilpotent,
00AU (3) \( x \in R \) is a zero divisor,
00AV (4) \( x \in R \) is a unit,
00AW (5) \( e \in R \) is an idempotent,
00AX (6) an idempotent \( e \in R \) is called trivial if \( e = 1 \) or \( e = 0 \),
00AY (7) \( \varphi : R_1 \to R_2 \) is a ring homomorphism,
00AZ (8) \( \varphi : R_1 \to R_2 \) is of finite presentation, or \( R_2 \) is a finitely presented \( R_1 \)-algebra, see Definition 6.1,

00B0 (9) \( \varphi : R_1 \to R_2 \) is of finite type, or \( R_2 \) is a finite type \( R_1 \)-algebra, see Definition 6.1,
00B1 (10) \( \varphi : R_1 \to R_2 \) is finite, or \( R_2 \) is a finite \( R_1 \)-algebra,
00B2 (11) \( R \) is an integral domain,
00B3 (12) \( R \) is reduced,
00B4 (13) \( R \) is Noetherian,
00B5 (14) \( R \) is a principal ideal domain or a PID,
00B6 (15) \( R \) is a Euclidean domain,
00B7 (16) \( R \) is a unique factorization domain or a UFD,
00B8 (17) \( R \) is a discrete valuation ring or a dvr,
00B9 (18) \( K \) is a field,
00BA (19) \( K \subset L \) is a field extension,
00BB (20) \( K \subset L \) is an algebraic field extension,
00BC (21) \( \{t_i\}_{i \in I} \) is a transcendence basis for \( L \) over \( K \),
00BD (22) the transcendence degree \( \text{trdeg}(L/K) \) of \( L \) over \( K \),
00BE (23) the field \( k \) is algebraically closed,
00BF (24) if \( K \subset L \) is algebraic, and \( K \subset k \) an extension with \( k \) algebraically closed, then there exists a ring map \( L \to k \) extending the map on \( K \),
00BG (25) \( I \subset R \) is an ideal,
00BH (26) \( I \subset R \) is radical,
00BI (27) if \( I \) is an ideal then we have its radical \( \sqrt{I} \),
00BJ (28) \( I \subset R \) is nilpotent means that \( I^n = 0 \) for some \( n \in \mathbb{N} \),
0543 (29) \( I \subset R \) is locally nilpotent means that every element of \( I \) is nilpotent,
00BK (30) \( p \subset R \) is a prime ideal,
00BL (31) if \( p \subset R \) is prime and if \( I, J \subset R \) are ideal, and if \( IJ \subset p \), then \( I \subset p \) or \( J \subset p \).
00BM (32) \( m \subset R \) is a maximal ideal,
00BN (33) any nonzero ring has a maximal ideal,
00BO (34) the Jacobson radical of \( R \) is \( \text{rad}(R) = \bigcap_{m \subset R} m \) the intersection of all the maximal ideals of \( R \),
00BP (35) the ideal \( (T) \) generated by a subset \( T \subset R \),
00BQ (36) the quotient ring \( R/I \),
00BR (37) an ideal \( I \) in the ring \( R \) is prime if and only if \( R/I \) is a domain,
00BS (38) an ideal \( I \) in the ring \( R \) is maximal if and only if the ring \( R/I \) is a field,
(39) if \( \varphi : R_1 \to R_2 \) is a ring homomorphism, and if \( I \subset R_2 \) is an ideal, then
\( \varphi^{-1}(I) \) is an ideal of \( R_1 \).
(40) if \( \varphi : R_1 \to R_2 \) is a ring homomorphism, and if \( I \subset R_1 \) is an ideal, then
\( \varphi(I) \cdot R_2 \) (sometimes denoted \( I \cdot R_2 \), or \( IR_2 \)) is the ideal of \( R_2 \) generated
by \( \varphi(I) \).
(41) if \( \varphi : R_1 \to R_2 \) is a ring homomorphism, and if \( p \subset R_2 \) is a prime ideal, then
\( \varphi^{-1}(p) \) is a prime ideal of \( R_1 \).
(42) \( M \) is an \( R \)-module,
(43) for \( m \in M \) the annihilator \( I = \{ f \in R \mid fm = 0 \} \) of \( m \) in \( R \),
(44) \( N \subset M \) is an \( R \)-submodule,
(45) \( M \) is a Noetherian \( R \)-module,
(46) \( M \) is a finite \( R \)-module,
(47) \( M \) is a finitely generated \( R \)-module,
(48) \( M \) is a finitely presented \( R \)-module,
(49) \( M \) is a free \( R \)-module,
(50) if \( 0 \to K \to L \to M \to 0 \) is a short exact sequence of \( R \)-modules and \( K \),
\( M \) are free, then \( L \) is free,
(51) if \( N \subset M \subset L \) are \( R \)-modules, then \( L/M = (L/N)/(M/N) \),
(52) \( S \) is a multiplicative subset of \( R \),
(53) the localization \( R \to S^{-1}R \) of \( R \),
(54) if \( R \) is a ring and \( S \) is a multiplicative subset of \( R \) then \( S^{-1}R \) is the zero
ring if and only if \( S \) contains 0,
(55) if \( R \) is a ring and if the multiplicative subset \( S \) consists completely of
nonzerodivisors, then \( R \to S^{-1}R \) is injective,
(56) if \( \varphi : R_1 \to R_2 \) is a ring homomorphism, and \( S \) is a multiplicative subsets
of \( R_1 \), then \( \varphi(S) \) is a multiplicative subset of \( R_2 \),
(57) if \( S, S' \) are multiplicative subsets of \( R \), and if \( SS' \) denotes the set of products
\( SS' = \{ r \in R \mid \exists s \in S, \exists s' \in S', r = ss' \} \) then \( SS' \) is a multiplicative subset
of \( R \),
(58) if \( S, S' \) are multiplicative subsets of \( R \), and if \( \overline{S} \) denotes the image of \( S \) in
\( (S')^{-1}R \), then \( (SS')^{-1}R = S^{-1}((S')^{-1}R) \),
(59) the localization \( S^{-1}M \) of the \( R \)-module \( M \),
(60) the functor \( M \mapsto S^{-1}M \) preserves injective maps, surjective maps, and
exactness,
(61) if \( S, S' \) are multiplicative subsets of \( R \), and if \( M \) is an \( R \)-module, then
\( (SS')^{-1}M = S^{-1}((S')^{-1}M) \),
(62) if \( R \) is a ring, \( I \) and ideal of \( R \) and \( S \) a multiplicative subset of \( R \), then
\( S^{-1}I \) is an ideal of \( S^{-1}R \), and we have \( S^{-1}R/S^{-1}I = \overline{S}^{-1}(R/I) \), where \( \overline{S} \)
is the image of \( S \) in \( R/I \),
(63) if \( R \) is a ring, and \( S \) a multiplicative subset of \( R \), then any ideal \( I' \) of \( S^{-1}R \)
is of the form \( S^{-1}I \), where one can take \( I \) to be the inverse image of \( I' \) in
\( R \),
(64) if \( R \) is a ring, \( M \) an \( R \)-module, and \( S \) a multiplicative subset of \( R \), then any
submodule \( N' \) of \( S^{-1}M \) is of the form \( S^{-1}N \) for some submodule \( N \subset M \),
where one can take \( N \) to be the inverse image of \( N' \) in \( M \),
(65) if \( S = \{1, f, f^2, \ldots \} \) then \( R_f = S^{-1}R \) and \( M_f = S^{-1}M \),
00CH  (66) if \( S = R \setminus p = \{ x \in R \mid x \notin p \} \) for some prime ideal \( p \), then it is customary to denote \( R_p = S^{-1}R \) and \( M_p = S^{-1}M \).

00CI  (67) a local ring is a ring with exactly one maximal ideal,

03C0  (68) a semi-local ring is a ring with finitely many maximal ideals,

00CJ  (69) if \( p \) is a prime in \( R \), then \( R_p \) is a local ring with maximal ideal \( pR_p \),

00CL  (70) the residue field, denoted \( \kappa(p) \), of the prime \( p \) in the ring \( R \) is the field of fractions of the domain \( R/p \); it is equal to \( R_p/pR_p = (R \setminus p)^{-1}R/p \),

00CK  (71) given \( R \) and \( M_1, M_2 \) the tensor product \( M_1 \otimes_R M_2 \),

0F0K  (72) given matrices \( A \) and \( B \) in a ring \( R \) of sizes \( m \times n \) and \( n \times m \) we have \( \det(AB) = \sum \det(A_S) \det(SB) \) in \( R \) where the sum is over subsets \( S \subset \{1, \ldots, n\} \) of size \( m \) and \( A_S \) is the \( m \times m \) submatrix of \( A \) with columns corresponding to \( S \) and \( SB \) is the \( m \times m \) submatrix of \( B \) with rows corresponding to \( S \),

(73) etc.

4. Snake lemma

07JV  The snake lemma and its variants are discussed in the setting of abelian categories in Homology, Section 5.

07JW  **Lemma 4.1.** Suppose given a commutative diagram

\[
\begin{array}{ccc}
X & \longrightarrow & Y \\
\downarrow^{\alpha} & & \downarrow^{\beta} \\
0 & \longrightarrow & U
\end{array}
\quad
\begin{array}{ccc}
Y & \longrightarrow & Z \\
\downarrow^{\beta} & & \downarrow^{\gamma} \\
V & \longrightarrow & W
\end{array}
\]

of abelian groups with exact rows, then there is a canonical exact sequence

\[ \text{Ker}(\alpha) \to \text{Ker}(\beta) \to \text{Ker}(\gamma) \to \text{Coker}(\alpha) \to \text{Coker}(\beta) \to \text{Coker}(\gamma) \]

Moreover, if \( X \to Y \) is injective, then the first map is injective, and if \( V \to W \) is surjective, then the last map is surjective.

**Proof.** The map \( \partial : \text{Ker}(\gamma) \to \text{Coker}(\alpha) \) is defined as follows. Take \( z \in \text{Ker}(\gamma) \). Choose \( y \in Y \) mapping to \( z \). Then \( \beta(y) \in V \) maps to zero in \( W \). Hence \( \beta(y) \) is the image of some \( u \in U \). Set \( \partial z = \overline{u} \) the class of \( u \) in the cokernel of \( \alpha \). Proof of exactness is omitted. \( \square \)

5. Finite modules and finitely presented modules

0517  Just some basic notation and lemmas.

0518  **Definition 5.1.** Let \( R \) be a ring. Let \( M \) be an \( R \)-module.

(1) We say \( M \) is a finite \( R \)-module, or a finitely generated \( R \)-module if there exist \( n \in \mathbb{N} \) and \( x_1, \ldots, x_n \in M \) such that every element of \( M \) is a \( R \)-linear combination of the \( x_i \). Equivalently, this means there exists a surjection \( R^{\oplus n} \twoheadrightarrow M \) for some \( n \in \mathbb{N} \).

(2) We say \( M \) is a finitely presented \( R \)-module or an \( R \)-module of finite presentation if there exist integers \( n, m \in \mathbb{N} \) and an exact sequence

\[ R^{\oplus m} \longrightarrow R^{\oplus n} \longrightarrow M \longrightarrow 0 \]
Informally, $M$ is a finitely presented $R$-module if and only if it is finitely generated and the module of relations among these generators is finitely generated as well. A choice of an exact sequence as in the definition is called a presentation of $M$.

**Lemma 5.2.** Let $R$ be a ring. Let $\alpha : R^{\oplus n} \to M$ and $\beta : N \to M$ be $R$-module maps. If $\text{Im}(\alpha) \subset \text{Im}(\beta)$, then there exists an $R$-module map $\gamma : R^{\oplus n} \to N$ such that $\alpha = \beta \circ \gamma$.

**Proof.** Let $e_i = (0, \ldots, 0, 1, 0, \ldots, 0)$ be the $i$th basis vector of $R^{\oplus n}$. Let $x_i \in N$ be an element with $\alpha(e_i) = \beta(x_i)$ which exists by assumption. Set $\gamma(a_1, \ldots, a_n) = \sum a_ix_i$. By construction $\alpha = \beta \circ \gamma$. □

**Lemma 5.3.** Let $R$ be a ring. Let

$$0 \to M_1 \to M_2 \to M_3 \to 0$$

be a short exact sequence of $R$-modules.

1. If $M_1$ and $M_3$ are finite $R$-modules, then $M_2$ is a finite $R$-module.
2. If $M_1$ and $M_3$ are finitely presented $R$-modules, then $M_2$ is a finitely presented $R$-module.
3. If $M_2$ is a finite $R$-module, then $M_3$ is a finite $R$-module.
4. If $M_2$ is a finitely presented $R$-module and $M_1$ is a finite $R$-module, then $M_3$ is a finitely presented $R$-module.
5. If $M_3$ is a finitely presented $R$-module and $M_2$ is a finite $R$-module, then $M_1$ is a finite $R$-module.

**Proof.** Proof of (1). If $x_1, \ldots, x_n$ are generators of $M_1$ and $y_1, \ldots, y_m \in M_2$ are elements whose images in $M_3$ are generators of $M_3$, then $x_1, \ldots, x_n, y_1, \ldots, y_m$ generate $M_2$.

Part (3) is immediate from the definition.

Proof of (5). Assume $M_3$ is finitely presented and $M_2$ finite. Choose a presentation $R^{\oplus m} \to R^{\oplus n} \to M_3 \to 0$.

By Lemma 5.2 there exists a map $R^{\oplus n} \to M_2$ such that the solid diagram

$$
\begin{array}{ccc}
R^{\oplus m} & \longrightarrow & R^{\oplus n} \\
\downarrow & & \downarrow \text{id} \\
0 & \longrightarrow & M_1 \\
\end{array}
\begin{array}{ccc}
& & \longrightarrow \\
& & \downarrow \\
& & M_2 \\
\end{array}
\begin{array}{ccc}
& & \longrightarrow \\
& & \downarrow \\
& & M_3 \\
\end{array}
\begin{array}{ccc}
& & \longrightarrow \\
& & \downarrow \\
& & 0 \\
\end{array}
$$

commutes. This produces the dotted arrow. By the snake lemma (Lemma 4.1) we see that we get an isomorphism

$$\text{Coker}(R^{\oplus m} \to M_1) \cong \text{Coker}(R^{\oplus n} \to M_2)$$

In particular we conclude that $\text{Coker}(R^{\oplus m} \to M_1)$ is a finite $R$-module. Since $\text{Im}(R^{\oplus m} \to M_1)$ is finite by (3), we see that $M_1$ is finite by part (1).

Proof of (4). Assume $M_2$ is finitely presented and $M_1$ is finite. Choose a presentation $R^{\oplus m} \to R^{\oplus n} \to M_2 \to 0$. Choose a surjection $R^{\oplus k} \to M_1$. By Lemma 5.2 there exists a factorization $R^{\oplus k} \to R^{\oplus n} \to M_2$ of the composition $R^{\oplus k} \to M_1 \to M_2$. Then $R^{\oplus k+m} \to R^{\oplus n} \to M_3 \to 0$ is a presentation.
Proof of (2). Assume that \( M_1 \) and \( M_3 \) are finitely presented. The argument in the proof of part (1) produces a commutative diagram

\[
\begin{array}{c}
0 \\
\downarrow \\
M_1 \\
\downarrow \\
M_2 \\
\downarrow \\
M_3 \\
\downarrow \\
0
\end{array}
\begin{array}{c}
\rightarrow \\
R^{\oplus n} \\
\rightarrow \\
R^{\oplus n+m} \\
\rightarrow \\
R^{\oplus m} \\
\rightarrow \\
0
\end{array}
\begin{array}{c}
\rightarrow \\
\rightarrow \\
\rightarrow \\
\rightarrow \\
0
\end{array}
\]

with surjective vertical arrows. By the snake lemma we obtain a short exact sequence

\[
0 \to \text{Ker}(R^{\oplus n} \to M_1) \to \text{Ker}(R^{\oplus n+m} \to M_2) \to \text{Ker}(R^{\oplus m} \to M_3) \to 0
\]

By part (5) we see that the outer two modules are finite. Hence the middle one is finite too. By (4) we see that \( M_2 \) is of finite presentation. \( \square \)

**Lemma 5.4.** Let \( R \) be a ring, and let \( M \) be a finite \( R \)-module. There exists a filtration by \( R \)-submodules

\[
0 = M_0 \subset M_1 \subset \ldots \subset M_n = M
\]

such that each quotient \( M_i/M_{i-1} \) is isomorphic to \( R/I_i \) for some ideal \( I_i \) of \( R \).

**Proof.** By induction on the number of generators of \( M \). Let \( x_1, \ldots, x_r \in M \) be a minimal number of generators. Let \( M' = Rx_1 \subset M \). Then \( M'/M'' \) has \( r-1 \) generators and the induction hypothesis applies. And clearly \( M' \cong R/I_1 \) with \( I_1 = \{ f \in R \mid fx_1 = 0 \} \). \( \square \)

**Lemma 5.5.** Let \( R \to S \) be a ring map. Let \( M \) be an \( S \)-module. If \( M \) is finite as an \( R \)-module, then \( M \) is finite as an \( S \)-module.

**Proof.** In fact, any \( R \)-generating set of \( M \) is also an \( S \)-generating set of \( M \), since the \( R \)-module structure is induced by the image of \( R \) in \( S \). \( \square \)

### 6. Ring maps of finite type and of finite presentation

**Definition 6.1.** Let \( R \to S \) be a ring map.

1. We say \( R \to S \) is of finite type, or that \( S \) is a finite type \( R \)-algebra if there exists an \( n \in \mathbb{N} \) and an surjection of \( R \)-algebras \( R[x_1, \ldots, x_n] \to S \).
2. We say \( R \to S \) is of finite presentation if there exist integers \( n, m \in \mathbb{N} \) and polynomials \( f_1, \ldots, f_m \in R[x_1, \ldots, x_n] \) and an isomorphism of \( R \)-algebras \( R[x_1, \ldots, x_n]/(f_1, \ldots, f_m) \cong S \).

Informally, \( R \to S \) is of finite presentation if and only if \( S \) is finitely generated as an \( R \)-algebra and the ideal of relations among the generators is finitely generated. A choice of a surjection \( R[x_1, \ldots, x_n] \to S \) as in the definition is sometimes called a presentation of \( S \).

**Lemma 6.2.** The notions finite type and finite presentation have the following permanence properties.

1. A composition of ring maps of finite type is of finite type.
3. Given \( R \to S' \to S \) with \( R \to S \) of finite type, then \( S' \to S \) is of finite type.
4. Given \( R \to S' \to S \), with \( R \to S \) of finite presentation, and \( R \to S' \) of finite type, then \( S' \to S \) is of finite presentation.
Lemma 6.3. Let $R \to S$ be a ring map of finite presentation. For any surjection $\alpha : R[x_1, \ldots, x_n] \to S$ the kernel of $\alpha$ is a finitely generated ideal in $R[x_1, \ldots, x_n]$.

Proof. We only prove the last assertion. Write $S = R[x_1, \ldots, x_n]/(f_1, \ldots, f_m)$ and $S' = R[y_1, \ldots, y_n]/I$. Say that the class $y_i$ of $y_i$ maps to $h_i \mod (f_1, \ldots, f_m)$ in $S$. Then it is clear that $S = S'[x_1, \ldots, x_n]/(f_1, \ldots, f_m, h_1 - y_1, \ldots, h_n - y_n)$.

Lemma 6.4. Let $R \to S$ be a ring map. Let $M$ be an $S$-module. Assume $R \to S$ is of finite type and $M$ is finitely presented as an $R$-module. Then $M$ is finitely presented as an $S$-module.

Proof. This is similar to the proof of part (4) of Lemma 6.2. We may assume $S = R[x_1, \ldots, x_n]/J$. Choose $y_1, \ldots, y_m \in M$ which generate $M$ as an $R$-module and choose relations $\sum a_{ij}y_j = 0$, $i = 1, \ldots, t$ which generate the kernel of $R^{\oplus m} \to M$. For any $i = 1, \ldots, n$ and $j = 1, \ldots, m$ write

$$x_i y_j = \sum a_{ijk} y_k$$

for some $a_{ijk} \in R$. Consider the $S$-module $N$ generated by $y_1, \ldots, y_m$ subject to the relations $\sum a_{ij}y_j = 0$, $i = 1, \ldots, t$ and $x_i y_j = \sum a_{ijk} y_k$, $i = 1, \ldots, n$ and $j = 1, \ldots, m$. Then $N$ has a presentation

$$S^{\oplus nm + t} \to S^{\oplus m} \to N \to 0$$

By construction there is a surjective map $\varphi : N \to M$. To finish the proof we show $\varphi$ is injective. Suppose $z = \sum b_j y_j \in N$ for some $b_j \in S$. We may think of $b_j$ as a polynomial in $x_1, \ldots, x_n$ with coefficients in $R$. By applying the relations of the form $x_i y_j = \sum a_{ijk} y_k$ we can inductively lower the degree of the polynomials. Hence we see that $z = \sum c_j y_j$ for some $c_j \in R$. Hence if $\varphi(z) = 0$ then the vector $(c_1, \ldots, c_m)$ is an $R$-linear combination of the vectors $(a_{i1}, \ldots, a_{im})$ and we conclude that $z = 0$ as desired.

7. Finite ring maps

Definition 7.1. Let $\varphi : R \to S$ be a ring map. We say $\varphi : R \to S$ is finite if $S$ is finite as an $R$-module.

Lemma 7.2. Let $R \to S$ be a finite ring map. Let $M$ be an $S$-module. Then $M$ is finite as an $R$-module if and only if $M$ is finite as an $S$-module.

Proof. One of the implications follows from Lemma 5.5. To see the other assume that $M$ is finite as an $S$-module. Pick $x_1, \ldots, x_n \in S$ which generate $S$ as an $R$-module. Pick $y_1, \ldots, y_m \in M$ which generate $M$ as an $S$-module. Then $x_i y_j$ generate $M$ as an $R$-module.

Lemma 7.3. Suppose that $R \to S$ and $S \to T$ are finite ring maps. Then $R \to T$ is finite.
Proof. If $t_i$ generate $T$ as an $S$-module and $s_j$ generate $S$ as an $R$-module, then $t_is_j$ generate $T$ as an $R$-module. (Also follows from Lemma 7.2) □

**Lemma 7.4.** Let $\varphi: R \to S$ be a ring map.

1. If $\varphi$ is finite, then $\varphi$ is of finite type.
2. If $S$ is of finite presentation as an $R$-module, then $\varphi$ is of finite presentation.

Proof. For (1) if $x_1, \ldots, x_n \in S$ generate $S$ as an $R$-module, then $x_1, \ldots, x_n$ generate $S$ as an $R$-algebra. For (2), suppose that $\sum r^j_i x_i = 0$, $j = 1, \ldots, m$ is a set of generators of the relations among the $x_i$ when viewed as $R$-module generators of $S$. Furthermore, write $1 = \sum r_i x_i$ for some $r_i \in R$ and $x_i x_j = \sum r^k_{ij} x_k$ for some $r^k_{ij} \in R$. Then

$$S = R[t_1, \ldots, t_n]/(\sum r^j_i t_i, 1 - \sum r_it_i, t_it_j - \sum r^k_{ij} t_k)$$

as an $R$-algebra which proves (2). □.

For more information on finite ring maps, please see Section 35.

8. Colimits

Some of the material in this section overlaps with the general discussion on colimits in Categories, Sections 14 – 21. The notion of a preordered set is defined in Categories, Definition 21.1. It is a slightly weaker notion than a partially ordered set.

**Definition 8.1.** Let $(I, \leq)$ be a preordered set. A system $(M_i, \mu_{ij})$ of $R$-modules over $I$ consists of a family of $R$-modules $\{M_i\}_{i \in I}$ indexed by $I$ and a family of $R$-module maps $\{\mu_{ij}: M_i \to M_j\}_{i \leq j}$ such that for all $i \leq j \leq k$

$$\mu_{ii} = \text{id}_{M_i}, \mu_{ik} = \mu_{jk} \circ \mu_{ij}$$

We say $(M_i, \mu_{ij})$ is a directed system if $I$ is a directed set.

This is the same as the notion defined in Categories, Definition 21.2 and Section 21. We refer to Categories, Definition 14.2 for the definition of a colimit of a diagram/system in any category.

**Lemma 8.2.** Let $(M_i, \mu_{ij})$ be a system of $R$-modules over the preordered set $I$. The colimit of the system $(M_i, \mu_{ij})$ is the quotient $R$-module $(\bigoplus_{i \in I} M_i)/Q$ where $Q$ is the $R$-submodule generated by all elements

$$\iota_i(x_i) - \iota_j(\mu_{ij}(x_i))$$

where $\iota_i: M_i \to \bigoplus_{i \in I} M_i$ is the natural inclusion. We denote the colimit $M = \text{colim}_i M_i$. We denote $\pi : \bigoplus_{i \in I} M_i \to M$ the projection map and $\phi_i = \pi \circ \iota_i : M_i \to M$.

Proof. This lemma is a special case of Categories, Lemma 14.11 but we will also prove it directly in this case. Namely, note that $\phi_i = \phi_j \circ \mu_{ij}$ in the above construction. To show the pair $(M, \phi_i)$ is the colimit we have to show it satisfies the universal property: for any other such pair $(Y, \psi_i)$ with $\psi_i : M_i \to Y$, $\psi_i = \psi_j \circ \mu_{ij},$
there is a unique $R$-module homomorphism $g : M \rightarrow Y$ such that the following diagram commutes:

\[
\begin{array}{ccc}
M_i & \xrightarrow{\mu_{ij}} & M_j \\
\downarrow{\phi_i} & & \downarrow{\phi_j} \\
M & \xrightarrow{\psi_i} & Y \\
\downarrow{g} & & \downarrow{\psi_j}
\end{array}
\]

And this is clear because we can define $g$ by taking the map $\psi_i$ on the summand $M_i$ in the direct sum $\bigoplus M_i$. □

**Lemma 8.3.** Let $(M_i, \mu_{ij})$ be a system of $R$-modules over the preordered set $I$. Assume that $I$ is directed. The colimit of the system $(M_i, \mu_{ij})$ is canonically isomorphic to the module $M$ defined as follows:

1. as a set let

   \[ M = \left( \prod_{i \in I} M_i \right) / \sim \]

   where for $m \in M_i$ and $m' \in M_i'$ we have

   \[ m \sim m' \Leftrightarrow \mu_{ij}(m) = \mu_{ij'}(m') \text{ for some } j \geq i, i' \]

2. as an abelian group for $m \in M_i$ and $m' \in M_i'$ we define the sum of the classes of $m$ and $m'$ in $M$ to be the class of $\mu_{ij}(m) + \mu_{ij'}(m')$ where $j \in I$ is any index with $i \leq j$ and $i' \leq j$, and

3. as an $R$-module define for $m \in M_i$ and $x \in R$ the product of $x$ and the class of $m$ in $M$ to be the class of $xm$ in $M$.

The canonical maps $\phi_i : M_i \rightarrow M$ are induced by the canonical maps $M_i \rightarrow \prod_{i \in I} M_i$.

**Proof.** Omitted. Compare with Categories, Section 19. □

**Lemma 8.4.** Let $(M_i, \mu_{ij})$ be a directed system. Let $M = \operatorname{colim} M_i$ with $\mu_i : M_i \rightarrow M$. Then, $\mu_i(x_i) = 0$ for $x_i \in M_i$ if and only if there exists $j \geq i$ such that $\mu_{ij}(x_i) = 0$.

**Proof.** This is clear from the description of the directed colimit in Lemma 8.3. □

**Example 8.5.** Consider the partially ordered set $I = \{a, b, c\}$ with $a < b$ and $a < c$ and no other strict inequalities. A system $(M_a, M_b, M_c, \mu_{ab}, \mu_{ac})$ over $I$ consists of three $R$-modules $M_a, M_b, M_c$ and two $R$-module homomorphisms $\mu_{ab} : M_a \rightarrow M_b$ and $\mu_{ac} : M_a \rightarrow M_c$. The colimit of the system is just

\[ M := \operatorname{colim}_{i \in I} M_i = \operatorname{Coker}(M_a \rightarrow M_b \oplus M_c) \]

where the map is $\mu_{ab} \oplus -\mu_{ac}$. Thus the kernel of the canonical map $M_a \rightarrow M$ is $\operatorname{Ker}(\mu_{ab}) + \operatorname{Ker}(\mu_{ac})$. And the kernel of the canonical map $M_b \rightarrow M$ is the image of $\operatorname{Ker}(\mu_{ac})$ under the map $\mu_{ab}$. Hence clearly the result of Lemma 8.4 is false for general systems.

**Definition 8.6.** Let $(M_i, \mu_{ij}), (N_i, \nu_{ij})$ be systems of $R$-modules over the same preordered set $I$. A homomorphism of systems $\Phi$ from $(M_i, \mu_{ij})$ to $(N_i, \nu_{ij})$ is by definition a family of $R$-module homomorphisms $\phi_i : M_i \rightarrow N_i$ such that $\phi_j \circ \mu_{ij} = \nu_{ij} \circ \phi_i$ for all $i \leq j$.
This is the same notion as a transformation of functors between the associated

\[ M : I \to \text{Mod}_R \text{ and } N : I \to \text{Mod}_R \], in the language of categories. The

following lemma is a special case of Categories, Lemma 14.7.

**Lemma 8.7.** Let \((M_i, \mu_{ij}), (N_i, \nu_{ij})\) be systems of \(R\)-modules over the same pre-

ordered set. A morphism of systems \(\Phi = (\phi_i)\) from \((M_i, \mu_{ij})\) to \((N_i, \nu_{ij})\) induces a

unique homomorphism

\[ \text{colim}\phi_i : \text{colim} M_i \to \text{colim} N_i \]

such that

\[ M_i \xrightarrow{\phi_i} \text{colim} M_i \]

\[ N_i \xrightarrow{\phi_i} \text{colim} N_i \]

commutes for all \(i \in I\).

**Proof.** Write \(M = \text{colim} M_i\) and \(N = \text{colim} N_i\) and \(\phi = \text{colim} \phi_i\) (as yet to be

constructed). We will use the explicit description of \(M\) and \(N\) in Lemma 8.2

without further mention. The condition of the lemma is equivalent to the condition

that

\[ \bigoplus_{i \in I} M_i \xrightarrow{\phi} \text{colim} M_i \]

\[ \bigoplus_{i \in I} N_i \xrightarrow{\phi} \text{colim} N_i \]

commutes. Hence it is clear that if \(\phi\) exists, then it is unique. To see that \(\phi\) exists,

it suffices to show that the kernel of the upper horizontal arrow is mapped by \(\bigoplus \phi_i\)

to the kernel of the lower horizontal arrow. To see this, let \(j \leq k\) and \(x_j \in M_j\). Then

\[ (\bigoplus \phi_i)(x_j - \mu_{jk}(x_j)) = \phi_j(x_j) - \phi_k(\mu_{jk}(x_j)) = \phi_j(x_j) - \nu_{jk}(\phi_j(x_j)) \]

which is in the kernel of the lower horizontal arrow as required. \(\square\)

**Lemma 8.8.** Let \(I\) be a directed set. Let \((L_i, \lambda_{ij}), (M_i, \mu_{ij}), \text{ and } (N_i, \nu_{ij})\) be

systems of \(R\)-modules over \(I\). Let \(\varphi_i : L_i \to M_i\) and \(\psi_i : M_i \to N_i\) be morphisms

of systems over \(I\). Assume that for all \(i \in I\) the sequence of \(R\)-modules

\[ L_i \xrightarrow{\varphi_i} M_i \xrightarrow{\psi_i} N_i \]

is a complex with homology \(H_i\). Then the \(R\)-modules \(H_i\) form a system over \(I\), the

sequence of \(R\)-modules

\[ \text{colim}_i L_i \xrightarrow{\varphi} \text{colim}_i M_i \xrightarrow{\psi} \text{colim}_i N_i \]

is a complex as well, and denoting \(H\) its homology we have

\[ H = \text{colim}_i H_i. \]

**Proof.** It is clear that \(\text{colim}_i L_i \xrightarrow{\varphi} \text{colim}_i M_i \xrightarrow{\psi} \text{colim}_i N_i\) is a complex.

For each \(i \in I\), there is a canonical \(R\)-module morphism \(H_i \to H\) (sending each \([m]\) \(\in H_i = \text{Ker}(\psi_i)/\text{Im}(\varphi_i)\) to the residue class in \(H = \text{Ker}(\psi)/\text{Im}(\varphi)\) of the image

of \(m\) in \(\text{colim}_i M_i\)). These give rise to a morphism \(\text{colim}_i H_i \to H\). It remains to

show that this morphism is surjective and injective.
We are going to repeatedly use the description of colimits over \( I \) as in Lemma [8.3] without further mention. Let \( h \in H \). Since \( H = \text{Ker}(\psi)/\text{Im}(\varphi) \) we see that \( h \) is the class mod \( \text{Im}(\varphi) \) of an element \([m]\) in \( \text{Ker}(\psi) \subset \text{colim}_i M_i \). Choose an \( i \) such that \([m]\) comes from an element \( m \in M_i \). Choose a \( j \geq i \) such that \( \nu_{ij}(\psi_i(m)) = 0 \) which is possible since \([m]\) \( \in \) \text{Ker}(\psi). After replacing \( i \) by \( j \) and \( m \) by \( \mu_{ij}(m) \) we see that we may assume \( m \in \text{Ker}(\psi_i) \). This shows that the map \( \text{colim}_i H_i \to H \) is surjective.

Suppose that \( h_i \in H_i \) has image zero on \( H \). Since \( H_i = \text{Ker}(\psi_i)/\text{Im}(\varphi_i) \) we may represent \( h_i \) by an element \( m \in \text{Ker}(\psi_i) \subset M_i \). The assumption on the vanishing of \( h_i \) in \( H \) means that the class of \( m \) in \( \text{colim}_i M_i \) lies in the image of \( \varphi \). Hence there exists a \( j \geq i \) and an \( l \in L_j \) such that \( \varphi_{jl}(l) = \mu_{ij}(m) \). Clearly this shows that the image of \( h_i \) in \( H_j \) is zero. This proves the injectivity of \( \text{colim}_i H_i \to H \). \qed

**Example 8.9.** Taking colimits is not exact in general. Consider the partially ordered set \( I = \{a, b, c\} \) with \( a < b \) and \( a < c \) and no other strict inequalities, as in Example [8.9]. Consider the map of systems \((0, \mathbb{Z}, \mathbb{Z}, 0, 0) \to (\mathbb{Z}, \mathbb{Z}, 1, 1)\). From the description of the colimit in Example [8.5] we see that the associated map of colimits is not injective, even though the map of systems is injective on each object. Hence the result of Lemma [8.8] is false for general systems.

**Lemma 8.10.** Let \( \mathcal{I} \) be an index category satisfying the assumptions of Categories, Lemma [19.8]. Then taking colimits of diagrams of abelian groups over \( \mathcal{I} \) is exact (i.e., the analogue of Lemma [8.3] holds in this situation).

**Proof.** By Categories, Lemma [19.8] we may write \( \mathcal{I} = \coprod_{j \in J} \mathcal{I}_j \) with each \( \mathcal{I}_j \) a filtered category, and \( J \) possibly empty. By Categories, Lemma [21.3], taking colimits over the index categories \( \mathcal{I}_j \) is the same as taking the colimit over some directed set. Hence Lemma [8.8] applies to these colimits. This reduces the problem to showing that coproducts in the category of \( R \)-modules over the set \( J \) are exact. In other words, exact sequences \( L_j \to M_j \to N_j \) of \( R \)-modules have to show that

\[
\bigoplus_{j \in J} L_j \longrightarrow \bigoplus_{j \in J} M_j \longrightarrow \bigoplus_{j \in J} N_j
\]

is exact. This can be verified by hand, and holds even if \( J \) is empty. \qed

For purposes of reference, we define what it means to have a relation between elements of a module.

**Definition 8.11.** Let \( R \) be a ring. Let \( M \) be an \( R \)-module. Let \( n \geq 0 \) and \( x_i \in M \) for \( i = 1, \ldots, n \). A relation between \( x_1, \ldots, x_n \) in \( M \) is a sequence of elements \( f_1, \ldots, f_n \in R \) such that \( \sum_{i=1}^{n} f_i x_i = 0 \).

**Lemma 8.12.** Let \( R \) be a ring and let \( M \) be an \( R \)-module. Then \( M \) is the colimit of a directed system \((M_i, \mu_{ij})\) of \( R \)-modules with all \( M_i \) finitely presented \( R \)-modules.

**Proof.** Consider any finite subset \( S \subset M \) and any finite collection of relations \( E \) among the elements of \( S \). So each \( s \in S \) corresponds to \( x_s \in M \) and each \( e \in E \) consists of a vector of elements \( f_{e,s} \in R \) such that \( \sum f_{e,s} x_s = 0 \). Let \( M_{S,E} \) be the cokernel of the map

\[
R^E \longrightarrow R^S, \quad (g_e)_{e \in E} \longmapsto (\sum g_{e,f_{e,s}})_{s \in S}.
\]

There are canonical maps \( M_{S,E} \to M \). If \( S \subset S' \) and if the elements of \( E \) correspond, via this map, to relations in \( E' \), then there is an obvious map \( M_{S,E} \to M_{S',E'} \).
commuting with the maps to $M$. Let $I$ be the set of pairs $(S, E)$ with ordering by inclusion as above. It is clear that the colimit of this directed system is $M$.  

9. Localization

**Definition 9.1.** Let $R$ be a ring, $S$ a subset of $R$. We say $S$ is a multiplicative subset of $R$ if $1 \in S$ and $S$ is closed under multiplication, i.e., $s, s' \in S \implies ss' \in S$. Given a ring $A$ and a multiplicative subset $S$, we define a relation on $A \times S$ as follows:

$$(x, s) \sim (y, t) \iff \exists u \in S \text{ such that } (xt - ys)u = 0$$

It is easily checked that this is an equivalence relation. Let $x/s$ (or $x$) be the equivalence class of $(x, s)$ and $S^{-1}A$ be the set of all equivalence classes. Define addition and multiplication in $S^{-1}A$ as follows:

$$x/s + y/t = (xt + ys)/st, \quad x/s \cdot y/t = xy/st$$

One can check that $S^{-1}A$ becomes a ring under these operations.

**Definition 9.2.** This ring is called the localization of $A$ with respect to $S$.

We have a natural ring map from $A$ to its localization $S^{-1}A$,

$$A \to S^{-1}A, \quad x \mapsto x/1$$

which is sometimes called the localization map. In general the localization map is not injective, unless $S$ contains no zerodivisors. For, if $x/1 = 0$, then there is a $u \in S$ such that $ux = 0$ in $A$ and hence $x = 0$ since there are no zerodivisors in $S$. The localization of a ring has the following universal property.

**Proposition 9.3.** Let $f : A \to B$ be a ring map that sends every element in $S$ to a unit of $B$. Then there is a unique homomorphism $g : S^{-1}A \to B$ such that the following diagram commutes.

$$\begin{array}{ccc}
A & \xrightarrow{f} & B \\
\downarrow{g} & & \downarrow{g} \\
S^{-1}A & & \\
\end{array}$$

**Proof.** Existence. We define a map $g$ as follows. For $x/s \in S^{-1}A$, let $g(x/s) = f(x)f(s)^{-1} \in B$. It is easily checked from the definition that this is a well-defined ring map. And it is also clear that this makes the diagram commutative.

Uniqueness. We now show that if $g' : S^{-1}A \to B$ satisfies $g'(x/1) = f(x)$, then $g = g'$. Hence $f(s) = g'(s/1)$ for $s \in S$ by the commutativity of the diagram. But then $g'(1/s)f(s) = 1$ in $B$, which implies that $g'(1/s) = f(s)^{-1}$ and hence $g'(x/s) = g'(x/1)g'(1/s) = f(x)f(s)^{-1} = g(x/s)$.  

**Lemma 9.4.** The localization $S^{-1}A$ is the zero ring if and only if $0 \in S$.

**Proof.** If $0 \in S$, any pair $(a, s) \sim (0, 1)$ by definition. If $0 \notin S$, then clearly $1/1 \neq 0/1$ in $S^{-1}A$.  

**Lemma 9.5.** Let $R$ be a ring. Let $S \subset R$ be a multiplicative subset. The category of $S^{-1}R$-modules is equivalent to the category of $R$-modules $N$ with the property that every $s \in S$ acts as an automorphism on $N$. 

The functor which defines the equivalence associates to an $S^{-1}R$-module $M$ the same module but now viewed as an $R$-module via the localization map $R \to S^{-1}R$. Conversely, if $N$ is an $R$-module, such that every $s \in S$ acts via an automorphism $s_N$, then we can think of $N$ as an $S^{-1}R$-module by letting $x/s$ act via $x_N \circ s_N^{-1}$. We omit the verification that these two functors are quasi-inverse to each other. \hfill \qedsymbol

The notion of localization of a ring can be generalized to the localization of a module. Let $A$ be a ring, $S$ a multiplicative subset of $A$ and $M$ an $A$-module. We define a relation on $M \times S$ as follows

$$(m, s) \sim (n, t) \iff \exists u \in S \text{ such that } (mt - ns)u = 0$$

This is clearly an equivalence relation. Denote by $[m/s]$ the equivalence class of $(m, s)$ and $S^{-1}M$ be the set of all equivalence classes. Define the addition and scalar multiplication as follows

$$m/s + n/t = (mt + ns)/st, \quad m/s \cdot n/t = mn/st$$

It is clear that this makes $S^{-1}M$ an $S^{-1}A$ module.

**Definition 9.6.** The $S^{-1}A$-module $S^{-1}M$ is called the localization of $M$ at $S$.

Note that there is an $A$-module map $M \to S^{-1}M$, $m \mapsto m/1$ which is sometimes called the localization map. It satisfies the following universal property.

**Lemma 9.7.** Let $R$ be a ring. Let $S \subset R$ a multiplicative subset. Let $M$, $N$ be $R$-modules. Assume all the elements of $S$ act as automorphisms on $N$. Then the canonical map

$$\text{Hom}_R(S^{-1}M, N) \longrightarrow \text{Hom}_R(M, N)$$

induced by the localization map, is an isomorphism.

**Proof.** It is clear that the map is well-defined and $R$-linear. Injectivity: Let $\alpha \in \text{Hom}_R(S^{-1}M, N)$ and take an arbitrary element $m/s \in S^{-1}M$. Then, since $s \cdot \alpha(m/s) = \alpha(m/1)$, we have $\alpha(m/s) = s^{-1}(\alpha(m/1))$, so $\alpha$ is completely determined by what it does on the image of $M$ in $S^{-1}M$. Surjectivity: Let $\beta : M \to N$ be a given $R$-linear map. We need to show that it can be "extended" to $S^{-1}M$. Define a map of sets

$$M \times S \to N, \quad (m, s) \mapsto s^{-1}\beta(m)$$

Clearly, this map respects the equivalence relation from above, so it descends to a well-defined map $\alpha : S^{-1}M \to N$. It remains to show that this map is $R$-linear, so take $r, r' \in R$ as well as $s, s' \in S$ and $m, m' \in M$. Then

$$\alpha(r \cdot m/s + r' \cdot m'/s') = \alpha((r \cdot st \cdot m + rt \cdot s \cdot m')/(ss'))$$

$$= (ss')^{-1}(r \cdot st \cdot m + rt \cdot s \cdot m')$$

$$= (ss')^{-1}(r \cdot s'\beta(m) + r' \cdot s\beta(m'))$$

$$= r\alpha(m/s) + r'\alpha(m'/s')$$

and we win. \hfill \qedsymbol

**Example 9.8.** Let $A$ be a ring and let $M$ be an $A$-module. Here are some important examples of localizations.
(1) Given \( p \) a prime ideal of \( A \) consider \( S = A \setminus p \). It is immediately checked that
\( S \) is a multiplicative set. In this case we denote \( A_p \) and \( M_p \) the localization of \( A \) and \( M \) with respect to \( S \) respectively. These are called the localization of \( A \), resp. \( M \) at \( p \).

(2) Let \( f \in A \). Consider \( S = \{1, f, f^2, \ldots \} \). This is clearly a multiplicative subset of \( A \). In this case we denote \( A_f \) (resp. \( M_f \)) the localization \( S^{-1}A \) (resp. \( S^{-1}M \)). This is called the localization of \( A \), resp. \( M \) with respect to \( f \). Note that \( A_f = 0 \) if and only if \( f \) is nilpotent in \( A \).

(3) Let \( S = \{f \in A \mid f \) is not a zerodivisor in \( A \}\}. This is a multiplicative subset of \( A \). In this case the ring \( Q(A) = S^{-1}A \) is called either the total quotient ring, or the total ring of fractions of \( A \).

(4) If \( A \) is a domain, then the total quotient ring \( Q(A) \) is the field of fractions of \( A \). Please see Fields, Example 3.4.

**Lemma 9.9.** Let \( R \) be a ring. Let \( S \subset R \) be a multiplicative subset. Let \( M \) be an \( R \)-module. Then

\[ S^{-1}M = \text{colim}_{f \in S} M_f \]

where the preorder on \( S \) is given by \( f \geq f' \iff f = f'f'' \) for some \( f'' \in R \) in which case the map \( M_{f'} \to M_f \) is given by \( m/(f')^e \to m(f''e)/f^e \).

**Proof.** Omitted. Hint: Use the universal property of Lemma 9.7.

In the following paragraph, let \( A \) denote a ring, and \( M, N \) denote modules over \( A \). If \( S \) and \( S' \) are multiplicative sets of \( A \), then it is clear that

\[ SS' = \{ss' : s \in S, s' \in S' \} \]

is a multiplicative set of \( A \). Then the following holds.

**Proposition 9.10.** Let \( S \) be the image of \( S \) in \( S'^{-1}A \), then \( (SS')^{-1}A \) is isomorphic to \( S^{-1}(S'^{-1}A) \).

**Proof.** The map sending \( x \in A \) to \( x/1 \in (SS')^{-1}A \) induces a map sending \( x/s \in S'^{-1}A \) to \( x/s \in (SS')^{-1}A \), by universal property. The image of the elements in \( S \) are invertible in \( (SS')^{-1}A \). By the universal property we get a map \( f : S^{-1}(S'^{-1}A) \to (SS')^{-1}A \) which maps \( (x/t')(s/s') \) to \( (x/t') \cdot (s/s')^{-1} \).

On the other hand, the map from \( A \) to \( S^{-1}(S'^{-1}A) \) sending \( x \in A \) to \( (x/1)/(1/1) \) also induces a map \( g : (SS')^{-1}A \to S^{-1}(S'^{-1}A) \) which sends \( x/ss' \) to \( (x/s')/(s/1) \), by the universal property again. It is immediately checked that \( f \) and \( g \) are inverse to each other, hence they are both isomorphisms.

For the module \( M \) we have

**Proposition 9.11.** View \( S^{-1}M \) as an \( A \)-module, then \( S^{-1}(S'^{-1}M) \) is isomorphic to \( (SS')^{-1}M \).

**Proof.** Note that given a \( A \)-module \( M \), we have not proved any universal property for \( S^{-1}M \). Hence we cannot reason as in the preceding proof; we have to construct the isomorphism explicitly.
We define the maps as follows
\[ f : S^{-1}(S'^{-1}M) \rightarrow (SS')^{-1}M, \quad \frac{x/s'}{s} \mapsto x/ss' \]
\[ g : (SS')^{-1}M \rightarrow S^{-1}(S'^{-1}M), \quad x/t \mapsto \frac{x/s'}{s} \text{ for some } s, s' \in S', \text{ and } t = ss' \]

We have to check that these homomorphisms are well-defined, that is, independent of the choice of the fraction. This is easily checked and it is also straightforward to show that they are inverse to each other. \(\square\)

If \(u : M \rightarrow N\) is an \(A\) homomorphism, then the localization indeed induces a well-defined \(S^{-1}A\) homomorphism \(S^{-1}u : S^{-1}M \rightarrow S^{-1}N\) which sends \(x/s\) to \(u(x)/s\). It is immediately checked that this construction is functorial, so that \(S^{-1}\) is actually a functor from the category of \(A\)-modules to the category of \(S^{-1}A\)-modules. Moreover this functor is exact, as we show in the following proposition.

00CS Proposition 9.12. Let \(L \xrightarrow{u} M \xrightarrow{v} N\) be an exact sequence of \(R\)-modules. Then \(S^{-1}L \rightarrow S^{-1}M \rightarrow S^{-1}N\) is also exact.

Proof. First it is clear that \(S^{-1}L \rightarrow S^{-1}M \rightarrow S^{-1}N\) is a complex since localization is a functor. Next suppose that \(x/s\) maps to zero in \(S^{-1}N\) for some \(x\in S^{-1}M\). Then by definition there is a \(t \in S\) such that \(v(xt) = v(x)t = 0\) in \(M\), which means \(xt \in \text{Ker}(v)\). By the exactness of \(L \rightarrow M \rightarrow N\) we have \(xt = u(y)\) for some \(y \in L\). Then \(x/s\) is the image of \(y/st\). This proves the exactness. \(\square\)

02CS Lemma 9.13. Localization respects quotients, i.e. if \(N\) is a submodule of \(M\), then \(S^{-1}(M/N) \cong (S^{-1}M)/(S^{-1}N)\).

Proof. From the exact sequence
\[ 0 \rightarrow N \rightarrow M \rightarrow M/N \rightarrow 0 \]
we have
\[ 0 \rightarrow S^{-1}N \rightarrow S^{-1}M \rightarrow S^{-1}(M/N) \rightarrow 0 \]
The corollary then follows. \(\square\)

If, in the preceding Corollary, we take \(N = I\) and \(M = A\) for an ideal \(I\) of \(A\), we see that \(S^{-1}A/S^{-1}I \cong S^{-1}(A/I)\) as \(A\)-modules. The next proposition shows that they are isomorphic as rings.

00CT Proposition 9.14. Let \(I\) be an ideal of \(A\), \(S\) a multiplicative set of \(A\). Then \(S^{-1}I\) is an ideal of \(S^{-1}A\) and \(\overline{S^{-1}}(A/I)\) is isomorphic to \(S^{-1}A/S^{-1}I\), where \(\overline{S}\) is the image of \(S\) in \(A/I\).

Proof. The fact that \(S^{-1}I\) is an ideal is clear since \(I\) itself is an ideal. Define
\[ f : S^{-1}A \rightarrow \overline{S^{-1}}(A/I), \quad x/s \mapsto \overline{x/s} \]
where \(\overline{x}\) and \(\overline{s}\) are the images of \(x\) and \(s\) in \(A/I\). We shall keep similar notations in this proof. This map is well-defined by the universal property of \(S^{-1}A\), and \(S^{-1}I\) is contained in the kernel of it, therefore it induces a map
\[ \overline{f} : S^{-1}A/S^{-1}I \rightarrow \overline{S^{-1}}(A/I), \quad \overline{x/s} \mapsto \overline{x/s} \]
On the other hand, the map \( A \to S^{-1}A/S^{-1}I \) sending \( x \) to \( \frac{x}{s} \) induces a map \( A/I \to S^{-1}A/S^{-1}I \) sending \( \pi \) to \( \frac{x}{s} \). The image of \( S \) is invertible in \( S^{-1}A/S^{-1}I \), thus induces a map

\[
g: S^{-1}(A/I) \to S^{-1}A/S^{-1}I, \quad \frac{x}{s} \mapsto \frac{x}{s}
\]

by the universal property. It is then clear that \( f \) and \( g \) are inverse to each other, hence are both isomorphisms. \( \square \)

We now consider how submodules behave in localization.

Lemma 9.15. Any submodule \( N' \) of \( S^{-1}M \) is of the form \( S^{-1}N \) for some \( N \subseteq M \). Indeed one can take \( N \) to be the inverse image of \( N' \) in \( M \).

Proof. Let \( N \) be the inverse image of \( N' \) in \( M \). Then one can see that \( S^{-1}N \supseteq N' \). To show they are equal, take \( x/s \) in \( S^{-1}N \), where \( s \in S \) and \( x \in N \). This yields that \( x/1 \in N' \). Since \( N' \) is an \( S^{-1}R \)-submodule we have \( x/s = x/1 \cdot 1/s \in N' \). This finishes the proof. \( \square \)

Taking \( M = A \) and \( N = I \) an ideal of \( A \), we have the following corollary, which can be viewed as a converse of the first part of Proposition 9.14.

Lemma 9.16. Each ideal \( I' \) of \( S^{-1}A \) takes the form \( S^{-1}I \), where one can take \( I \) to be the inverse image of \( I' \) in \( A \).

Proof. Immediate from Lemma 9.15. \( \square \)

10. Internal Hom

If \( R \) is a ring, and \( M, N \) are \( R \)-modules, then

\[
\text{Hom}_R(M, N) = \{ \varphi : M \to N \}
\]

is the set of \( R \)-linear maps from \( M \) to \( N \). This set comes with the structure of an abelian group by setting \((\varphi + \psi)(m) = \varphi(m) + \psi(m)\), as usual. In fact, \( \text{Hom}_R(M, N) \) is also an \( R \)-module via the rule \((x\varphi)(m) = x\varphi(m) = \varphi(xm)\).

Given maps \( a : M \to M' \) and \( b : N \to N' \) of \( R \)-modules, we can pre-compose and post-compose homomorphisms by \( a \) and \( b \). This leads to the following commutative diagram

\[
\begin{array}{ccc}
\text{Hom}_R(M', N) & \xrightarrow{bo} & \text{Hom}_R(M', N') \\
\downarrow{oa} & & \downarrow{oa} \\
\text{Hom}_R(M, N) & \xrightarrow{bo} & \text{Hom}_R(M, N')
\end{array}
\]

In fact, the maps in this diagram are \( R \)-module maps. Thus \( \text{Hom}_R \) defines an additive functor

\[
\text{Mod}_R^{op} \times \text{Mod}_R \to \text{Mod}_R, \quad (M, N) \mapsto \text{Hom}_R(M, N)
\]

Lemma 10.1. Exactness and \( \text{Hom}_R \). Let \( R \) be a ring.

(1) Let \( M_1 \to M_2 \to M_3 \to 0 \) be a complex of \( R \)-modules. Then \( M_1 \to M_2 \to M_3 \to 0 \) is exact if and only if \( 0 \to \text{Hom}_R(M_3, N) \to \text{Hom}_R(M_2, N) \to \text{Hom}_R(M_1, N) \) is exact for all \( R \)-modules \( N \).
Let $0 \to M_1 \to M_2 \to M_3$ be a complex of $R$-modules. Then $0 \to M_1 \to M_2 \to M_3$ is exact if and only if $0 \to \text{Hom}_R(N,M_1) \to \text{Hom}_R(N,M_2) \to \text{Hom}_R(N,M_3)$ is exact for all $R$-modules $N$.

**Proof.** Omitted. \hfill \Box

**Lemma 10.2.** Let $R$ be a ring. Let $M$ be a finitely presented $R$-module. Let $N$ be an $R$-module.

1. For $f \in R$ we have $\text{Hom}_R(M,N)_f = \text{Hom}_R(M_f,N_f)$.
2. For a multiplicative subset $S$ of $R$ we have $S^{-1}\text{Hom}_R(M,N) = \text{Hom}_{S^{-1}R}(S^{-1}M,S^{-1}N) = \text{Hom}_R(S^{-1}M,S^{-1}N)$.

**Proof.** Part (1) is a special case of part (2). The second equality in (2) follows from Lemma 9.7. Choose a presentation

$$\bigoplus_{j=1}^{\cdots,m} R \longrightarrow \bigoplus_{i=1}^{\cdots,n} R \rightarrow M \rightarrow 0.$$ 

By Lemma 10.1 this gives an exact sequence

$$0 \to \text{Hom}_R(M,N) \to \bigoplus_{i=1}^{\cdots,n} N \longrightarrow \bigoplus_{j=1}^{\cdots,m} N.$$ 

Inverting $S$ and using Proposition 9.12 we get an exact sequence

$$0 \to S^{-1}\text{Hom}_R(M,N) \to \bigoplus_{i=1}^{\cdots,n} S^{-1}N \longrightarrow \bigoplus_{j=1}^{\cdots,m} S^{-1}N$$

and the result follows since $S^{-1}M$ sits in an exact sequence

$$\bigoplus_{j=1}^{\cdots,m} S^{-1}R \longrightarrow \bigoplus_{i=1}^{\cdots,n} S^{-1}R \rightarrow S^{-1}M \rightarrow 0$$

which induces (by Lemma 10.1) the exact sequence

$$0 \to \text{Hom}_{S^{-1}R}(S^{-1}M,S^{-1}N) \to \bigoplus_{i=1}^{\cdots,n} S^{-1}N \longrightarrow \bigoplus_{j=1}^{\cdots,m} S^{-1}N$$

which is the same as the one above. \hfill \Box

### 11. Tensor products

**Definition 11.1.** Let $R$ be a ring, $M,N,P$ be three $R$-modules. A mapping $f : M \times N \to P$ (where $M \times N$ is viewed only as Cartesian product of two $R$-modules) is said to be $R$-bilinear if for each $x \in M$ the mapping $y \mapsto f(x,y)$ of $N$ into $P$ is $R$-linear, and for each $y \in N$ the mapping $x \mapsto f(x,y)$ is also $R$-linear.

**Lemma 11.2.** Let $M, N$ be $R$-modules. Then there exists a pair $(T,g)$ where $T$ is an $R$-module, and $g : M \times N \to T$ an $R$-bilinear mapping, with the following universal property: For any $R$-module $P$ and any $R$-bilinear mapping $f : M \times N \to P$, there exists a unique $R$-linear mapping $\tilde{f} : T \to P$ such that $f = \tilde{f} \circ g$. In other words, the following diagram commutes:

$$\begin{array}{ccc}
M \times N & \xrightarrow{f} & P \\
\downarrow{g} & & \downarrow{\tilde{f}} \\
T & \xrightarrow{f} & P
\end{array}$$

Moreover, if $(T,g)$ and $(T',g')$ are two pairs with this property, then there exists a unique isomorphism $j : T \to T'$ such that $j \circ g = g'$. 

The $R$-module $T$ which satisfies the above universal property is called the tensor product of $R$-modules $M$ and $N$, denoted as $M \otimes_R N$.

**Proof.** We first prove the existence of such $R$-module $T$. Let $M, N$ be $R$-modules. Let $T$ be the quotient module $P/Q$, where $P$ is the free $R$-module $R^{(M \times N)}$ and $Q$ is the $R$-module generated by all elements of the following types: $(x, y) \in M, y \in N$

\[
(x + x', y) - (x, y) - (x', y),
\]

\[
(x, y + y') - (x, y) - (x, y'),
\]

\[
(ax, y) - a(x, y),
\]

\[
(x, ay) - a(x, y)
\]

Let $\pi : M \times N \to T$ denote the natural map. This map is $R$-bilinear, as implied by the above relations when we check the bilinearity conditions. Denote the image $\pi(x, y) = x \otimes y$, then these elements generate $T$. Now let $f : M \times N \to P$ be an $R$-bilinear map, then we can define $f' : T \to P$ by extending the mapping $f'(x \otimes y) = f(x, y)$. Clearly $f = f' \circ \pi$. Moreover, $f'$ is uniquely determined by the value on the generating sets \{ $x \otimes y : x \in M, y \in N$\}. Suppose there is another pair $(T', g')$ satisfying the same properties. Then there is a unique $j : T \to T'$ and also $j' : T' \to T$ such that $g' = j \circ g$, $g = j' \circ g'$. But then both the maps $(j \circ j') \circ g$ and $g$ satisfies the universal properties, so by uniqueness they are equal, and hence $j \circ j$ is identity on $T$. Similarly $(j' \circ j) \circ g' = g'$ and $j \circ j'$ is identity on $T'$. So $j$ is an isomorphism. \hfill $\Box$

**Lemma 11.3.** Let $M, N, P$ be $R$-modules, then the bilinear maps

\[
(x, y) \mapsto y \otimes x
\]

\[
(x + y, z) \mapsto x \otimes z + y \otimes z
\]

\[
(r, x) \mapsto rx
\]

induce unique isomorphisms

\[
M \otimes_R N \to N \otimes_R M,
\]

\[
(M \oplus N) \otimes_R P \to (M \otimes_R P) \oplus (N \otimes_R P),
\]

\[
R \otimes_R M \to M
\]

**Proof.** Omitted. \hfill $\Box$

We may generalize the tensor product of two $R$-modules to finitely many $R$-modules, and set up a correspondence between the multi-tensor product with multilinear mappings. Using almost the same construction one can prove that:

**Lemma 11.4.** Let $M_1, \ldots, M_r$ be $R$-modules. Then there exists a pair $(T, g)$ consisting of an $R$-module $T$ and an $R$-multilinear mapping $g : M_1 \times \ldots \times M_r \to T$ with the universal property: For any $R$-multilinear mapping $f : M_1 \times \ldots \times M_r \to P$ there exists a unique $R$-module homomorphism $f' : T \to P$ such that $f' \circ g = f$. Such a module $T$ is unique up to unique isomorphism. We denote it $M_1 \otimes_R \ldots \otimes_R M_r$ and we denote the universal multilinear map $(m_1, \ldots, m_r) \mapsto m_1 \otimes \ldots \otimes m_r$.

**Proof.** Omitted. \hfill $\Box$
The homomorphisms

\[(M \otimes_R N) \otimes_R P \to M \otimes_R N \otimes_R P \to M \otimes_R (N \otimes_R P)\]

such that \(f((x \otimes y) \otimes z) = x \otimes y \otimes z\) and \(g(x \otimes y \otimes z) = x \otimes (y \otimes z), x \in M, y \in N, z \in P\) are well-defined and are isomorphisms.

**Proof.** We shall prove \(f\) is well-defined and is an isomorphism, and this proof carries analogously to \(g\). Fix any \(z \in P\), then the mapping \((x, y) \mapsto x \otimes y \otimes z, x \in M, y \in N\), is \(R\)-bilinear in \(x\) and \(y\), and hence induces homomorphism \(f_z : M \otimes N \to M \otimes N \otimes P\) which sends \(f_z(x \otimes y) = x \otimes y \otimes z\). Then consider \((M \otimes N) \times P \to M \otimes N \otimes P\) given by \((w, z) \mapsto f_z(w)\). The map is \(R\)-bilinear and thus induces \(f : (M \otimes N) \otimes R P \to M \otimes N \otimes_R P\) and \(f((x \otimes y) \otimes z) = x \otimes y \otimes z\).

To construct the inverse, we note that the map \(\pi : M \times N \times P \to (M \otimes N) \otimes P\) which agrees with the universal property. Here we see that \(h(x \otimes y \otimes z) = (x \otimes y) \otimes z\).

From the explicit expression of \(f\) and \(h\), \(f \circ h\) and \(h \circ f\) are identity maps of \(M \otimes N \otimes P\) and \((M \otimes N) \otimes P\) respectively, hence \(f\) is our desired isomorphism. \(\square\)

Doing induction we see that this extends to multi-tensor products. Combined with Lemma 11.3 we see that the tensor product operation on the category of \(R\)-modules is associative, commutative and distributive.

**Definition 11.6.** An abelian group \(N\) is called an \((A, B)\)-bimodule if it is both an \(A\)-module and a \(B\)-module, and the actions \(A \to \text{End}(M)\) and \(B \to \text{End}(M)\) are compatible in the sense that \((ax)b = a(xb)\) for all \(a \in A, b \in B, x \in N\). Usually we denote it as \(A N_B\).

**Lemma 11.7.** For \(A\)-module \(M\), \(B\)-module \(P\) and \((A, B)\)-bimodule \(N\), the modules \((M \otimes_A N) \otimes_B P\) and \(M \otimes_A (N \otimes_B P)\) can both be given \((A, B)\)-bimodule structure, and moreover

\[(M \otimes_A N) \otimes_B P \cong M \otimes_A (N \otimes_B P).\]

**Proof.** A priori \(M \otimes_A N\) is an \(A\)-module, but we can give it a \(B\)-module structure by letting

\[(x \otimes y)b = x \otimes yb, \quad x \in M, y \in N, b \in B\]

Thus \(M \otimes_A N\) becomes an \((A, B)\)-bimodule. Similarly for \(N \otimes_B P\), and thus for \((M \otimes_A N) \otimes_B P\) and \(M \otimes_A (N \otimes_B P)\). By Lemma 11.6 these two modules are isomorphic as both as \(A\)-module and \(B\)-module via the same mapping. \(\square\)

**Lemma 11.8.** For any three \(R\)-modules \(M, N, P\),

\[\text{Hom}_R(M \otimes_R N, P) \cong \text{Hom}_R(M, \text{Hom}_R(N, P))\]

**Proof.** An \(R\)-linear map \(\tilde{f} \in \text{Hom}_R(M \otimes_R N, P)\) corresponds to an \(R\)-bilinear map \(f : M \times N \to P\). For each \(x \in M\) the mapping \(y \mapsto f(x, y)\) is \(R\)-linear by the universal property. Thus \(f\) corresponds to a map \(\phi_f : M \to \text{Hom}_R(N, P)\). This map is \(R\)-linear since

\[\phi_f(ax + y)(z) = f(ax + y, z) = af(x, z) + f(y, z) = (a\phi_f(x) + \phi_f(y))(z),\]

for all \(a \in R, x \in M, y \in M\) and \(z \in N\). Conversely, any \(f \in \text{Hom}_R(M, \text{Hom}_R(N, P))\) defines an \(R\)-bilinear map \(M \times N \to P\), namely \((x, y) \mapsto f(x)(y)\). So this is a natural one-to-one correspondence between the two modules \(\text{Hom}_R(M \otimes_R N, P)\) and \(\text{Hom}_R(M, \text{Hom}_R(N, P))\). \(\square\)
Lemma 11.9 (Tensor products commute with colimits). Let \((M_i, \mu_{ij})\) be a system over the preordered set \(I\). Let \(N\) be an \(R\)-module. Then
\[
\text{colim}(M_i \otimes N) \cong (\text{colim} M_i) \otimes N.
\]
Moreover, the isomorphism is induced by the homomorphisms \(\mu_i \otimes 1 : M_i \otimes N \to M \otimes N\) where \(M = \text{colim} M_i\) with natural maps \(\mu_i : M_i \to M\).

Proof. By Lemma 8.7, these maps induce a unique homomorphism \(\psi\). We apply the functor \(\text{Hom}_R(N, \cdot)\) and obtain that \(\text{Hom}_R(N, \text{colim} M_i) \cong \text{colim} \text{Hom}_R(N, M_i)\). By Lemma 11.8, we have \(\text{Hom}_R(N, M_i) \cong \text{Hom}_R(N, M)\). Thus \(\text{Hom}_R(N, \text{colim} M_i) \cong \text{colim} \text{Hom}_R(N, M)\). This induces a unique mapping \(\phi : P \to M \otimes N\), with \(\lambda_i : M_i \otimes N \to P\) given by \(\lambda_i = \pi \circ (\iota_i \otimes 1)\).

To construct the inverse map, for each \(i \in I\), there is the canonical \(R\)-bilinear mapping \(g_i : M_i \times N \to M_i \otimes N\). This induces a unique mapping \(\tilde{\phi} : M \times N \to P\) such that \(\phi \circ (\mu_i \otimes 1) = \lambda_i \circ g_i\). It is \(R\)-bilinear. Thus it induces an \(R\)-linear mapping \(\phi : M \otimes N \to P\). From the commutative diagram below:
\[
\begin{array}{ccc}
M_i \otimes N & \xrightarrow{\mu_i \otimes 1} & M \otimes N \\
\mu_{ij} \otimes 1 & \downarrow \mu_i \otimes \text{id} & \downarrow \text{id} \\
M_j \otimes N & \xrightarrow{\mu_j \otimes 1} & M \otimes N
\end{array}
\]
\[
\begin{array}{ccc}
M_i \times N & \xrightarrow{g_i} & M_i \otimes N \\
\mu_i \times \text{id} & \downarrow \lambda_i & \downarrow \mu_i \otimes \text{id} \\
M \times N & \xrightarrow{\tilde{\phi}} & P \\
\phi & \downarrow \psi & \downarrow \lambda_i \\
M \otimes N & \xrightarrow{\phi} & P
\end{array}
\]
we see that \(\psi \circ \tilde{\phi} = g\), the canonical \(R\)-bilinear mapping \(g : M \times N \to M \otimes N\). So \(\psi \circ \phi\) is identity on \(M \otimes N\). From the right-hand square and triangle, \(\phi \circ \psi\) is also identity on \(P\).

Lemma 11.10. Let
\[
\begin{array}{c}
M_1 \xrightarrow{f} M_2 \xrightarrow{g} M_3 \to 0
\end{array}
\]
be an exact sequence of \(R\)-modules and homomorphisms, and let \(N\) be any \(R\)-module. Then the sequence
\[
\begin{array}{c}
\text{colim}(M_i \otimes N) \xrightarrow{f \otimes 1} \text{colim}(M_2 \otimes N) \xrightarrow{g \otimes 1} \text{colim}(M_3 \otimes N) \to 0
\end{array}
\]

is exact. In other words, the functor \(- \otimes_R N\) is right exact, in the sense that tensoring each term in the original right exact sequence preserves the exactness.

Proof. We apply the functor \(\text{Hom}(\cdot, \text{Hom}(N, \cdot))\) to the first exact sequence. We obtain
\[
0 \to \text{Hom}(M_3, \text{Hom}(N, \cdot)) \to \text{Hom}(M_2, \text{Hom}(N, \cdot)) \to \text{Hom}(M_1, \text{Hom}(N, \cdot))
\]
By Lemma 11.8 we have
\[
0 \to \text{Hom}(M_3 \otimes N, P) \to \text{Hom}(M_2 \otimes N, P) \to \text{Hom}(M_1 \otimes N, P)
\]
Using the pullback property again, we arrive at the desired exact sequence.
Remark 11.11. However, tensor product does NOT preserve exact sequences in general. In other words, if $M_1 \to M_2 \to M_3$ is exact, then it is not necessarily true that $M_1 \otimes N \to M_2 \otimes N \to M_3 \otimes N$ is exact for arbitrary $R$-module $N$.

Example 11.12. Consider the injective map $2 : \mathbb{Z} \to \mathbb{Z}$ viewed as a map of $\mathbb{Z}$-modules. Let $N = \mathbb{Z}/2$. Then the induced map $\mathbb{Z} \otimes \mathbb{Z}/2 \to \mathbb{Z} \otimes \mathbb{Z}/2$ is NOT injective. This is because for $x \otimes y \in \mathbb{Z} \otimes \mathbb{Z}/2$,

$$(2 \otimes 1)(x \otimes y) = 2x \otimes y = x \otimes 2y = x \otimes 0 = 0$$

Therefore the induced map is the zero map while $\mathbb{Z} \otimes N \neq 0$.

Remark 11.13. For $R$-modules $N$, if the functor $- \otimes_R N$ is exact, i.e. tensoring with $N$ preserves all exact sequences, then $N$ is said to be flat $R$-module. We will discuss this later in Section 38.


1. If $N$ and $M$ are finite, then so is $M \otimes_R N$.
2. If $N$ and $M$ are finitely presented, then so is $M \otimes_R N$.

Proof. Suppose $M$ is finite. Then choose a presentation $0 \to K \to R^{\oplus n} \to M \to 0$. This gives an exact sequence $K \otimes_R N \to N^{\oplus n} \to M \otimes_R N \to 0$ by Lemma 11.10. We conclude that if $N$ is finite too then $M \otimes_R N$ is a quotient of a finite module, hence finite, see Lemma 5.3. Similarly, if both $N$ and $M$ are finitely presented, then we see that $K$ is finite and that $M \otimes_R N$ is a quotient of the finitely presented module $N^{\oplus n}$ by a finite module, namely $K \otimes_R N$, and hence finitely presented, see Lemma 5.3.

Lemma 11.15. Let $M$ be an $R$-module. Then the $S^{-1}R$-modules $S^{-1}M$ and $S^{-1}R \otimes_R M$ are canonically isomorphic, and the canonical isomorphism $f : S^{-1}R \otimes_R M \to S^{-1}M$ is given by

$$f((a/s) \otimes m) = am/s, \forall a \in R, m \in M, s \in S$$

Proof. Obviously, the map $f' : S^{-1}R \times M \to S^{-1}M$ given by $f((a/s, m)) = am/s$ is bilinear, and thus by the universal property, this map induces a unique $S^{-1}R$-module homomorphism $f : S^{-1}R \otimes_R M \to S^{-1}M$ as in the statement of the lemma. Actually every element in $S^{-1}M$ is of the form $m/s, m \in M, s \in S$ and every element in $S^{-1}R \otimes_R M$ is of the form $1/s \otimes m$. To see the latter fact, write an element in $S^{-1}R \otimes_R M$ as

$$\sum_k \frac{a_k}{s_k} \otimes m_k = \sum_k \frac{a_k t_k}{s} \otimes m_k = \frac{1}{s} \otimes \sum_k a_k t_k m_k = \frac{1}{s} \otimes m$$

where $m = \sum_k a_k t_k m_k$. Then it is obvious that $f$ is surjective, and if $f(1/s \otimes m) = m/s = 0$ then there exists $t' \in S$ with $tm = 0$ in $M$. Then we have

$$\frac{1}{s} \otimes m = \frac{1}{st} \otimes tm = \frac{1}{st} \otimes 0 = 0$$

Therefore $f$ is injective.

Lemma 11.16. Let $M, N$ be $R$-modules, then there is a canonical $S^{-1}R$-module isomorphism $f : S^{-1}M \otimes_{S^{-1}R} S^{-1}N \to S^{-1}(M \otimes_R N)$, given by

$$f((m/s) \otimes (n/t)) = (m \otimes n)/st$$
Proof. We may use Lemma 11.7 and Lemma 11.15 repeatedly to see that these two \(S^{-1}R\)-modules are isomorphic, noting that \(S^{-1}R\) is an \((R, S^{-1}R)\)-bimodule:

\[
S^{-1}(M \otimes R N) \cong S^{-1}R \otimes_R (M \otimes R N) \\
\cong S^{-1}M \otimes_R N \\
\cong (S^{-1}M \otimes_{S^{-1}R} S^{-1}R) \otimes_R N \\
\cong S^{-1}M \otimes_{S^{-1}R} (S^{-1}R \otimes_R N) \\
\cong S^{-1}M \otimes_{S^{-1}R} S^{-1}N
\]

This isomorphism is easily seen to be the one stated in the lemma. \(\square\)

12. Tensor algebra

Let \(R\) be a ring. Let \(M\) be an \(R\)-module. We define the tensor algebra of \(M\) over \(R\) to be the noncommutative \(R\)-algebra

\[
T(M) = T_R(M) = \bigoplus_{n \geq 0} T^n(M)
\]

with \(T^0(M) = R\), \(T^1(M) = M\), \(T^2(M) = M \otimes_R M\), \(T^3(M) = M \otimes_R M \otimes_R M\), and so on. Multiplication is defined by the rule that on pure tensors we have

\[
(\otimes x_2 \otimes \ldots \otimes x_n) \cdot (\otimes y_2 \otimes \ldots \otimes y_m) = \otimes x_2 \otimes \ldots \otimes x_n \otimes y_2 \otimes \ldots \otimes y_m
\]

and we extend this by linearity.

We define the exterior algebra \(\wedge(M)\) of \(M\) over \(R\) to be the quotient of \(T(M)\) by the two sided ideal generated by the elements \(x \otimes x \in T^2(M)\). The image of a pure tensor \(x_1 \otimes \ldots \otimes x_n\) in \(\wedge^n(M)\) is denoted \(x_1 \wedge \ldots \wedge x_n\). These elements generate \(\wedge^n(M)\), they are \(R\)-linear in each \(x_i\) and they are zero when two of the \(x_i\) are equal (i.e., they are alternating as functions of \(x_1, x_2, \ldots, x_n\)). The multiplication on \(\wedge(M)\) is graded commutative, i.e., every \(x \in M\) and \(y \in M\) satisfy \(x \wedge y = -y \wedge x\).

An example of this is when \(M = Rx_1 \oplus \ldots \oplus Rx_n\) is a finite free module. In this case \(\wedge(M)\) is free over \(R\) with basis the elements

\[
x_{i_1} \wedge \ldots \wedge x_{i_r}
\]

with \(0 \leq r \leq n\) and \(1 \leq i_1 < i_2 < \ldots < i_r \leq n\).

We define the symmetric algebra \(\text{Sym}(M)\) of \(M\) over \(R\) to be the quotient of \(T(M)\) by the two sided ideal generated by the elements \(x \otimes y - y \otimes x \in T^2(M)\). The image of a pure tensor \(x_1 \otimes \ldots \otimes x_n\) in \(\text{Sym}^n(M)\) is denoted just \(x_1 \ldots x_n\). These elements generate \(\text{Sym}^n(M)\), these are \(R\)-linear in each \(x_i\) and \(x_1 \ldots x_n = x'_1 \ldots x'_n\) if the sequence of elements \(x_1, \ldots, x_n\) is a permutation of the sequence \(x'_1, \ldots, x'_n\). Thus we see that \(\text{Sym}(M)\) is commutative.

An example of this is when \(M = Rx_1 \oplus \ldots \oplus Rx_n\) is a finite free module. In this case \(\text{Sym}(M) = R[x_1, \ldots, x_n]\) is a polynomial algebra.

Lemma 12.1. Let \(R\) be a ring. Let \(M\) be an \(R\)-module. If \(M\) is a free \(R\)-module, so is each symmetric and exterior power.

Proof. Omitted, but see above for the finite free case. \(\square\)
Lemma 12.2. Let $R$ be a ring. Let $M_2 \to M_1 \to M \to 0$ be an exact sequence of $R$-modules. There are exact sequences

$$M_2 \otimes_R \text{Sym}^{n-1}(M_1) \to \text{Sym}^n(M_1) \to \text{Sym}^n(M) \to 0$$

and similarly

$$M_2 \otimes_R \wedge^{n-1}(M_1) \to \wedge^n(M_1) \to \wedge^n(M) \to 0$$

Proof. Omitted. □

Lemma 12.3. Let $R$ be a ring. Let $M$ be an $R$-module. Let $x_i, i \in I$ be a given system of generators of $M$ as an $R$-module. Let $n \geq 2$. There exists a canonical exact sequence

$$\bigoplus_{1 \leq j_1 < j_2 \leq n} T^{n-2}(M) \oplus \bigoplus_{1 \leq j_1 < j_2 \leq n} T^{n-2}(M) \to T^n(M) \to \wedge^n(M) \to 0$$

where the pure tensor $m_1 \otimes \ldots \otimes m_{n-2}$ in the first summand maps to

$$m_1 \otimes \ldots \otimes x_{i_1} \otimes \ldots \otimes x_{i_2} \otimes \ldots \otimes m_{n-2}$$

with $x_{i_1}$ and $x_{i_2}$ occupying slots $j_1$ and $j_2$ in the tensor

$$+ m_1 \otimes \ldots \otimes x_{i_2} \otimes \ldots \otimes x_{i_1} \otimes \ldots \otimes m_{n-2}$$

with $x_{i_1}$ and $x_{i_2}$ occupying slots $j_1$ and $j_2$ in the tensor

and $m_1 \otimes \ldots \otimes m_{n-2}$ in the second summand maps to

$$m_1 \otimes \ldots \otimes x_i \otimes \ldots \otimes x_i \otimes \ldots \otimes m_{n-2}$$

with $x_i$ and $x_i$ occupying slots $j_1$ and $j_2$ in the tensor

There is also a canonical exact sequence

$$\bigoplus_{1 \leq j_1 < j_2 \leq n} T^{n-2}(M) \to T^n(M) \to \text{Sym}^n(M) \to 0$$

where the pure tensor $m_1 \otimes \ldots \otimes m_{n-2}$ maps to

$$m_1 \otimes \ldots \otimes x_{i_1} \otimes \ldots \otimes x_{i_2} \otimes \ldots \otimes m_{n-2}$$

with $x_{i_1}$ and $x_{i_2}$ occupying slots $j_1$ and $j_2$ in the tensor

$$- m_1 \otimes \ldots \otimes x_{i_2} \otimes \ldots \otimes x_{i_1} \otimes \ldots \otimes m_{n-2}$$

with $x_{i_1}$ and $x_{i_2}$ occupying slots $j_1$ and $j_2$ in the tensor

Proof. Omitted. □

Lemma 12.4. Let $R$ be a ring. Let $M_i$ be a directed system of $R$-modules. Then $\text{colim}_i T(M) = T(\text{colim}_i M_i)$ and similarly for the symmetric and exterior algebras.

Proof. Omitted. Hint: Apply Lemma 11.9 □

Lemma 12.5. Let $R$ be a ring and let $S \subset R$ be a multiplicative subset. Then $S^{-1}T_R(M) = T_{S^{-1}R}(S^{-1}M)$ for any $R$-module $M$. Similar for symmetric and exterior algebras.

Proof. Omitted. Hint: Apply Lemma 11.16 □
13. Base change

05G3 We formally introduce base change in algebra as follows.

05G4 **Definition 13.1.** Let $\varphi : R \to S$ be a ring map. Let $M$ be an $S$-module. Let $R \to R'$ be any ring map. The base change of $\varphi$ by $R \to R'$ is the ring map $R' \to S \otimes_R R'$. In this situation we often write $S' = S \otimes_R R'$. The base change of the $S$-module $M$ is the $S'$-module $M \otimes_R R'$.

If $S = R[x_i]/(f_i)$ for some collection of variables $x_i$, $i \in I$ and some collection of polynomials $f_j \in R[x_i], j \in J$, then $S \otimes_R R' = R'[x_i]/(f'_j)$, where $f'_j \in R'[x_i]$ is the image of $f_j$ under the map $R[x_i] \to R'[x_i]$ induced by $R \to R'$. This simple remark is the key to understanding base change.

05G5 **Lemma 13.2.** Let $R \to S$ be a ring map. Let $M$ be an $S$-module. Let $R \to R'$ be a ring map and let $S' = S \otimes_R R'$ and $M' = M \otimes_R R'$ be the base changes.

1. If $M$ is a finite $S$-module, then the base change $M'$ is a finite $S'$-module.
2. If $M$ is an $S$-module finite presentation, then the base change $M'$ is an $S'$-module of finite presentation.
3. If $R \to S$ is of finite type, then the base change $R' \to S'$ is of finite type.
4. If $R \to S$ is of finite presentation, then the base change $R' \to S'$ is of finite presentation.

**Proof.** Proof of (1). Take a surjective, $S$-linear map $S^{\oplus n} \to M \to 0$. By Lemma 11.3 and 11.10 the result after tensoring with $R'$ is a surjection $S'^{\oplus n} \to M' \to 0$, so $M'$ is a finitely generated $S'$-module. Proof of (2). Take a presentation $S^{\oplus m} \to S^{\oplus n} \to M \to 0$. By Lemma 11.3 and 11.10 the result after tensoring with $R'$ gives a finite presentation $S'^{\oplus m} \to S'^{\oplus n} \to M' \to 0$, of the $S'$-module $M'$. Proof of (3). This follows by the remark preceding the lemma as we can take $I$ to be finite by assumption. Proof of (4). This follows by the remark preceding the lemma as we can take $I$ and $J$ to be finite by assumption. □

Let $\varphi : R \to S$ be a ring map. Given an $S$-module $N$ we obtain an $R$-module $N_R$ by the rule $r \cdot n = \varphi(r)n$. This is sometimes called the restriction of $N$ to $R$.

05DQ **Lemma 13.3.** Let $R \to S$ be a ring map. The functors $\mathsf{Mod}_S \to \mathsf{Mod}_R$, $N \mapsto N_R$ (restriction) and $\mathsf{Mod}_R \to \mathsf{Mod}_S$, $M \mapsto M \otimes_R S$ (base change) are adjoint functors. In a formula

$$\mathsf{Hom}_R(M, N_R) = \mathsf{Hom}_S(M \otimes_R S, N)$$

**Proof.** If $\alpha : M \to N_R$ is an $R$-module map, then we define $\alpha' : M \otimes_R S \to N$ by the rule $\alpha'(m \otimes s) = \alpha(m)$. If $\beta : M \otimes_R S \to N$ is an $S$-module map, we define $\beta' : M \to N_R$ by the rule $\beta'(m) = \beta(m \otimes 1)$. We omit the verification that these constructions are mutually inverse. □

The lemma above tells us that restriction has a left adjoint, namely base change. It also has a right adjoint.

08YP **Lemma 13.4.** Let $R \to S$ be a ring map. The functors $\mathsf{Mod}_S \to \mathsf{Mod}_R$, $N \mapsto N_R$ (restriction) and $\mathsf{Mod}_R \to \mathsf{Mod}_S$, $M \mapsto \mathsf{Hom}_R(S, M)$ are adjoint functors. In a formula

$$\mathsf{Hom}_R(N_R, M) = \mathsf{Hom}_S(N, \mathsf{Hom}_R(S, M))$$
Proof. If $\alpha : N_R \to M$ is an $R$-module map, then we define $\alpha' : N \to \text{Hom}_R(S,M)$ by the rule $\alpha'(n) = (s \mapsto \alpha(sn))$. If $\beta : N \to \text{Hom}_R(S,M)$ is an $S$-module map, we define $\beta' : N_R \to M$ by the rule $\beta'(n) = \beta(n)(1)$. We omit the verification that these constructions are mutually inverse. □

Lemma 13.5. Let $R \to S$ be a ring map. Given $S$-modules $M, N$ and an $R$-module $P$ we have

$$\text{Hom}_R(M \otimes_S N, P) = \text{Hom}_S(M, \text{Hom}_R(N, P))$$

Proof. This can be proved directly, but it is also a consequence of Lemmas 13.4 and 14.8. Namely, we have

$$\text{Hom}_R(M \otimes_S N, P) = \text{Hom}_S(M \otimes_S N, \text{Hom}_R(S, P)) = \text{Hom}_S(M, \text{Hom}_S(N, \text{Hom}_R(S, P))) = \text{Hom}_S(M, \text{Hom}_R(N, P))$$

as desired. □

14. Miscellany

00DR The proofs in this section should not refer to any results except those from the section on basic notions, Section 3.

07K1 Lemma 14.1. Let $R$ be a ring, $I$ and $J$ two ideals and $p$ a prime ideal containing the product $IJ$. Then $p$ contains $I$ or $J$.

Proof. Assume the contrary and take $x \in I \setminus p$ and $y \in J \setminus p$. Their product is an element of $IJ \subset p$, which contradicts the assumption that $p$ was prime. □

00DS Lemma 14.2 (Prime avoidance). Let $R$ be a ring. Let $I_i \subset R$, $i = 1, \ldots, r$, and $J \subset R$ be ideals. Assume

1. $J \not\subseteq I_i$ for $i = 1, \ldots, r$, and
2. all but two of $I_i$ are prime ideals.

Then there exists an $x \in J$, $x \not\in I_i$ for all $i$.

Proof. The result is true for $r = 1$. If $r = 2$, then let $x,y \in J$ with $x \not\in I_1$ and $y \not\in I_2$. We are done unless $x \in I_2$ and $y \in I_1$. Then the element $x + y$ cannot be in $I_1$ (since that would mean $x + y - y \in I_1$) and it also cannot be in $I_2$.

For $r \geq 3$, assume the result holds for $r - 1$. After renumbering we may assume that $I_r$ is prime. We may also assume there are no inclusions among the $I_i$. Pick $x \in J$, $x \not\in I_i$ for all $i = 1, \ldots, r - 1$. If $x \not\in I_r$ we are done. So assume $x \in I_r$. If $JI_1 \ldots I_{r-1} \subset I_r$ then $J \subset I_r$ (by Lemma 14.1) a contradiction. Pick $y \in JI_1 \ldots I_{r-1}$, $y \not\in I_r$. Then $x + y$ works. □

0EHL Lemma 14.3. Let $R$ be a ring. Let $x \in R$, $I \subset R$ an ideal, and $p_i$, $i = 1, \ldots, r$ be prime ideals. Suppose that $x + I \not\subseteq p_i$ for $i = 1, \ldots, r$. Then there exists an $y \in I$ such that $x + y \not\subseteq p_i$ for all $i$.

Proof. We may assume there are no inclusions among the $p_i$. After reordering we may assume $x \not\subseteq p_i$ for $i < s$ and $x \in p_i$ for $i \geq s$. If $s = r + 1$ then we are done. If not, then we can find $y \in I$ with $y \not\subseteq p_s$. Choose $f \in \bigcap_{i<s} p_i$ with $f \not\subseteq p_s$. Then $x + fy$ is not contained in $p_1, \ldots, p_s$. Thus we win by induction on $s$. □

00DT Lemma 14.4 (Chinese remainder). Let $R$ be a ring.
We first prove that the ideals $I_1 \ldots \hat{I}_i \ldots I_r \subset R/I_1 \times \ldots \times R/I_r$. The inclusion $I_1 \cap \ldots \cap I_r \supset I_1 \ldots I_r$ is always fulfilled since ideals are closed under multiplication with arbitrary ring elements. To prove the other inclusion, we claim that the ideals

$$I_1 \ldots \hat{I}_i \ldots I_r, \quad i = 1, \ldots, r$$

generate the ring $R$. We prove this by induction on $r$. It holds when $r = 2$. If $r > 2$, then we see that $R$ is the sum of the ideals $I_1 \ldots \hat{I}_i \ldots I_{r-1}, i = 1, \ldots, r - 1$. Hence $I_{r-1}$ is the sum of the ideals $I_1 \ldots \hat{I}_i \ldots I_r, i = 1, \ldots, r - 1$. Applying the same argument with the reverse ordering on the ideals we see that $I_1$ is the sum of the ideals displayed above. Therefore we can find elements $a_i \in I_1 \ldots \hat{I}_i \ldots I_r$ such that their sum is one. Multiplying this equation by an element of $I_1 \cap \ldots \cap I_r$ gives the other inclusion. It remains to show that the canonical map $R/(I_1 \ldots I_r) \to R/I_1 \times \ldots \times R/I_r$ is surjective. For this, consider its action on the equation $1 = \sum a_i$ we derived above. On the one hand, a ring morphism sends 1 to 1 and on the other hand, the image of any $a_i$ is zero in $R/I_j$ for $j \neq i$. Therefore, the image of $a_i$ in $R/I_i$ is the identity. So given any element $(b_1, \ldots, b_r) \in R/I_1 \times \ldots \times R/I_r$, the element $\sum_{i=1}^r a_i \cdot b_i$ is an inverse image in $R$. To see (2), by the very definition of being distinct maximal ideals, we have $m+a+mb=R$ for $a \neq b$ and so the above applies.

**Lemma 14.5.** Let $R$ be a ring. Let $n \geq m$. Let $A$ be an $n \times m$ matrix with coefficients in $R$. Let $J \subset R$ be the ideal generated by the $m \times m$ minors of $A$.

1. For any $f \in J$ there exists a $m \times n$ matrix $B$ such that $BA = f1_{m \times m}$.
2. If $f \in R$ and $BA = f1_{m \times m}$ for some $m \times n$ matrix $B$, then $f^m \in J$.

**Proof.** For $I \subset \{1, \ldots, n\}$ with $|I| = m$, we denote by $E_I$ the $m \times n$ matrix of the projection

$$R^{n \times n} = \bigoplus_{i \in \{1, \ldots, n\}} R \to \bigoplus_{i \in I} R$$

and set $A_I = E_I A$, i.e., $A_I$ is the $m \times m$ matrix whose rows are the rows of $A$ with indices in $I$. Let $B_I$ be the adjugate (transpose of cofactor) matrix to $A_I$, i.e., such that $A_I B_I = B_I A_I = \det(A_I)1_{m \times m}$. The $m \times m$ minors of $A$ are the determinants $\det A_I$ for all the $I \subset \{1, \ldots, n\}$ with $|I| = m$. If $f \in J$ then we can write $f = \sum_{c_I \in J} c_I \det(A_I)$ for some $c_I \in R$. Set $B = \sum_{c_I \in J} c_I B_I E_I$ to see that (1) holds.

If $f1_{m \times m} = BA$ then by the Cauchy-Binet formula (72) we have $f^m = \sum b_I \det(A_I)$ where $b_I$ is the determinant of the $m \times m$ matrix whose columns are the columns of $B$ with indices in $I$.

**Lemma 14.6.** Let $R$ be a ring. Let $n \geq m$. Let $A = (a_{ij})$ be an $n \times m$ matrix with coefficients in $R$, written in block form as

$$A = \begin{pmatrix} A_1 \\ A_2 \end{pmatrix}$$
where $A_1$ has size $m \times m$. Let $B$ be the adjugate (transpose of cofactor) matrix to $A_1$. Then

$$AB = \begin{pmatrix} f & \cdot & \cdot \\ \cdot & \ddots & \cdot \\ \cdot & \cdot & C \end{pmatrix}$$

where $f = \det(A_1)$ and $c_{ij}$ is (up to sign) the determinant of the $m \times m$ minor of $A$ corresponding to the rows $1, \ldots, \hat{j}, \ldots, m, i$.

**Proof.** Since the adjugate has the property $A_1B = BA_1 = f$ the first block of the expression for $AB$ is correct. Note that

$$c_{ij} = \sum_k a_{ik}b_{kj} = \sum_k (-1)^{j+k}a_{ik} \det(A_{jk})$$

where $A_{jk}$ means $A_1$ with the $j$th row and $k$th column removed. This last expression is the row expansion of the determinant of the matrix in the statement of the lemma. \qed

### 15. Cayley-Hamilton

**Lemma 15.1.** Let $R$ be a ring. Let $A = (a_{ij})$ be an $n \times n$ matrix with coefficients in $R$. Let $P(x) \in R[x]$ be the characteristic polynomial of $A$ (defined as $\det(xid_{n \times n} - A)$). Then $P(A) = 0$ in $\text{Mat}(n \times n, R)$.

**Proof.** We reduce the question to the well-known Cayley-Hamilton theorem from linear algebra in several steps:

1. If $\phi : S \to R$ is a ring morphism and $b_{ij}$ are inverse images of the $a_{ij}$ under this map, then it suffices to show the statement for $S$ and $(b_{ij})$ since $\phi$ is a ring morphism.
2. If $\psi : R \hookrightarrow S$ is an injective ring morphism, it clearly suffices to show the result for $S$ and the $a_{ij}$ considered as elements of $S$.
3. Thus we may first reduce to the case $R = \mathbb{Z}[X_{ij}]$, $a_{ij} = X_{ij}$ of a polynomial ring and then further to the case $R = \mathbb{Q}(X_{ij})$ where we may finally apply Cayley-Hamilton. \qed

**Lemma 15.2.** Let $R$ be a ring. Let $M$ be a finite $R$-module. Let $\varphi : M \to M$ be an endomorphism. Then there exists a monic polynomial $P \in R[T]$ such that $P(\varphi) = 0$ as an endomorphism of $M$.

**Proof.** Choose a surjective $R$-module map $R^{\oplus n} \to M$, given by $(a_1, \ldots, a_n) \mapsto \sum a_i x_i$ for some generators $x_i \in M$. Choose $(a_{i1}, \ldots, a_{in}) \in R^{\oplus n}$ such that $\varphi(x_i) = \sum a_{ij} x_j$. In other words the diagram

$$\begin{array}{ccc}
R^{\oplus n} & \to & M \\
A \downarrow & & \downarrow \varphi \\
R^{\oplus n} & \to & M
\end{array}$$

is commutative where $A = (a_{ij})$. By Lemma 15.1 there exists a monic polynomial $P$ such that $P(A) = 0$. Then it follows that $P(\varphi) = 0$. \qed
Lemma 15.3. Let \( R \) be a ring. Let \( I \subset R \) be an ideal. Let \( M \) be a finite \( R \)-module. Let \( \varphi : M \to M \) be an endomorphism such that \( \varphi(M) \subset IM \). Then there exists a monic polynomial \( P = t^n + a_1 t^{n-1} + \ldots + a_n \in R[T] \) such that \( a_j \in I \) and \( P(\varphi) = 0 \) as an endomorphism of \( M \).

Proof. Choose a surjective \( R \)-module map \( R^{\oplus n} \to M \), given by \((a_1, \ldots, a_n) \mapsto \sum a_i x_i \) for some generators \( x_i \in M \). Choose \((a_{i1}, \ldots, a_{in}) \in I^{\oplus n} \) such that \( \varphi(x_i) = \sum a_{ij} x_j \). In other words the diagram

\[
\begin{array}{ccc}
R^{\oplus n} & \xrightarrow{\varphi} & M \\
A \downarrow & & \downarrow \varphi \\
I^{\oplus n} & \xrightarrow{\varphi} & M
\end{array}
\]

is commutative where \( A = (a_{ij}) \). By Lemma 15.1 the polynomial \( P(t) = \det(tI_{n \times n} - A) \) has all the desired properties.

As a fun example application we prove the following surprising lemma.

Lemma 15.4. Let \( R \) be a ring. Let \( M \) be a finite \( R \)-module. Let \( \varphi : M \to M \) be a surjective \( R \)-module map. Then \( \varphi \) is an isomorphism.

First proof. Write \( R' = R[x] \) and think of \( M \) as a finite \( R' \)-module with \( x \) acting via \( \varphi \). Set \( I = (x) \subset R' \). By our assumption that \( \varphi \) is surjective we have \( IM = M \). Hence we may apply Lemma 15.3 to \( M \) as an \( R' \)-module, the ideal \( I \) and the endomorphism \( \text{id}_M \). We conclude that \((1 + a_1 + \ldots + a_n) \text{id}_M = 0 \) with \( a_j \in I \).

Write \( a_j = b_j(x)x \) for some \( b_j(x) \in R[x] \). Translating back into \( \varphi \) we see that \( \text{id}_M = - (\sum_{j=1}^{n} b_j(\varphi)) \varphi \), and hence \( \varphi \) is invertible.

Second proof. We perform induction on the number of generators of \( M \) over \( R \). If \( M \) is generated by one element, then \( M \cong R/I \) for some ideal \( I \subset R \). In this case we may replace \( R \) by \( R/I \) so that \( M \cong R \). In this case \( \varphi : R \to R \) is given by multiplication on \( M \) by an element \( r \in R \). The surjectivity of \( \varphi \) forces \( r \) invertible, since \( \varphi \) must hit 1, which implies that \( \varphi \) is invertible.

Now assume that we have proven the lemma in the case of modules generated by \( n-1 \) elements, and are examining a module \( M \) generated by \( n \) elements. Let \( A \) mean the ring \( R[t] \), and regard the module \( M \) as an \( A \)-module by letting \( t \) act via \( \varphi \); since \( M \) is finite over \( R \), it is finite over \( R[t] \) as well, and since we’re trying to prove \( \varphi \) injective, a set-theoretic property, we might as well prove the endomorphism \( t : M \to M \) over \( A \) injective. We have reduced our problem to the case our endomorphism is multiplication by an element of the ground ring. Let \( M' \subset M \) denote the sub-\( A \)-module generated by the first \( n-1 \) of the generators of \( M \), and consider the diagram

\[
\begin{array}{ccc}
0 & \xrightarrow{} & M' & \xrightarrow{\varphi |_{M'}} & M & \xrightarrow{\varphi} & M/M' & \xrightarrow{\varphi \mod M'} & 0 \\
\downarrow & & \downarrow & & \downarrow & & \downarrow & & \downarrow \\
0 & \xrightarrow{} & M' & \xrightarrow{\varphi} & M & \xrightarrow{\varphi \mod M'} & 0,
\end{array}
\]

where the restriction of \( \varphi \) to \( M' \) and the map induced by \( \varphi \) on the quotient \( M/M' \) are well-defined since \( \varphi \) is multiplication by an element in the base, and \( M' \) and \( M/M' \) are \( A \)-modules in their own right. By the case \( n = 1 \) the map \( M/M' \to
$M/M'$ is an isomorphism. A diagram chase implies that $\varphi|_{M'}$ is surjective hence by induction $\varphi|_{M'}$ is an isomorphism. This forces the middle column to be an isomorphism by the snake lemma.

\[ \square \]

16. The spectrum of a ring

We arbitrarily decide that the spectrum of a ring as a topological space is part of the algebra chapter, whereas an affine scheme is part of the chapter on schemes.

00DY **Definition 16.1.** Let $R$ be a ring.

1. The spectrum of $R$ is the set of prime ideals of $R$. It is usually denoted $\text{Spec}(R)$.
2. Given a subset $T \subset R$ we let $V(T) \subset \text{Spec}(R)$ be the set of primes containing $T$, i.e., $V(T) = \{ p \in \text{Spec}(R) \mid \forall f \in T, f \in p \}$.
3. Given an element $f \in R$ we let $D(f) \subset \text{Spec}(R)$ be the set of primes not containing $f$.

00E0 **Lemma 16.2.** Let $R$ be a ring.

1. The spectrum of a ring $R$ is empty if and only if $R$ is the zero ring.
2. Every nonzero ring has a maximal ideal.
3. Every nonzero ring has a minimal prime ideal.
4. Given an ideal $I \subset R$ and a prime ideal $I \subset p$ there exists a prime $I \subset q \subset p$ such that $q$ is minimal over $I$.
5. If $T \subset R$, and if $(T)$ is the ideal generated by $T$ in $R$, then $V((T)) = V(T)$.
6. If $I$ is an ideal and $\sqrt{I}$ is its radical, see basic notion [27], then $V(I) = V(\sqrt{I})$.
7. Given an ideal $I$ of $R$ we have $\sqrt{I} = \bigcap_{i \in p} p$.
8. If $I$ is an ideal then $V(I) = \emptyset$ if and only if $I$ is the unit ideal.
9. If $I, J$ are ideals of $R$ then $V(I) \cup V(J) = V(I \cap J)$.
10. If $(I_a)_{a \in \mathcal{A}}$ is a set of ideals of $R$ then $\cap_{a \in \mathcal{A}} V(I_a) = V(\cup_{a \in \mathcal{A}} I_a)$.
11. If $f \in R$, then $D(f) \cup V(f) = \text{Spec}(R)$.
12. If $f \in R$ then $D(f) = \emptyset$ if and only if $f$ is nilpotent.
13. If $f = uf'$ for some unit $u \in R$, then $D(f) = D(f')$.
14. If $I \subset R$ is an ideal, and $p$ is a prime of $R$ with $p \not\subset V(I)$, then there exists an $f \in R$ such that $p \in D(f)$, and $D(f) \cap V(I) = \emptyset$.
15. If $f, g \in R$, then $D(fg) = D(f) \cap D(g)$.
16. If $f_i \in R$ for $i \in I$, then $\bigcup_{i \in I} D(f_i)$ is the complement of $V(\{f_i\}_{i \in I})$ in $\text{Spec}(R)$.
17. If $f \in R$ and $D(f) = \text{Spec}(R)$, then $f$ is a unit.

**Proof.** We address each part in the corresponding item below.

1. This is a direct consequence of (2) or (3).
2. Let $\mathfrak{A}$ be the set of all proper ideals of $R$. This set is ordered by inclusion and is non-empty, since $(0) \in \mathfrak{A}$ is a proper ideal. Let $A$ be a totally ordered subset of $\mathfrak{A}$. Then $\bigcup_{I \in A} I$ is in fact an ideal. Since $1 \notin I$ for all $I \in A$, the union does not contain 1 and thus is proper. Hence $\bigcup_{I \in A} I$ is in $\mathfrak{A}$ and is an upper bound for the set $A$. Thus by Zorn’s lemma $\mathfrak{A}$ has a maximal element, which is the sought-after maximal ideal.
3. Since $R$ is nonzero, it contains a maximal ideal which is a prime ideal. Thus the set $\mathfrak{A}$ of all prime ideals of $R$ is nonempty. $\mathfrak{A}$ is ordered by
reverse-inclusion. Let $A$ be a totally ordered subset of $\mathfrak{M}$. It’s pretty clear that $J = \bigcap_{I \in A} I$ is in fact an ideal. Not so clear, however, is that it is prime. Let $xy \in J$. Then $xy \in I$ for all $I \in A$. Now let $B = \{I \in A | y \in I\}$. Let $K = \bigcap_{I \in B} I$. Since $A$ is totally ordered, either $K = J$ (and we’re done, since then $y \in J)$ or $K \supset J$ and for all $I \in A$ such that $I$ is properly contained in $K$, we have $y \notin I$. But that means that for all those $I, x \in I$, since they are prime. Hence $x \in J$. In either case, $J$ is prime as desired. Hence by Zorn’s lemma we get a maximal element which in this case is a minimal prime ideal.

(4) This is the same exact argument as (3) except you only consider prime ideals contained in $p$ and containing $I$.

(5) $(T)$ is the smallest ideal containing $T$. Hence if $T \subseteq I$, some ideal, then $(T) \subseteq I$ as well. Hence if $I \in V(T)$, then $I \in V((T))$ as well. The other inclusion is obvious.

(6) Since $I \subseteq \sqrt{T}, V(\sqrt{T}) \subseteq V(I)$. Now let $p \in V(I)$. Let $x \in \sqrt{T}$. Then $x^n \in I$ for some $n$. Hence $x^n \in p$. But since $p$ is prime, a boring induction argument gets you that $x \in p$. Hence $\sqrt{T} \subseteq p$ and $p \in V(\sqrt{T})$.

(7) Let $f \in R \setminus \sqrt{T}$. Then $f^n \notin I$ for all $n$. Hence $S = \{1, f, f^2, \ldots \}$ is a multiplicative subset, not containing $0$. Take a prime ideal $p \supset S^{-1}R$ containing $S^{-1}I$. Then the pull-back $p$ in $R$ of $\bar{p}$ is a prime ideal containing $I$ that does not intersect $S$. This shows that $\bigcap_{I \subseteq p} p \subseteq \sqrt{T}$. Now if $a \in \sqrt{T}$, then $a^n \in I$ for some $n$. Hence if $I \subseteq p$, then $a^n \in p$. But since $p$ is prime, we have $a \in p$. Thus the equality is shown.

(8) $I$ is not the unit ideal if and only if $I$ is contained in some maximal ideal (to see this, apply (2) to the ring $R/I$ which is therefore prime.

(9) If $p \in V(I) \cup V(J)$, then $I \subseteq p$ or $J \subseteq p$ which means that $I \cap J \subseteq p$. Now if $I \cap J \subseteq p$, then $IJ \subseteq p$ and hence either $I$ or $J$ is in $p$, since $p$ is prime.

(10) $p \in \bigcap_{I \in A} V(I) \iff I_a \subseteq p, \forall a \in A \iff p \in V(\bigcup_{a \in A} I_a)$

(11) If $p$ is a prime ideal and $f \in R$, then either $f \in p$ or $f \notin p$ (strictly) which is what the disjoint union says.

(12) If $a \in R$ is nilpotent, then $a^n = 0$ for some $n$. Hence $a^n \in p$ for any prime ideal. Thus $a \in p$ as can be shown by induction and $D(f) = \emptyset$. Now, as shown in (7), if $a \in R$ is not nilpotent, then there is a prime ideal that does not contain it.

(13) $f \in p \iff uf \in p$, since $u$ is invertible.

(14) If $p \notin V(I)$, then $\exists f \in I \setminus p$. Then $f \notin p$ so $p \in D(f)$. Also if $q \in D(f)$, then $f \notin q$ and thus $I$ is not contained in $q$. Thus $D(f) \cap V(I) = \emptyset$.

(15) If $fg \in p$, then $f \in p$ or $g \in p$. Hence if $f \notin p$ and $g \notin p$, then $fg \notin p$. Since $p$ is an ideal, if $fg \notin p$, then $f \notin p$ and $g \notin p$.

(16) $p \in \bigcup_{I \in I} D(f_i) \iff \exists i \in I, f_i \notin p \iff p \in \text{Spec}(R) \setminus V(\{f_i\}_{i \in I})$

(17) If $D(f) = \text{Spec}(R)$, then $V(f) = \emptyset$ and hence $fR = R$, so $f$ is a unit.

\[ \square \]

The lemma implies that the subsets $V(T)$ from Definition [16.1] form the closed subsets of a topology on $\text{Spec}(R)$. And it also shows that the sets $D(f)$ are open and form a basis for this topology.
00E1 **Definition 16.3.** Let $R$ be a ring. The topology on Spec($R$) whose closed sets are the sets $V(T)$ is called the Zariski topology. The open subsets $D(f)$ are called the standard opens of Spec($R$).

It should be clear from context whether we consider Spec($R$) just as a set or as a topological space.

00E2 **Lemma 16.4.** Suppose that $\varphi : R \rightarrow R'$ is a ring homomorphism. The induced map

$$\text{Spec}(\varphi) : \text{Spec}(R') \rightarrow \text{Spec}(R), \quad \mathfrak{p}' \mapsto \varphi^{-1}(\mathfrak{p}')$$

is continuous for the Zariski topologies. In fact, for any element $f \in R$ we have $\text{Spec}(\varphi)^{-1}(D(f)) = D(\varphi(f))$.

**Proof.** It is basic notion that $\mathfrak{p} := \varphi^{-1}(\mathfrak{p}')$ is indeed a prime ideal of $R$. The last assertion of the lemma follows directly from the definitions, and implies the first.

If $\varphi' : R' \rightarrow R''$ is a second ring homomorphism then the composition

$$\text{Spec}(R'') \rightarrow \text{Spec}(R') \rightarrow \text{Spec}(R)$$

equals $\text{Spec}(\varphi' \circ \varphi)$. In other words, Spec is a contravariant functor from the category of rings to the category of topological spaces.

00E3 **Lemma 16.5.** Let $R$ be a ring. Let $S \subset R$ be a multiplicative subset. The map $R \rightarrow S^{-1}R$ induces via the functoriality of Spec a homeomorphism

$$\text{Spec}(S^{-1}R) \rightarrow \{ \mathfrak{p} \in \text{Spec}(R) \mid S \cap \mathfrak{p} = \emptyset \}$$

where the topology on the right hand side is that induced from the Zariski topology on Spec($R$). The inverse map is given by $\mathfrak{p} \mapsto S^{-1}\mathfrak{p}$.

**Proof.** Denote the right hand side of the arrow of the lemma by $D$. Choose a prime $\mathfrak{p}' \subset S^{-1}R$ and let $\mathfrak{p}$ the inverse image of $\mathfrak{p}'$ in $R$. Since $\mathfrak{p}'$ does not contain 1 we see that $\mathfrak{p}$ does not contain any element of $S$. Hence $\mathfrak{p} \in D$ and we see that the image is contained in $D$. Let $\mathfrak{p} \in D$. By assumption the image $S$ does not contain 0. By basic notion we see $S^{-1}R/S^{-1}\mathfrak{p} = S^{-1}(R/\mathfrak{p})$ is not the zero ring. By basic notion we see $S^{-1}R/S^{-1}\mathfrak{p}$ is a domain, and hence $S^{-1}\mathfrak{p}$ is a prime.

The equality of rings also shows that the inverse image of $S^{-1}\mathfrak{p}$ in $R$ is equal to $\mathfrak{p}$, because $R/\mathfrak{p} \rightarrow S^{-1}(R/\mathfrak{p})$ is injective by basic notion. This proves that the map $\text{Spec}(S^{-1}R) \rightarrow \text{Spec}(R)$ is bijective onto $D$ with inverse as given. It is continuous by Lemma 16.4. Finally, let $D(g) \subset \text{Spec}(S^{-1}R)$ be a standard open. Write $g = h/s$ for some $h \in R$ and $s \in S$. Since $g$ and $h/1$ differ by a unit we have $D(g) = D(h/1) \subset \text{Spec}(S^{-1}R)$. Hence by Lemma 16.4 and the bijectivity above the image of $D(g) = D(h/1)$ is $D \cap D(h)$. This proves the map is open as well.

00E4 **Lemma 16.6.** Let $R$ be a ring. Let $f \in R$. The map $R \rightarrow R_f$ induces via the functoriality of Spec a homeomorphism

$$\text{Spec}(R_f) \rightarrow D(f) \subset \text{Spec}(R)$$

The inverse is given by $\mathfrak{p} \mapsto \mathfrak{p} \cdot R_f$.

**Proof.** This is a special case of Lemma 16.5.
It is not the case that every “affine open” of a spectrum is a standard open. See Example 26.4.

**Lemma 16.7.** Let $R$ be a ring. Let $I \subseteq R$ be an ideal. The map $R \to R/I$ induces via the functoriality of Spec a homeomorphism

$$\text{Spec}(R/I) \longrightarrow V(I) \subseteq \text{Spec}(R).$$

The inverse is given by $p \mapsto p/I$.

**Proof.** It is immediate that the image is contained in $V(I)$. On the other hand, if $p \in V(I)$ then $p \supseteq I$ and we may consider the ideal $p/I \subseteq R/I$. Using basic notion \[51\] we see that $(R/I)/(p/I) = R/p$ is a domain and hence $p/I$ is a prime ideal. From this it is immediately clear that the image of $D(f + I)$ is $D(f) \cap V(I)$, and hence the map is a homeomorphism. \[\square\]

**Remark 16.8.** A fundamental commutative diagram associated to a ring map $\varphi : R \to S$, a prime $q \subseteq S$ and the corresponding prime $p = \varphi^{-1}(q)$ of $R$ is the following

$$\kappa(q) = S_q/qS_q \leftarrow S = S \rightarrow S/q \rightarrow \kappa(q)$$

$$\kappa(p) \otimes_R S = S_p/pS_p \leftarrow S_p \leftarrow S = S \rightarrow S/pS \rightarrow (R \setminus p)^{-1}S/pS$$

$$\kappa(p) = R_p/pR_p \leftarrow R_p \leftarrow R \rightarrow R/p \rightarrow \kappa(p)$$

In this diagram the arrows in the outer left and outer right columns are identical. The horizontal maps induce on the associated spectra always a homeomorphism onto the image. The lower two rows of the diagram make sense without assuming $q$ exists. The lower squares induce fibre squares of topological spaces. This diagram shows that $p$ is in the image of the map on Spec if and only if $S \otimes_R \kappa(p)$ is not the zero ring.

**Lemma 16.9.** Let $\varphi : R \to S$ be a ring map. Let $p$ be a prime of $R$. The following are equivalent

1. $p$ is in the image of $\text{Spec}(S) \to \text{Spec}(R)$,
2. $S \otimes_R \kappa(p) \neq 0$,
3. $S_p/pS_p \neq 0$,
4. $(S/pS)_p \neq 0$, and
5. $p = \varphi^{-1}(pS)$.

**Proof.** We have already seen the equivalence of the first two in Remark \[16.8\] The others are just reformulations of this. \[\square\]

**Lemma 16.10.** Let $R$ be a ring. The space $\text{Spec}(R)$ is quasi-compact.

**Proof.** It suffices to prove that any covering of $\text{Spec}(R)$ by standard opens can be refined by a finite covering. Thus suppose that $\text{Spec}(R) = \cup D(f_i)$ for a set of elements $\{f_i\}_{i \in I}$ of $R$. This means that $\cap V(f_i) = \emptyset$. According to Lemma \[16.2\] this means that $V(\{f_i\}) = \emptyset$. According to the same lemma this means that the ideal generated by the $f_i$ is the unit ideal of $R$. This means that we can write
1 as a finite sum: \(1 = \sum_{i \in J} r_i f_i\) with \(J \subset I\) finite. And then it follows that \(\text{Spec}(R) = \bigcup_{i \in J} D(f_i)\).

**Lemma 16.11.** Let \(R\) be a ring. The topology on \(X = \text{Spec}(R)\) has the following properties:

1. \(X\) is quasi-compact,
2. \(X\) has a basis for the topology consisting of quasi-compact opens, and
3. the intersection of any two quasi-compact opens is quasi-compact.

**Proof.** The spectrum of a ring is quasi-compact, see Lemma 16.10. It has a basis for the topology consisting of the standard opens \(D(f) = \text{Spec}(R_f)\) (Lemma 16.6) which are quasi-compact by the first remark. The intersection of two standard opens is quasi-compact as \(D(f) \cap D(g) = D(fg)\). Given any two quasi-compact opens \(U, V \subset X\) we may write \(U = \bigcup D(f_i)\) and \(V = \bigcup D(g_j)\). Then \(U \cap V = \bigcup D(f_i g_j)\) which is quasi-compact. \(\square\)

17. Local rings

Local rings are the bread and butter of algebraic geometry.

**Definition 17.1.** A local ring is a ring with exactly one maximal ideal. The maximal ideal is often denoted \(m_R\) in this case. We often say “let \((R, m, \kappa)\) be a local ring” to indicate that \(R\) is local, \(m\) is its unique maximal ideal and \(\kappa = R/m\) is its residue field. A local homomorphism of local rings is a ring map \(\varphi : R \to S\) such that \(R\) and \(S\) are local rings and such that \(\varphi(m_R) \subset m_S\). If it is given that \(R\) and \(S\) are local rings, then the phrase “local ring map \(\varphi : R \to S\)” means that \(\varphi\) is a local homomorphism of local rings.

A field is a local ring. Any ring map between fields is a local homomorphism of local rings.

**Lemma 17.2.** Let \(R\) be a ring. The following are equivalent:

1. \(R\) is a local ring,
2. \(\text{Spec}(R)\) has exactly one closed point,
3. \(R\) has a maximal ideal \(m\) and every element of \(R \setminus m\) is a unit, and
4. \(R\) is not the zero ring and for every \(x \in R\) either \(x\) or \(1 - x\) is invertible or both.

**Proof.** Let \(R\) be a ring, and \(m\) a maximal ideal. If \(x \in R \setminus m\), and \(x\) is not a unit then there is a maximal ideal \(m'\) containing \(x\). Hence \(R\) has at least two maximal ideals. Conversely, if \(m'\) is another maximal ideal, then choose \(x \in m', x \notin m\). Clearly \(x\) is not a unit. This proves the equivalence of (1) and (3). The equivalence (1) and (2) is tautological. If \(R\) is local then (4) holds since \(x\) is either in \(m\) or not. If (4) holds, and \(m, m'\) are distinct maximal ideals then we may choose \(x \in R\) such that \(x \mod m' = 0\) and \(x \mod m = 1\) by the Chinese remainder theorem (Lemma 14.4). This element \(x\) is not invertible and neither is \(1 - x\) which is a contradiction. Thus (4) and (1) are equivalent. \(\square\)

The localization \(R_p\) of a ring \(R\) at a prime \(p\) is a local ring with maximal ideal \(pR_p\). Namely, the quotient \(R_p/pR_p\) is the fraction field of the domain \(R/p\) and every element of \(R_p\) which is not contained in \(pR_p\) is invertible.
07BJ Lemma 17.3. Let \( \varphi : R \rightarrow S \) be a ring map. Assume \( R \) and \( S \) are local rings. The following are equivalent:

1. \( \varphi \) is a local ring map,
2. \( \varphi(m_R) \subseteq m_S \), and
3. \( \varphi^{-1}(m_S) = m_R \).
4. For any \( x \in R \), if \( \varphi(x) \) is invertible in \( S \), then \( x \) is invertible in \( R \).

Proof. Conditions (1) and (2) are equivalent by definition. If (3) holds then (2) holds. Conversely, if (2) holds, then \( \varphi^{-1}(m_S) \) is a prime ideal containing the maximal ideal \( m_R \), hence \( \varphi^{-1}(m_S) = m_R \). Finally, (4) is the contrapositive of (2) by Lemma 17.2.

Let \( \varphi : R \rightarrow S \) be a ring map. Let \( q \subseteq S \) be a prime and set \( p = \varphi^{-1}(q) \). Then the induced ring map \( R_p \rightarrow S_q \) is a local ring map.

18. The Jacobson radical of a ring

0AMD We recall that the Jacobson radical \( \text{rad}(R) \) of a ring \( R \) is the intersection of all maximal ideals of \( R \). If \( R \) is local then \( \text{rad}(R) \) is the maximal ideal of \( R \).

0AME Lemma 18.1. Let \( R \) be a ring with Jacobson radical \( \text{rad}(R) \). Let \( I \subseteq R \) be an ideal. The following are equivalent

1. \( I \subseteq \text{rad}(R) \), and
2. every element of \( 1 + I \) is a unit in \( R \).

In this case every element of \( R \) which maps to a unit of \( R/I \) is a unit.

Proof. If \( f \in \text{rad}(R) \), then \( f \in m \) for all maximal ideals \( m \) of \( R \). Hence \( 1 + f \not\subseteq m \) for all maximal ideals \( m \) of \( R \). Thus the closed subset \( V(1 + f) \) of \ Spec(R)\ is empty. This implies that \( 1 + f \) is a unit, see Lemma 16.2.

Conversely, assume that \( 1 + f \) is a unit for all \( f \in I \). If \( m \) is a maximal ideal and \( I \not\subseteq m \), then \( I + m = R \). Hence \( 1 = f + g \) for some \( g \in m \) and \( f \in I \). Then \( g = 1 + (-f) \) is not a unit, contradiction.

For the final statement let \( f \in R \) map to a unit in \( R/I \). Then we can find \( g \in R \) mapping to the multiplicative inverse of \( f \) mod \( I \). Then \( fg = 1 \) mod \( I \). Hence \( fg \) is a unit of \( R \) by (2) which implies that \( f \) is a unit.

0B7C Lemma 18.2. Let \( \varphi : R \rightarrow S \) be a ring map such that the induced map \ Spec(S) \rightarrow Spec(R) \ is surjective. Then an element \( x \in R \) is a unit if and only if \( \varphi(x) \in S \) is a unit.

Proof. If \( x \) is a unit, then so is \( \varphi(x) \). Conversely, if \( \varphi(x) \) is a unit, then \( \varphi(x) \not\subseteq q \) for all \( q \in \text{Spec}(S) \). Hence \( x \not\subseteq \varphi^{-1}(q) \) for all \( q \in \text{Spec}(S) \). Since \ Spec(\varphi) \ is surjective we conclude that \( x \) is a unit by part (17) of Lemma 16.2.

19. Nakayama’s lemma

07RC We quote from [Mat70]: “This simple but important lemma is due to T. Nakayama, G. Azumaya, and W. Krull. Priority is obscure, and although it is usually called the Lemma of Nakayama, late Prof. Nakayama did not like the name.”

00DV Lemma 19.1 (Nakayama’s lemma). Let \( R \) be a ring with Jacobson radical \( \text{rad}(R) \). Let \( M \) be an \( R \)-module. Let \( I \subseteq R \) be an ideal.

[Mat70] 1.4 Lemma (NAK) page 11]
(1) If $IM = M$ and $M$ is finite, then there exists a $f \in 1 + I$ such that $fM = 0$.
(2) If $IM = M$, $M$ is finite, and $I \subset \text{rad}(R)$, then $M = 0$.
(3) If $N, N' \subset M$, $M = N + IN'$, and $N'$ is finite, then there exists a $f \in 1 + I$ such that $fM \subset N$ and $M_f = N_f$.
(4) If $N, N' \subset M$, $M = N + IN'$, $N'$ is finite, and $I \subset \text{rad}(R)$, then $M = N$.
(5) If $N \to M$ is a module map, $N/IN \to M/IM$ is surjective, and $M$ is finite, then there exists a $f \in 1 + I$ such that $N_f \to M_f$ is surjective.
(6) If $N \to M$ is a module map, $N/IN \to M/IM$ is surjective, $M$ is finite, and $I \subset \text{rad}(R)$, then $N \to M$ is surjective.

Part (9) holds because if $a$ by the arguments used above.

Proof. To show that $A \to B$ is surjective, we view it as a map of $A$-modules and apply Lemma 19.1 (6). We conclude it suffices to show that $A/m_A \to B/m_A B$ is

\textbf{Lemma 19.2.} Let $A \to B$ be a local homomorphism of local rings. Assume

(1) $B$ is finite as an $A$-module,
(2) $m_B$ is a finitely generated ideal,
(3) $A \to B$ induces an isomorphism on residue fields, and
(4) $m_A/m_A^2 \to m_B/m_B^2$ is surjective.

Then $A \to B$ is surjective.

Proof. To show that $A \to B$ is surjective, we view it as a map of $A$-modules and apply Lemma 19.1 (6). We conclude it suffices to show that $A/m_A \to B/m_A B$ is
surjective. As \(A/m_A = B/m_B\) it suffices to show that \(m_AB \to m_B\) is surjective. View \(m_AB \to m_B\) as a map of \(B\)-modules and apply Lemma 19.1 (6). We conclude it suffices to see that \(m_AB/m_Am_B \to m_B/m_B^2\) is surjective. This follows from assumption (4).

\[\square\]

20. Open and closed subsets of spectra

It turns out that open and closed subsets of a spectrum correspond to idempotents of the ring.

**Lemma 20.1.** Let \(R\) be a ring. Let \(e \in R\) be an idempotent. In this case

\[
\text{Spec}(R) = D(e) \cup D(1 - e).
\]

**Proof.** Note that an idempotent \(e\) of a domain is either 1 or 0. Hence we see that

\[
D(e) = \{p \in \text{Spec}(R) | e \notin p\} = \{p \in \text{Spec}(R) | e \neq 0 \text{ in } \kappa(p)\} = \{p \in \text{Spec}(R) | e = 1 \text{ in } \kappa(p)\}
\]

Similarly we have

\[
D(1 - e) = \{p \in \text{Spec}(R) | 1 - e \notin p\} = \{p \in \text{Spec}(R) | e \neq 1 \text{ in } \kappa(p)\} = \{p \in \text{Spec}(R) | e = 0 \text{ in } \kappa(p)\}
\]

Since the image of \(e\) in any residue field is either 1 or 0 we deduce that \(D(e)\) and \(D(1 - e)\) cover all of \(\text{Spec}(R)\). \(\square\)

**Lemma 20.2.** Let \(R_1\) and \(R_2\) be rings. Let \(R = R_1 \times R_2\). The maps \(R \to R_1, (x, y) \mapsto x\) and \(R \to R_2, (x, y) \mapsto y\) induce continuous maps \(\text{Spec}(R_1) \to \text{Spec}(R)\) and \(\text{Spec}(R_2) \to \text{Spec}(R)\). The induced map

\[
\text{Spec}(R_1) \amalg \text{Spec}(R_2) \to \text{Spec}(R)
\]

is a homeomorphism. In other words, the spectrum of \(R = R_1 \times R_2\) is the disjoint union of the spectrum of \(R_1\) and the spectrum of \(R_2\).

**Proof.** Write \(1 = e_1 + e_2\) with \(e_1 = (1, 0)\) and \(e_2 = (0, 1)\). Note that \(e_1\) and \(e_2 = 1 - e_1\) are idempotents. We leave it to the reader to show that \(R_1 = R_{e_1}\) is the localization of \(R\) at \(e_1\). Similarly for \(e_2\). Thus the statement of the lemma follows from Lemma 20.1 combined with Lemma 16.6. \(\square\)

We reprove the following lemma later after introducing a glueing lemma for functions. See Section 23.

**Lemma 20.3.** Let \(R\) be a ring. For each \(U \subset \text{Spec}(R)\) which is open and closed there exists a unique idempotent \(e \in R\) such that \(U = D(e)\). This induces a 1-1 correspondence between open and closed subsets \(U \subset \text{Spec}(R)\) and idempotents \(e \in R\).

**Proof.** Let \(U \subset \text{Spec}(R)\) be open and closed. Since \(U\) is closed it is quasi-compact by Lemma 16.10 and similarly for its complement. Write \(U = \bigcup_{i=1}^n D(f_i)\) as a finite union of standard opens. Similarly, write \(\text{Spec}(R) \backslash U = \bigcup_{j=1}^m D(g_j)\) as a finite union of standard opens. Since \(\emptyset = D(f_i) \cap D(g_j) = D(f_i g_j)\) we see that \(f_i g_j\) is nilpotent by Lemma 16.2. Let \(I = (f_1, \ldots, f_n) \subset R\) and let \(J = (g_1, \ldots, g_m) \subset R\). Note that
Let connected components of spectra are not as easy to understand as one may think. Since \( \bigcup D(f_i) \cup \bigcup D(g_j) = \text{Spec}(R) \) we see that \( I + J = R \), see Lemma 16.2. By raising this equation to the 2Nth power we conclude that \( I^N + J^N = R \). Write \( 1 = x + y \) with \( x \in I^N \) and \( y \in J^N \). Then \( 0 = xy = x(1 - x) \) as \( I^N J^N = (0) \). Thus \( x = x^2 \) is idempotent and contained in \( I^N \subset I \). The idempotent \( y = 1 - x \) is contained in \( J^N \subset J \). This shows that the idempotent \( x \) maps to 1 in every residue field \( \kappa(p) \) for \( p \in V(J) \) and that \( x \) maps to 0 in \( \kappa(p) \) for every \( p \in V(I) \).

To see uniqueness suppose that \( e_1, e_2 \) are distinct idempotents in \( R \). We have to show there exists a prime \( p \) such that \( e_1 \in p \) and \( e_2 \not\in p \), or conversely. Write \( e_1' = 1 - e_1 \). If \( e_1 \neq e_2 \), then \( 0 \neq e_1 - e_2 = e_1(e_2 + e'_2) - (e_1 + e'_1)e_2 = e_1e'_2 - e_1'e_2 \). Hence either the idempotent \( e_1e'_2 \neq 0 \) or \( e_1'e_2 \neq 0 \). An idempotent is not nilpotent, and hence we find a prime \( p \) such that either \( e_1e'_2 \not\in p \) or \( e_1'e_2 \not\in p \), by Lemma 16.2. It is easy to see this gives the desired prime.

**Lemma 20.4.** Let \( R \) be a nonzero ring. Then \( \text{Spec}(R) \) is connected if and only if \( R \) has no nontrivial idempotents.

**Proof.** Obvious from Lemma 20.3 and the definition of a connected topological space.

**Lemma 20.5.** Let \( R \) be a ring. Let \( I \) be a finitely generated ideal. Assume that \( I = I^2 \). Then \( V(I) \) is open and closed in \( \text{Spec}(R) \), and \( R/I \cong R_e \) for some idempotent \( e \in R \).

**Proof.** By Nakayama’s Lemma 19.1 there exists an element \( f = 1 + i \), \( i \in I \) in \( R \) such that \( fI = 0 \). It follows that \( V(I) = D(f) \) by a simple argument. Also, \( 0 = fi = i + i^2 \), and hence \( f^2 = 1 + i + i^2 = 1 + i = f \), so \( f \) is an idempotent. Consider the canonical map \( R \to R_f \). It is surjective since \( x/f^n = x/f = xf/f^2 = xf \) in \( R_f \). Any element of \( I \) is in the kernel since \( fI = 0 \). If \( x \mapsto 0 \) in \( R_f \), then \( f^n x = 0 \) for some \( n > 0 \) and hence \( (1 + i)x = 0 \) hence \( x \in I \).

21. Connected components of spectra

Connected components of spectra are not as easy to understand as one may think at first. This is because we are used to the topology of locally connected spaces, but the spectrum of a ring is in general not locally connected.

**Lemma 21.1.** Let \( R \) be a ring. Let \( T \subset \text{Spec}(R) \) be a subset of the spectrum. The following are equivalent

1. \( T \) is closed and is a union of connected components of \( \text{Spec}(R) \),
2. \( T \) is an intersection of open and closed subsets of \( \text{Spec}(R) \), and
3. \( T = V(I) \) where \( I \subset R \) is an ideal generated by idempotents.

Moreover, the ideal in (3) if it exists is unique.

**Proof.** By Lemma 16.11 and Topology, Lemma 12.12 we see that (1) and (2) are equivalent. Assume (2) and write \( T = \bigcap U_\alpha \) with \( U_\alpha \subset \text{Spec}(R) \) open and closed. Then \( U_\alpha = D(e_\alpha) \) for some idempotent \( e_\alpha \in R \) by Lemma 20.3. Then setting \( I = (1 - e_\alpha) \) we see that \( T = V(I) \), i.e., (3) holds. Finally, assume (3). Write \( T = V(I) \) and \( I = (e_\alpha) \) for some collection of idempotents \( e_\alpha \). Then it is clear that \( T = \bigcap V(e_\alpha) = \bigcap D(1 - e_\alpha) \).
Suppose that \( I \) is an ideal generated by idempotents. Let \( e \in R \) be an idempotent such that \( V(I) \subset V(e) \). Then by Lemma 16.2 we see that \( e^n \in I \) for some \( n \geq 1 \). As \( e \) is an idempotent this means that \( e \in I \). Hence we see that \( I \) is generated by exactly those idempotents \( e \) such that \( T \subset V(e) \). In other words, the ideal \( I \) is completely determined by the closed subset \( T \) which proves uniqueness. □

**Lemma 21.2.** Let \( R \) be a ring. A connected component of \( \text{Spec}(R) \) is of the form \( V(I) \), where \( I \) is an ideal generated by idempotents such that every idempotent of \( R \) either maps to 0 or 1 in \( R/I \).

**Proof.** Let \( p \) be a prime of \( R \). By Lemma 16.11 we have see that the hypotheses of Topology, Lemma 12.10 are satisfied for the topological space \( \text{Spec}(R) \). Hence the connected component of \( p \) in \( \text{Spec}(R) \) is the intersection of open and closed subsets of \( \text{Spec}(R) \) containing \( p \). Hence it equals \( V(I) \) where \( I \) is generated by the idempotents \( e \in R \) such that \( e \) maps to 0 in \( \kappa(p) \), see Lemma 20.3 Any idempotent \( e \) which is not in this collection clearly maps to 1 in \( R/I \). □

## 22. Glueing properties

In this section we put a number of standard results of the form: if something is true for all members of a standard open covering then it is true. In fact, it often suffices to check things on the level of local rings as in the following lemma.

**Lemma 22.1.** Let \( R \) be a ring.

1. For an element \( x \) of an \( R \)-module \( M \) the following are equivalent
   (a) \( x = 0 \),
   (b) \( x \) maps to zero in \( M_p \) for all \( p \in \text{Spec}(R) \),
   (c) \( x \) maps to zero in \( M_m \) for all maximal ideals \( m \) of \( R \).
   In other words, the map \( M \to \prod_m M_m \) is injective.
2. Given an \( R \)-module \( M \) the following are equivalent
   (a) \( M \) is zero,
   (b) \( M_p \) is zero for all \( p \in \text{Spec}(R) \),
   (c) \( M_m \) is zero for all maximal ideals \( m \) of \( R \).
3. Given a complex \( M_1 \to M_2 \to M_3 \) of \( R \)-modules the following are equivalent
   (a) \( M_1 \to M_2 \to M_3 \) is exact,
   (b) for every prime \( p \) of \( R \) the localization \( M_{1,p} \to M_{2,p} \to M_{3,p} \) is exact,
   (c) for every maximal ideal \( m \) of \( R \) the localization \( M_{1,m} \to M_{2,m} \to M_{3,m} \) is exact.
4. Given a map \( f : M \to M' \) of \( R \)-modules the following are equivalent
   (a) \( f \) is injective,
   (b) \( f_p : M_p \to M'_p \) is injective for all primes \( p \) of \( R \),
   (c) \( f_m : M_m \to M'_m \) is injective for all maximal ideals \( m \) of \( R \).
5. Given a map \( f : M \to M' \) of \( R \)-modules the following are equivalent
   (a) \( f \) is surjective,
   (b) \( f_p : M_p \to M'_p \) is surjective for all primes \( p \) of \( R \),
   (c) \( f_m : M_m \to M'_m \) is surjective for all maximal ideals \( m \) of \( R \).
6. Given a map \( f : M \to M' \) of \( R \)-modules the following are equivalent
   (a) \( f \) is bijective,
   (b) \( f_p : M_p \to M'_p \) is bijective for all primes \( p \) of \( R \),
   (c) \( f_m : M_m \to M'_m \) is bijective for all maximal ideals \( m \) of \( R \).
Proof. Let \( x \in M \) as in (1). Let \( I = \{ f \in R \mid fx = 0 \} \). It is easy to see that \( I \) is an ideal (it is the annihilator of \( x \)). Condition (1)(c) means that for all maximal ideals \( \mathfrak{m} \) there exists an \( f \in R \setminus \mathfrak{m} \) such that \( fx = 0 \). In other words, \( V(I) \) does not contain a closed point. By Lemma 16.2 we see \( I \) is the unit ideal. Hence \( x \) is zero, i.e., (1)(a) holds. This proves (1).

Part (2) follows by applying (1) to all elements of \( M \) simultaneously.

Proof of (3). Let \( H \) be the homology of the sequence, i.e., \( H = \ker(M_2 \to M_3)/\text{im}(M_1 \to M_2) \). By Proposition 9.12 we have that \( H_\mathfrak{p} \) is the homology of the sequence \( M_{1,\mathfrak{p}} \to M_{2,\mathfrak{p}} \to M_{3,\mathfrak{p}} \). Hence (3) is a consequence of (2).

Parts (4) and (5) are special cases of (3). Part (6) follows formally on combining (4) and (5). \( \square \)

**Lemma 22.2.** Let \( R \) be a ring. Let \( M \) be an \( R \)-module. Let \( S \) be an \( R \)-algebra. Suppose that \( f_1, \ldots, f_n \) is a finite list of elements of \( R \) such that \( \bigcup D(f_i) = \text{Spec}(R) \). In other words \( \langle f_1, \ldots, f_n \rangle = R \).

1. If each \( M_{f_i} = 0 \) then \( M = 0 \).
2. If each \( M_{f_i} \) is a finite \( R_{f_i} \)-module, then \( M \) is a finite \( R \)-module.
3. If each \( M_{f_i} \) is a finitely presented \( R_{f_i} \)-module, then \( M \) is a finitely presented \( R \)-module.
4. Let \( M \to N \) be a map of \( R \)-modules. If \( M_{f_i} \to N_{f_i} \) is an isomorphism for each \( i \) then \( M \to N \) is an isomorphism.
5. Let \( 0 \to M'' \to M \to M' \to 0 \) be a complex of \( R \)-modules. If \( 0 \to M''_{f_i} \to M_{f_i} \to M'_{f_i} \to 0 \) is exact for each \( i \), then \( 0 \to M'' \to M \to M' \to 0 \) is exact.
6. If each \( R_{f_i} \) is Noetherian, then \( R \) is Noetherian.
7. If each \( S_{f_i} \) is a finite type \( R \)-algebra, so is \( S \).
8. If each \( S_{f_i} \) is of finite presentation over \( R \), so is \( S \).

Proof. We prove each of the parts in turn.

1. By Proposition 9.10 this implies \( M_\mathfrak{p} = 0 \) for all \( \mathfrak{p} \in \text{Spec}(R) \), so we conclude by Lemma 22.1.
2. For each \( i \) take a finite generating set \( X_i \) of \( M_{f_i} \). Without loss of generality, we may assume that the elements of \( X_i \) are in the image of the localization map \( M \to M_{f_i} \), so we take a finite set \( Y_i \) of preimages of the elements of \( X_i \) in \( M \). Let \( Y \) be the union of these sets. This is still a finite set. Consider the obvious \( R \)-linear map \( R^Y \to M \) sending the basis element \( e_y \) to \( y \). By assumption this map is surjective after localizing at an arbitrary prime ideal \( \mathfrak{p} \) of \( R \), so it surjective by Lemma 22.1 and \( M \) is finitely generated.
3. By (2) we have a short exact sequence \( 0 \to K \to R^n \to M \to 0 \)

Since localization is an exact functor and \( M_{f_i} \) is finitely presented we see that \( K_{f_i} \) is finitely generated for all \( 1 \leq i \leq n \) by Lemma 5.3. By (2) this implies that \( K \) is a finite \( R \)-module and therefore \( M \) is finitely presented.
4. By Proposition 9.10 the assumption implies that the induced morphism on localizations at all prime ideals is an isomorphism, so we conclude by Lemma 22.1.
(5) By Proposition 9.10 the assumption implies that the induced sequence of localizations at all prime ideals is short exact, so we conclude by Lemma 22.1.

(6) We will show that every ideal of \( R \) has a finite generating set: For this, let \( I \subset R \) be an arbitrary ideal. By Proposition 9.12 each \( I_{f_i} \subset R_{f_i} \) is an ideal. These are all finitely generated by assumption, so we conclude by (2).

(7) For each \( i \) take a finite generating set \( X_i \) of \( S_{f_i} \). Without loss of generality, we may assume that the elements of \( X_i \) are in the image of the localization map \( S \to S_{f_i} \), so we take a finite set \( Y_i \) of preimages of the elements of \( X_i \) in \( S \). Let \( Y \) be the union of these sets. This is still a finite set. Consider the algebra homomorphism \( R[Y] \to S \) induced by \( Y \). Since it is an algebra homomorphism, the image \( T \) is an \( R \)-submodule of the \( R \)-module \( S \), so we can consider the quotient module \( S/T \). By assumption, this is zero if we localize at the \( f_i \), so it is zero by (1) and therefore \( S \) is an \( R \)-algebra of finite type.

(8) By the previous item, there exists a surjective \( R \)-algebra homomorphism \( R[X_1, \ldots, X_n] \to S \). Let \( K \) be the kernel of this map. This is an ideal in \( R[X_1, \ldots, X_n] \), finitely generated in each localization at \( f_i \). Since the \( f_i \) generate the unit ideal in \( R \), they also generate the unit ideal in \( R[X_1, \ldots, X_n] \), so an application of (2) finishes the proof.

\[ \square \]

Lemma 22.3. Let \( R \to S \) be a ring map. Suppose that \( g_1, \ldots, g_n \) is a finite list of elements of \( S \) such that \( \bigcup D(g_i) = \text{Spec}(S) \), in other words \( (g_1, \ldots, g_n) = S \).

(1) If each \( S_{g_i} \) is of finite type over \( R \), then \( S \) is of finite type over \( R \).

(2) If each \( S_{g_i} \) is of finite presentation over \( R \), then \( S \) is of finite presentation over \( R \).

Proof. Choose \( h_1, \ldots, h_n \in S \) such that \( \sum h_i g_i = 1 \).

Proof of (1). For each \( i \) choose a finite list of elements \( x_{i,j} \in S_{g_i} \), \( j = 1, \ldots, m_i \) which generate \( S_{g_i} \) as an \( R \)-algebra. Write \( x_{i,j} = y_{i,j}/g_i^{n_{i,j}} \) for some \( y_{i,j} \in S \) and some \( n_{i,j} \geq 0 \). Consider the \( R \)-subalgebra \( S' \subset S \) generated by \( g_1, \ldots, g_n, h_1, \ldots, h_n \) and \( y_{i,j}, i = 1, \ldots, n, j = 1, \ldots, m_i \). Since localization is exact (Proposition 9.12), we see that \( S'_{g_i} \to S_{g_i} \) is injective. On the other hand, it is surjective by our choice of \( y_{i,j} \). The elements \( g_1, \ldots, g_n \) generate the unit ideal in \( S' \) as \( h_1, \ldots, h_n \in S' \). Thus \( S' \to S \) viewed as an \( S' \)-module map is an isomorphism by Lemma 22.2.

Proof of (2). We already know that \( S \) is of finite type. Write \( S = R[x_1, \ldots, x_m] / J \) for some ideal \( J \). For each \( i \) choose a lift \( g'_i \in R[x_1, \ldots, x_m] \) of \( g_i \) and we choose a lift \( h'_i \in R[x_1, \ldots, x_m] \) of \( h_i \). Then we see that

\[ S_{g_i} = R[x_1, \ldots, x_m, y_i] / (J_i + (1 - y_i g'_i)) \]

where \( J_i \) is the ideal of \( R[x_1, \ldots, y_i] \) generated by \( J \). Small detail omitted. By Lemma 6.3 we may choose a finite list of elements \( f_{i,j} \in J, j = 1, \ldots, m_i \) such that the images of \( f_{i,j} \) in \( J_i \) and \( 1 - y_i g'_i \) generate the ideal \( J_i + (1 - y_i g'_i) \). Set

\[ S' = R[x_1, \ldots, x_m] / (\sum h'_i g'_i - 1, f_{i,j}; i = 1, \ldots, n, j = 1, \ldots, m_i) \]
There is a surjective $R$-algebra map $S' \to S$. The classes of the elements $g'_1, \ldots, g'_n$ in $S'$ generate the unit ideal and by construction the maps $S'_{g'_i} \to S_{g_i}$ are injective. Thus we conclude as in part (1).

23. Glueing functions

Let $00EJ$ In this section we show that given an open covering

$$\text{Spec}(R) = \bigcup_{i=1}^n D(f_i)$$

by standard opens, and given an element $h_i \in R_{f_i}$ for each $i$ such that $h_i = h_j$ as elements of $R_{f_i}f_j$, then there exists a unique $h \in R$ such that the image of $h$ in $R_{f_i}$ is $h_i$. This result can be interpreted in two ways:

(1) The rule $D(f) \mapsto R_f$ is a sheaf of rings on the standard opens, see Sheaves, Section 21.

(2) If we think of elements of $R_f$ as the “algebraic” or “regular” functions on $D(f)$, then these glue as would continuous, resp. differentiable functions on a topological, resp. differentiable manifold.

**Lemma 23.1.** Let $R$ be a ring. Let $f_1, \ldots, f_n$ be elements of $R$ generating the unit ideal. Let $M$ be an $R$-module. The sequence

$$0 \to M \xrightarrow{\alpha} \bigoplus_{i=1}^n M_{f_i} \xrightarrow{\beta} \bigoplus_{i,j=1}^n M_{f_i f_j}$$

is exact, where $\alpha(m) = (m/1, \ldots, m/1)$ and $\beta(m_1/f_1^{e_1}, \ldots, m_n/f_n^{e_n}) = (m_i/f_i^{e_i} - m_j/f_j^{e_j})_{(i,j)}$.

**Proof.** It suffices to show that the localization of the sequence at any maximal ideal $m$ is exact, see Lemma 22.1. Since $f_1, \ldots, f_n$ generate the unit ideal, there is an $i$ such that $f_i \not\in m$. After renumbering we may assume $i = 1$. Note that $(M_{f_i})_m = (M_m)_{f_i}$ and $(M_{f_i f_j})_m = (M_m)_{f_i f_j}$, see Proposition 9.11. In particular $(M_{f_1})_m = M_m$ and $(M_{f_1 f_j})_m = (M_m)_{f_1 f_j}$, because $f_1$ is a unit. Note that the maps in the sequence are the canonical ones coming from Lemma 22.1 and the identity map on $M$. Having said all of this, after replacing $R$ by $R_m$, $M$ by $M_m$, and $f_1$ by their image in $R_m$, and $f_1$ by $1 \in R_m$, we reduce to the case where $f_1 = 1$.

Assume $f_1 = 1$. Injectivity of $\alpha$ is now trivial. Let $m = (m_i) \in \bigoplus_{i=1}^n M_{f_i}$ be in the kernel of $\beta$. Then $m_1 \in M_{f_1} = M$. Moreover, $\beta(m) = 0$ implies that $m_1$ and $m_i$ map to the same element of $M_{f_1 f_i} = M_{f_i}$. Thus $\alpha(m_1) = m$ and the proof is complete. $\square$

**Lemma 23.2.** Let $R$ be a ring, and let $f_1, f_2, \ldots, f_n \in R$ generate the unit ideal in $R$. Then the following sequence is exact:

$$0 \to R \xrightarrow{\alpha} \bigoplus_i R_{f_i} \xrightarrow{\beta} \bigoplus_{i,j} R_{f_i f_j}$$

where the maps $\alpha : R \to \bigoplus_i R_{f_i}$ and $\beta : \bigoplus_i R_{f_i} \to \bigoplus_{i,j} R_{f_i f_j}$ are defined as

$$\alpha(x) = \left(\frac{x}{1}, \ldots, \frac{x}{1}\right) \quad \text{and} \quad \beta \left(\frac{x_1}{f_1^{e_1}}, \ldots, \frac{x_n}{f_n^{e_n}}\right) = \left(\frac{x_i}{f_i^{e_i}} - \frac{x_j}{f_j^{e_j}} \text{ in } R_{f_i f_j}\right).$$

**Proof.** Special case of Lemma 23.1 $\square$

The following we have already seen above, but we state it explicitly here for convenience.
Lemma 23.3. Let $R$ be a ring. If $\text{Spec}(R) = U \amalg V$ with both $U$ and $V$ open then $R \cong R_1 \times R_2$ with $U \cong \text{Spec}(R_1)$ and $V \cong \text{Spec}(R_2)$ via the maps in Lemma 20.3. Moreover, both $R_1$ and $R_2$ are localizations as well as quotients of the ring $R$.

Proof. By Lemma 20.3 we have $U = D(e)$ and $V = D(1 - e)$ for some idempotent $e$. By Lemma 23.3 we see that $R \cong R_e \times R_{1 - e}$ (since clearly $R_{e(1 - e)} = 0$ so the glueing condition is trivial; of course it is trivial to prove the product decomposition directly in this case). The lemma follows. □

Lemma 23.4. Let $R$ be a ring. Let $f_1, \ldots, f_n \in R$. Let $M$ be an $R$-module. Then $M \twoheadrightarrow \bigoplus M_{f_i}$ is injective if and only if

$$M \twoheadrightarrow \bigoplus_{i=1}^n M, \quad m \mapsto (f_1m, \ldots, f_nm)$$

is injective.

Proof. The map $M \twoheadrightarrow \bigoplus M_{f_i}$ is injective if and only if for all $m \in M$ and $e_1, \ldots, e_n \geq 1$ such that $f_i^{e_i}m = 0$, $i = 1, \ldots, n$ we have $m = 0$. This clearly implies the displayed map is injective. Conversely, suppose the displayed map is injective and $m \in M$ and $e_1, \ldots, e_n \geq 1$ are such that $f_i^{e_i}m = 0$, $i = 1, \ldots, n$. If $e_i = 1$ for all $i$, then we immediately conclude that $m = 0$ from the injectivity of the displayed map. Next, we prove this holds for any such data by induction on $e = \sum e_i$. The base case is $e = n$, and we have just dealt with this. If some $e_i > 1$, then set $m' = f_{i}m$. By induction we see that $m' = 0$. Hence we see that $f_{i}m = 0$, i.e., we may take $e_i = 1$ which decreases $e$ and we win. □

The following lemma is better stated and proved in the more general context of flat descent. However, it makes sense to state it here since it fits well with the above.

Lemma 23.5. Let $R$ be a ring. Let $f_1, \ldots, f_n \in R$. Suppose we are given the following data:

1. For each $i$ an $R_{f_i}$-module $M_i$.
2. For each pair $i, j$ an $R_{f_if_j}$-module isomorphism $\psi_{ij} : (M_i)_{f_j} \to (M_j)_{f_i}$, which satisfy the “cocycle condition” that all the diagrams

$$\begin{CD}
(M_i)_{f_if_k} @>{\psi_{ik}}>> (M_k)_{f_if_j} \\
@V{\psi_{jk}}VV @V{\psi_{jk}}VV \\
(M_j)_{f_if_k} @>{\psi_{ik}}>> (M_i)_{f_if_j}
\end{CD}$$

commute (for all triples $i, j, k$). Given this data define

$$M = \text{Ker} \left( \bigoplus_{1 \leq i \leq n} M_i \to \bigoplus_{1 \leq i, j \leq n} (M_i)_{f_j} \right)$$

where $(m_1, \ldots, m_n)$ maps to the element whose $(i, j)$th entry is $m_i/1 - \psi_{ij}(m_j/1)$. Then the natural map $M \to M_i$ induces an isomorphism $M_{f_i} \to M_i$. Moreover $\psi_{ij}(m/1) = m/1$ for all $m \in M$ (with obvious notation).

Proof. To show that $M_{f_i} \to M_i$ is an isomorphism, it suffices to show that its localization at every prime $p'$ of $R_{f_i}$ is an isomorphism, see Lemma 22.1. Write
Let \( p' = pR_{f_1} \) for some prime \( p \subseteq R, f_1 \not\subseteq p \), see Lemma 16.6. Since localization is exact (Proposition 9.12), we see that \((M_{f_1})_{p'} = M_p\)

\[
\begin{align*}
(M_{f_1})_{p'} &= M_p \\
&= \text{Ker} \left( \bigoplus_{1 \leq i \leq n} M_{i,p} \longrightarrow \bigoplus_{1 \leq i,j \leq n} ((M_i)_{f_1})_p \right) \\
&= \text{Ker} \left( \bigoplus_{1 \leq i \leq n} M_{i,p} \longrightarrow \bigoplus_{1 \leq i,j \leq n} (M_i,p)_{f_1} \right)
\end{align*}
\]

Here we also used Proposition 9.11. Since \( f_1 \) is a unit in \( R_p \), this reduces us to the case where \( f_1 = 1 \) by replacing \( R \) by \( R_p \), \( f_1 \) by the image of \( f_i \) in \( R_p \), \( M \) by \( M_p \), and \( f_1 \) by 1.

Assume \( f_1 = 1 \). Then \( \psi_{ij} : (M_1)_{f_1} \to M_j \) is an isomorphism for \( j = 2, \ldots, n \). If we use these isomorphisms to identify \( M_j = (M_1)_{f_1} \), then we see that \( \psi_{ij} : (M_1)_{f_1} \to (M_1)_{f_1} \) is the canonical identification. Thus the complex

\[
0 \to M_1 \to \bigoplus_{1 \leq i \leq n} (M_1)_{f_1} \longrightarrow \bigoplus_{1 \leq i,j \leq n} (M_1)_{f_1,f_j}
\]

is exact by Lemma 24.1. Thus the first map identifies \( M_1 \) with \( M \) in this case and everything is clear.

\[\square\]

### 24. Zerodivisors and total rings of fractions

02LV The local ring at a minimal prime has the following properties.

00EU **Lemma 24.1.** Let \( p \) be a minimal prime of a ring \( R \). Every element of the maximal ideal of \( R_p \) is nilpotent. If \( R \) is reduced then \( R_p \) is a field.

**Proof.** If some element \( x \) of \( pR_p \) is not nilpotent, then \( D(x) \neq \emptyset \), see Lemma 16.2. This contradicts the minimality of \( p \). If \( R \) is reduced, then \( pR_p = 0 \) and hence it is a field.

00EW **Lemma 24.2.** Let \( R \) be a reduced ring. Then

1. \( R \) is a subring of a product of fields,
2. \( R \to \prod\nolimits_p \text{minimal} R_p \) is an embedding into a product of fields,
3. \( \bigcup\nolimits_p \text{minimal} p \) is the set of zerodivisors of \( R \).

**Proof.** By Lemma 24.1 each of the rings \( R_p \) is a field. In particular, the kernel of the ring map \( R \to R_p \) is \( p \). By Lemma 16.2 we have \( \bigcap_p p = (0) \). Hence (2) and (1) are true. If \( xy = 0 \) and \( y \neq 0 \), then \( y \notin p \) for some minimal prime \( p \). Hence \( x \in p \). Thus every zerodivisor of \( R \) is contained in \( \bigcup\nolimits_p \text{minimal} p \). Conversely, suppose that \( x \in p \) for some minimal prime \( p \). Then \( x \) maps to zero in \( R_p \), hence there exists \( y \in R, y \notin p \) such that \( xy = 0 \). In other words, \( x \) is a zerodivisor. This finishes the proof of (3) and the lemma.

The total ring of fractions \( Q(R) \) of a ring \( R \) was introduced in Example 9.8.

02LW **Lemma 24.3.** Let \( R \) be a ring. Let \( S \subseteq R \) be a multiplicative subset consisting of nonzerodivisors. Then \( Q(R) \cong Q(S^{-1}R) \). In particular \( Q(R) \cong Q(Q(R)) \).

**Proof.** If \( x \in S^{-1}R \) is a nonzerodivisor, and \( x = r/f \) for some \( r \in R, f \in S \), then \( r \) is a nonzerodivisor in \( R \). Whence the lemma.

We can apply gluing results to prove something about total rings of fractions \( Q(R) \) which we introduced in Example 9.8.
02LX **Lemma 24.4.** Let $R$ be a ring. Assume that $R$ has finitely many minimal primes $q_1, \ldots, q_t$, and that $q_1 \cup \cdots \cup q_t$ is the set of zerodivisors of $R$. Then the total ring of fractions $Q(R)$ is equal to $R_{q_1} \times \cdots \times R_{q_t}$.

**Proof.** There are natural maps $Q(R) \to R_{q_i}$ since any nonzerodivisor is contained in $R \setminus q_i$. Hence a natural map $Q(R) \to R_{q_1} \times \cdots \times R_{q_t}$. For any nonminimal prime $p \subset R$ we see that $p \not\subset q_1 \cup \cdots \cup q_t$ by Lemma 14.2. Hence $\text{Spec}(Q(R)) = \{q_1, \ldots, q_t\}$ (as subsets of $\text{Spec}(R)$, see Lemma [16.5]). Therefore $\text{Spec}(Q(R))$ is a finite discrete set and it follows that $Q(R) = A_1 \times \cdots \times A_t$ with $\text{Spec}(A_i) = \{q_i\}$, see Lemma 23.3. Moreover $A_i$ is a local ring, which is a localization of $R$. Hence $A_i \cong R_{q_i}$. □

25. Irreducible components of spectra

00ER We show that irreducible components of the spectrum of a ring correspond to the minimal primes in the ring.

00ES **Lemma 25.1.** Let $R$ be a ring.

1. For a prime $p \subset R$ the closure of $\{p\}$ in the Zariski topology is $V(p)$. In a formula $\overline{\{p\}} = V(p)$.

2. The irreducible closed subsets of $\text{Spec}(R)$ are exactly the subsets $V(p)$, with $p \subset R$ a prime.

3. The irreducible components (see Topology, Definition [8.1]) of $\text{Spec}(R)$ are exactly the subsets $V(p)$, with $p \subset R$ a minimal prime.

**Proof.** Note that if $p \in V(I)$, then $I \subset p$. Hence, clearly $\overline{\{p\}} = V(p)$. In particular $V(p)$ is the closure of a singleton and hence irreducible. The second assertion implies the third. To show the second, let $V(I) \subset \text{Spec}(R)$ with $I$ a radical ideal. If $I$ is not prime, then choose $a, b \in R$, $a, b \notin I$ with $ab \in I$. In this case $V(I, a) \cup V(I, b) = V(I)$, but neither $V(I, a) = V(I)$ nor $V(I, a) = V(I)$, by Lemma 16.1. Hence $V(I)$ is not irreducible.

In other words, this lemma shows that every irreducible closed subset of $\text{Spec}(R)$ is of the form $V(p)$ for some prime $p$. Since $V(p) = \overline{\{p\}}$ we see that each irreducible closed subset has a unique generic point, see Topology, Definition [8.1]. In particular, $\text{Spec}(R)$ is a sober topological space. We record this fact in the following lemma.

090M **Lemma 25.2.** The spectrum of a ring is a spectral space, see Topology, Definition [8.1].

**Proof.** Formally this follows from Lemma 25.1 and Lemma 16.11. See also discussion above. □

00ET **Lemma 25.3.** Let $R$ be a ring. Let $p \subset R$ be a prime.

1. The set of irreducible closed subsets of $\text{Spec}(R)$ passing through $p$ is in one-to-one correspondence with primes $q \subset R_p$.

2. The set of irreducible components of $\text{Spec}(R)$ passing through $p$ is in one-to-one correspondence with minimal primes $q \subset R_p$.

**Proof.** follows from Lemma 25.1 and the description of $\text{Spec}(R_p)$ in Lemma 16.5, which shows that $\text{Spec}(R_p)$ corresponds to primes $q$ in $R$ with $q \subset p$. □

00EV **Lemma 25.4.** Let $R$ be a ring. Let $p$ be a minimal prime of $R$. Let $W \subset \text{Spec}(R)$ be a quasi-compact open not containing the point $p$. Then there exists an $f \in R$, $f \notin p$ such that $D(f) \cap W = \emptyset$. 
Proof. Since $W$ is quasi-compact we may write it as a finite union of standard affine opens $D(g_i), i = 1, \ldots, n$. Since $p \not\in W$ we have $g_i \in p$ for all $i$. By Lemma 24.1 each $g_i$ is nilpotent in $R_p$. Hence we can find an $f \in R, f \not\in p$ such that for all $i$ we have $f g_i^{n_i} = 0$ for some $n_i > 0$. Then $D(f)$ works. □

04MG Lemma 25.5. Let $R$ be a ring. Let $X = \text{Spec}(R)$ as a topological space. The following are equivalent

(1) $X$ is profinite,
(2) $X$ is Hausdorff,
(3) $X$ is totally disconnected,
(4) every quasi-compact open of $X$ is closed,
(5) there are no nontrivial inclusions between its prime ideals,
(6) every prime ideal is a maximal ideal,
(7) every prime ideal is minimal,
(8) every standard open $D(f) \subset X$ is closed, and
(9) add more here.

Proof. First proof. It is clear that $(5)$, $(6)$, and $(7)$ are equivalent. It is clear that $(4)$ and $(8)$ are equivalent as every quasi-compact open is a finite union of standard opens. The implication $(7) \Rightarrow (4)$ follows from Lemma 25.4 Assume $(4)$ holds. Let $p, p'$ be distinct primes of $R$. Choose an $f \in p'$, $f \not\in p$ (if needed switch $p$ with $p'$). Then $p' \not\in D(f)$ and $p \in D(f)$. By $(4)$ the open $D(f)$ is also closed. Hence $p$ and $p'$ are in disjoint open neighbourhoods whose union is $X$. Thus $X$ is Hausdorff and totally disconnected. Thus $(4) \Rightarrow (2)$ and $(3)$. If $(3)$ holds then there cannot be any specializations between points of $\text{Spec}(R)$ and we see that $(5)$ holds. If $X$ is Hausdorff then every point is closed, so $(2)$ implies $(6)$. Thus $(2)$, $(3)$, $(4)$, $(5)$, $(6)$, $(7)$ and $(8)$ are equivalent. Any profinite space is Hausdorff, so $(1)$ implies $(2)$. If $X$ satisfies $(2)$ and $(3)$, then $X$ (being quasi-compact by Lemma 16.10) is profinite by Topology, Lemma 23.2

Second proof. Besides the equivalence of $(4)$ and $(8)$ this follows from Lemma 25.2 and purely topological facts, see Topology, Lemma 23.7. □

26. Examples of spectra of rings

00EX In this section we put some examples of spectra.

00EX Example 26.1. In this example we describe $X = \text{Spec}(\mathbb{Z}[x]/(x^2 - 4))$. Let $p$ be an arbitrary prime in $X$. Let $\phi : \mathbb{Z} \to \mathbb{Z}[x]/(x^2 - 4)$ be the natural ring map. Then, $\phi^{-1}(p)$ is a prime in $\mathbb{Z}$. If $\phi^{-1}(p) = (2)$, then since $p$ contains 2, it corresponds to a prime ideal in $\mathbb{Z}[x]/(x^2 - 4, 2) \cong (\mathbb{Z}/2\mathbb{Z})[x]/(x^2)$ via the map $\mathbb{Z}[x]/(x^2 - 4) \to \mathbb{Z}[x]/(x^2 - 4, 2)$. Any prime in $(\mathbb{Z}/2\mathbb{Z})[x]/(x^2)$ corresponds to a prime in $(\mathbb{Z}/2\mathbb{Z})[x]$ containing $(x^2)$. Such primes will then contain $x$. Since $(\mathbb{Z}/2\mathbb{Z}) \cong (\mathbb{Z}/2\mathbb{Z})[x]/(x)$ is a field, $(x)$ is a maximal ideal. Since any prime contains $(x)$ and $(x)$ is maximal, the ring contains only one prime $(x)$. Thus, in this case, $p = (2, x)$. Now, if $\phi^{-1}(p) = (q)$ for $q > 2$, then since $p$ contains $q$, it corresponds to a prime ideal in $\mathbb{Z}[x]/(x^2 - 4, q) \cong (\mathbb{Z}/q\mathbb{Z})[x]/(x^2 - 4)$ via the map $\mathbb{Z}[x]/(x^2 - 4) \to \mathbb{Z}[x]/(x^2 - 4, q)$. Any prime in $(\mathbb{Z}/q\mathbb{Z})[x]/(x^2 - 4)$ corresponds to a prime in $(\mathbb{Z}/q\mathbb{Z})[x]$ containing $(x^2 - 4) = (x - 2)(x + 2)$. Hence, these primes must contain either $x - 2$ or $x + 2$. Since $(\mathbb{Z}/q\mathbb{Z})[x]$ is a PID, all nonzero primes are maximal, and so there are precisely 2 primes in $(\mathbb{Z}/q\mathbb{Z})[x]$ containing $(x - 2)(x + 2)$, namely $(x - 2)$ and $(x + 2)$. In
In this example, we describe the quotient of \( \mathbb{Z}[x]/(x^2 - 4) \), which contains \((x^2 - 4) = (x - 2)(x + 2)\). Hence, \( p \) contains either \((x - 2)\) or \((x + 2)\). Therefore, \( p \) corresponds to a prime in \( \mathbb{Z}[x]/(x - 2) \) or \( \mathbb{Z}[x]/(x + 2) \) that intersects \( \mathbb{Z} \) only at 0, by assumption. Since \( \mathbb{Z}[x]/(x - 2) \cong \mathbb{Z} \) and \( \mathbb{Z}[x]/(x + 2) \cong \mathbb{Z} \), this means that \( p \) must correspond to 0 in one of these rings. Thus, \( p = (x - 2) \) or \( p = (x + 2) \) in the original ring.

**Example 26.2.** In this example we describe \( X = \text{Spec}(\mathbb{Z}[x]) \). Fix \( p \in X \). Let \( \phi : \mathbb{Z} \rightarrow \mathbb{Z}[x] \) and notice that \( \phi^{-1}(p) \in \text{Spec}(\mathbb{Z}) \). If \( \phi^{-1}(p) = (q) \) for \( q \) a prime number \( q > 0 \), then \( p \) corresponds to a prime in \( (\mathbb{Z}/(q))[x] \), which must be generated by a polynomial that is irreducible in \( (\mathbb{Z}/(q))[x] \). If we choose a representative of this polynomial with minimal degree, then it will also be irreducible in \( \mathbb{Z}[x] \). Hence, in this case \( p = (q, f_q) \) where \( f_q \) is an irreducible polynomial in \( \mathbb{Z}[x] \) that is irreducible when viewed in \( (\mathbb{Z}/(q))[x] \). Now, assume that \( \phi^{-1}(p) = (0) \). In this case, \( p \) must be generated by nonconstant polynomials which, since \( p \) is prime, may be assumed to be irreducible in \( \mathbb{Z}[x] \). By Gauss’ lemma, these polynomials are also irreducible in \( \mathbb{Q}[x] \). Since \( \mathbb{Q}[x] \) is a Euclidean domain, if there are at least two distinct irreducibles \( f, g \) generating \( p \), then \( 1 = af + bg \) for \( a, b \in \mathbb{Q}[x] \). Multiplying through by a common denominator, we see that \( m = \bar{a} f + \bar{b} g \) for \( \bar{a}, \bar{b} \in \mathbb{Z}[x] \) and nonzero \( m \in \mathbb{Z} \). This is a contradiction. Hence, \( p \) is generated by one irreducible polynomial in \( \mathbb{Z}[x] \).

**Example 26.3.** In this example, we describe \( X = \text{Spec}(k[x, y]) \) when \( k \) is an arbitrary field. Clearly \((0)\) is prime, and any principal ideal generated by an irreducible polynomial will also be a prime since \( k[x, y] \) is a unique factorization domain. Now assume \( p \) is an element of \( X \) that is not principal. Since \( k[x, y] \) is a Noetherian UFD, the prime ideal \( p \) can be generated by a finite number of irreducible polynomials \( (f_1, \ldots, f_n) \). Now, I claim that if \( f, g \) are irreducible polynomials in \( k[x, y] \) that are not associates, then \( (f, g) \cap k[x] \neq 0 \). To do this, it is enough to show that \( f \) and \( g \) are relatively prime when viewed in \( k(x)[y] \). In this case, \( k(x)[y] \) is a Euclidean domain, so by applying the Euclidean algorithm and clearing denominators, we obtain \( p = af + bg \) for \( a, b \in k[x] \). Thus, assume this is not the case, that is, that some nonunit \( h \in k(x)[y] \) divides both \( f \) and \( g \). Then, by Gauss’s lemma, for some \( a, b \in k(x) \) we have \( ah|f \) and \( bh|g \) for \( ah, bh \in k[x] \). By irreducibility, \( ah = f \) and \( bh = g \) (since \( h \notin k(x) \)). So, back in \( k(x)[y] \), \( f, g \) are associates, as \( \frac{f}{g} = \frac{x^2}{y} \). Since \( k(x) \) is the fraction field of \( k[x] \), we can write \( g = \frac{x^2}{y} f \) for elements \( r, s \in k[x] \) sharing no common factors. This implies that \( sg = rf \) in \( k(x, y) \) and so \( s \) must divide \( f \) since \( k(x, y) \) is a UFD. Hence, \( s = 1 \) or \( s = f \). If \( s = f \), then \( r = g \), implying \( f, g \in k[x] \) and thus must be units in \( k(x) \) and relatively prime in \( k(x)[y] \), contradicting our hypothesis. If \( s = 1 \), then \( g = rf \), another contradiction. Thus, we must have \( f, g \) relatively prime in \( k(x)[y] \), a Euclidean domain. Thus, we have reduced the case \( p \) contains some irreducible polynomial \( p \in k[x] \subset k[x, y] \). By the above, \( p \) corresponds to a prime in the ring \( k[x, y]/(p) = k(\alpha)[y] \), where \( \alpha \) is an element algebraic over \( k \) with minimum polynomial \( p \). This is a PID, and so any prime ideal corresponds to \((0)\) or an irreducible polynomial in \( k(\alpha)[y] \). Thus, \( p \) is of the form \((p)\) or \((p, f)\) where \( f \) is a polynomial in \( k[x, y] \) that is irreducible in the quotient \( k[x, y]/(p) \).
Example 26.4. Consider the ring 

$$R = \{ f \in \mathbb{Q}[z] \text{ with } f(0) = f(1) \}.$$ 

Consider the map 

$$\varphi : \mathbb{Q}[A, B] \to R$$

defined by \(\varphi(A) = z^2 - z\) and \(\varphi(B) = z^3 - z^2\). It is easily checked that \((A^3 - B^2 + AB) \subset \text{Ker}(\varphi)\) and that \(A^3 - B^2 + AB\) is irreducible. Assume that \(\varphi\) is surjective; then since \(R\) is an integral domain (it is a subring of an integral domain), \(\text{Ker}(\varphi)\) must be a prime ideal of \(\mathbb{Q}[A, B]\). The prime ideals which contain \((A^3 - B^2 + AB)\) are \((A^3 - B^2 + AB)\) itself and any maximal ideal \((f, g)\) with \(f, g \in \mathbb{Q}[A, B]\) such that \(f\) is irreducible mod \(g\). But \(R\) is not a field, so the kernel must be \((A^3 - B^2 + AB)\); hence \(\varphi\) gives an isomorphism \(R \to \mathbb{Q}[A, B]/(A^3 - B^2 + AB)\).

To see that \(\varphi\) is surjective, we must express any \(f \in R\) as a \(\mathbb{Q}\)-coefficient polynomial in \(A(z) = z^2 - z\) and \(B(z) = z^3 - z^2\). Note the relation \(zA(z) = B(z)\). Let \(a = f(0) = f(1)\). Then \(z(z - 1)\) must divide \(f(z) - a\), so we can write \(f(z) = z(z - 1)g(z) + a = A(z)g(z) + a\). If \(\deg(g) < 2\), then \(h(z) = c_1z + c_0\) and \(f(z) = A(z)(c_1z + c_0) + a = c_1B(z) + c_0A(z) + a\), so we are done. If \(\deg(g) \geq 2\), then by the polynomial division algorithm, we can write \(g(z) = A(z)h(z) + b_1z + b_0\) (\(\deg(h) \leq \deg(g) - 2\)), so \(f(z) = A(z)^2h(z) + b_1B(z) + b_0A(z)\). Applying division to \(h(z)\) and iterating, we obtain an expression for \(f(z)\) as a polynomial in \(A(z)\) and \(B(z)\); hence \(\varphi\) is surjective.

Now let \(a \in \mathbb{Q}, a \neq 0, \frac{1}{2}, 1\) and consider 

$$R_a = \{ f \in \mathbb{Q}[z, \frac{1}{z - a}] \text{ with } f(0) = f(1) \}.$$ 

This is a finitely generated \(\mathbb{Q}\)-algebra as well: it is easy to check that the functions \(z^2 - z, z^3 - z,\) and \(\frac{z^2 - a}{z - a} + z\) generate \(R_a\) as an \(\mathbb{Q}\)-algebra. We have the following inclusions: 

$$R \subset R_a \subset \mathbb{Q}[z, \frac{1}{z - a}], \quad R \subset \mathbb{Q}[z] \subset \mathbb{Q}[z, \frac{1}{z - a}].$$

Recall (Lemma 16.5) that for a ring \(T\) and a multiplicative subset \(S \subset T\), the ring map \(T \to S^{-1}T\) induces a map on spectra \(\text{Spec}(S^{-1}T) \to \text{Spec}(T)\) which is a homeomorphism onto the subset 

$$\{ p \in \text{Spec}(T) \mid S \cap p = \emptyset \} \subset \text{Spec}(T).$$

When \(S = \{1, f, f^2, \ldots\}\) for some \(f \in T\), this is the open set \(D(f) \subset T\). We now verify a corresponding property for the ring map \(R \to R_a\): we will show that the map \(\theta : \text{Spec}(R_a) \to \text{Spec}(R)\) induced by inclusion \(R \subset R_a\) is a homeomorphism onto an open subset of \(\text{Spec}(R)\) by verifying that \(\theta\) is an injective local homeomorphism. We do so with respect to an open cover of \(\text{Spec}(R_a)\) by two distinguished opens, as we now describe. For any \(r \in \mathbb{Q}\), let \(ev_r : R \to \mathbb{Q}\) be the homomorphism given by evaluation at \(r\). Note that for \(r = 0\) and \(r = 1 - a\), this can be extended to a homomorphism \(ev_r : R_a \to \mathbb{Q}\) (the latter because \(\frac{1}{z - a}\) is well-defined at \(z = 1 - a\), since \(a \neq \frac{1}{2}\)). However, \(ev_a\) does not extend to \(R_a\). Write \(m_r = \text{Ker}(ev_r)\). We have 

- \(m_0 = (z^2 - z, z^3 - z)\),
- \(m_a = ((z - 1 + a)(z - a), (z^2 - 1 + a)(z - a))\), and
- \(m_{1-a} = ((z - 1 + a)(z - a), (z - 1 + a)(z^2 - a))\).
To verify this, note that the right-hand sides are clearly contained in the left-hand sides. Then check that the right-hand sides are maximal ideals by writing the generators in terms of $A$ and $B$, and viewing $R$ as $\mathbb{Q}[A, B]/(A^3 - B^2 + AB)$. Note that $m_a$ is not in the image of $\theta$: we have

$$(z^2 - z)^2(z - a)(\frac{a^2 - a}{z - a} + z) = (z^2 - z)^2(a^2 - a) + (z^2 - z)(z - a)z$$

The left hand side is in $m_a R_a$ because $(z^2 - z)(z - a)$ is in $m_a$ and because $(z^2 - z)(\frac{a^2 - a}{z - a} + z)$ is in $R_a$. Similarly the element $(z^2 - z)^2(z - a)z$ is in $m_a R_a$ because $(z^2 - z)$ is in $R_a$ and $(z^2 - z)(z - a)$ is in $m_a$. As $a \notin \{0, 1\}$ we conclude that $(z^2 - z)^2 \not\in m_a R_a$. Hence no ideal $I$ of $R_a$ can satisfy $I \cap R = m_a$, as such an $I$ would have to contain $(z^2 - z)^2$, which is in $R$ but not in $m_a$. The distinguished open set $D((z - 1 + a)(z - a)) \subset \text{Spec}(R)$ is equal to the complement of the closed set $\{m_a, m_{1-a}\}$. Then check that $R_{(z-1+a)(z-a)} = (R_a)_{(z-1+a)(z-a)}$; calling this localized ring $R'$, then, it follows that the map $R \rightarrow R'$ factors as $R \rightarrow R_a \rightarrow R'$. By Lemma 16.5, then, these maps express $\text{Spec}(R') \subset \text{Spec}(R_a)$ and $\text{Spec}(R') \subset \text{Spec}(R)$ as open subsets; hence $\theta : \text{Spec}(R_a) \rightarrow \text{Spec}(R)$, when restricted to $D((z - 1 + a)(z - a))$, is a homeomorphism onto an open subset. Similarly, $\theta$ restricted to $D((z^2 + z + 2a - 2)(z - a)) \subset \text{Spec}(R_a)$ is a homeomorphism onto the open subset $D((z^2 + z + 2a - 2)(z - a)) \subset \text{Spec}(R)$. Depending on whether $z^2 + z + 2a - 2$ is irreducible or not over $\mathbb{Q}$, this former distinguished open set has complement equal to one or two closed points along with the closed point $m_a$. Furthermore, the ideal in $R_a$ generated by the elements $(z^2 + z + 2a - a)(z - a)$ and $(z - 1 + a)(z - a)$ is all of $R_a$, so these two distinguished open sets cover $\text{Spec}(R_a)$. Hence in order to show that $\theta$ is a homeomorphism onto $\text{Spec}(R) - \{m_a\}$, it suffices to show that these one or two points can never equal $m_{1-a}$. And this is indeed the case, since $1 - a$ is a root of $z^2 + z + 2a - 2$ if and only if $a = 0$ or $a = 1$, both of which do not occur.

Despite this homeomorphism which mimics the behavior of a localization at an element of $R$, while $\mathbb{Q}[z, \frac{1}{z-a}]$ is the localization of $\mathbb{Q}[z]$ at the maximal ideal $(z-a)$, the ring $R_a$ is not a localization of $R$: Any localization $S^{-1}R$ results in more units than the original ring $R$. The units of $R$ are $\mathbb{Q}^\times$, the units of $\mathbb{Q}$. In fact, it is easy to see that the units of $R_a$ are $\mathbb{Q}^\times$. Namely, the units of $\mathbb{Q}[z, \frac{1}{z-a}]$ are $c(z - a)^n$ for $c \in \mathbb{Q}^\times$ and $n \in \mathbb{Z}$ and it is clear that these are in $R_a$ only if $n = 0$. Hence $R_a$ has no more units than $R$ does, and thus cannot be a localization of $R$.

We used the fact that $a \neq 0, 1$ to ensure that $\frac{1}{z-a}$ makes sense at $z = 0, 1$. We used the fact that $a \neq 1/2$ in a few places: (1) In order to be able to talk about the kernel of $ev_{1-a}$ on $R_a$, which ensures that $m_{1-a}$ is a point of $R_a$ (i.e., that $R_a$ is missing just one point of $R$). (2) At the end in order to conclude that $(z - a)^{k+\ell}$ can only be in $R$ for $k = \ell = 0$; indeed, if $a = 1/2$, then this is in $R$ as long as $k + \ell$ is even. Hence there would indeed be more units in $R_a$ than in $R$, and $R_a$ could possibly be a localization of $R$.

27. A meta-observation about prime ideals

This section is taken from the CRing project. Let $R$ be a ring and let $S \subset R$ be a multiplicative subset. A consequence of Lemma 16.5 is that an ideal $I \subset R$ maximal with respect to the property of not intersecting $S$ is prime. The reason
is that \( I = R \cap m \) for some maximal ideal \( m \) of the ring \( S^{-1}R \). It turns out that for many properties of ideals, the maximal ones are prime. A general method of seeing this was developed in [LR08]. In this section, we digress to explain this phenomenon.

Let \( R \) be a ring. If \( I \) is an ideal of \( R \) and \( a \in R \), we define

\[
(I : a) = \{ x \in R \mid xa \in I \}
\]

More generally, if \( J \subset R \) is an ideal, we define

\[
(I : J) = \{ x \in R \mid xJ \subset I \}
\]

\[05K8\] **Lemma 27.1.** Let \( R \) be a ring. For a principal ideal \( J \subset R \), and for any ideal \( I \subset J \) we have \( I = J(I : J) \).

**Proof.** Say \( J = (a) \). Then \((I : J) = (I : a) \). Since \( I \subset J \) we see that any \( y \in I \) is of the form \( y = xa \) for some \( x \in (I : a) \). Hence \( I \subset J(I : J) \). Conversely, if \( x \in (I : a) \), then \( xJ = (xa) \subset I \), which proves the other inclusion. \( \square \)

Let \( \mathcal{F} \) be a collection of ideals of \( R \). We are interested in conditions that will guarantee that the maximal elements in the complement of \( \mathcal{F} \) are prime.

\[05K9\] **Definition 27.2.** Let \( R \) be a ring. Let \( \mathcal{F} \) be a set of ideals of \( R \). We say \( \mathcal{F} \) is an Oka family if \( R \in \mathcal{F} \) and whenever \( I \subset R \) is an ideal and \((I : a), (I, a) \in \mathcal{F} \) for some \( a \in R \), then \( I \in \mathcal{F} \).

Let us give some examples of Oka families. The first example is the basic example discussed in the introduction to this section.

\[05KA\] **Example 27.3.** Let \( R \) be a ring and let \( S \) be a multiplicative subset of \( R \). We claim that \( \mathcal{F} = \{ I \subset R \mid I \cap S = \emptyset \} \) is an Oka family. Namely, suppose that \((I : a), (I, a) \in \mathcal{F} \) for some \( a \in R \). Then pick \( s \in (I, a) \cap S \) and \( s' \in (I : a) \cap S \). Then \( ss' \in I \cap S \) and hence \( I \in \mathcal{F} \). Thus \( \mathcal{F} \) is an Oka family.

\[05KB\] **Example 27.4.** Let \( R \) be a ring, \( I \subset R \) an ideal, and \( a \in R \). If \((I : a) \) is generated by \( a_1, \ldots, a_n \) and \((I, a) \) is generated by \( b_1, \ldots, b_m \) with \( b_1, \ldots, b_m \in I \), then \((I : a) \) is generated by \( aa_1, \ldots, aa_n, b_1, \ldots, b_m \). To see this, note that if \( x \in I \), then \( x \in (I : a) \) is a linear combination of \( a, b_1, \ldots, b_m \), but the coefficient of \( a \) must lie in \((I : a) \). As a result, we deduce that the family of finitely generated ideals is an Oka family.

\[05KC\] **Example 27.5.** Let us show that the family of principal ideals of a ring \( R \) is an Oka family. Indeed, suppose \( I \subset R \) is an ideal, \( a \in R \), and \((I, a) \) is principal. Note that \((I : a) = (I : (I, a)) \). Setting \( J = (I, a) \), we find that \( J \) is principal and \((I : J) \) is too. By Lemma 27.1 we have \( I = J(I : J) \). Thus we find in our situation that since \( J = (I, a) \) and \((I : J) \) are principal, \( I \) is principal.

\[05KD\] **Example 27.6.** Let \( R \) be a ring. Let \( \kappa \) be an infinite cardinal. The family of ideals which can be generated by at most \( \kappa \) elements is an Oka family. The argument is analogous to the argument in Example 27.4 and is omitted.

\[05KE\] **Proposition 27.7.** If \( \mathcal{F} \) is an Oka family of ideals, then any maximal element of the complement of \( \mathcal{F} \) is prime.

**Proof.** Suppose \( I \notin \mathcal{F} \) is maximal with respect to not being in \( \mathcal{F} \) but \( I \) is not prime. Note that \( I \neq R \) because \( R \in \mathcal{F} \). Since \( I \) is not prime we can find \( a, b \in R - I \) with \( ab \in I \). It follows that \((I, a) \neq I \) and \((I : a) \) contains \( b \notin I \) so also \((I : a) \neq I \).

Thus \((I : a), (I, a)\) both strictly contain \(I\), so they must belong to \(\mathcal{F}\). By the Oka condition, we have \(I \in \mathcal{F}\), a contradiction. \(\square\)

At this point we are able to turn most of the examples above into a lemma about prime ideals in a ring.

**Lemma 27.8.** Let \(R\) be a ring. Let \(S\) be a multiplicative subset of \(R\). An ideal \(I \subset R\) which is maximal with respect to the property that \(I \cap S = \emptyset\) is prime.

**Proof.** This is the example discussed in the introduction to this section. For an alternative proof, combine Example 27.3 with Proposition 27.7. \(\square\)

**Lemma 27.9.** Let \(R\) be a ring.

1. An ideal \(I \subset R\) maximal with respect to not being finitely generated is prime.
2. If every prime ideal of \(R\) is finitely generated, then every ideal of \(R\) is finitely generated.

**Proof.** The first assertion is an immediate consequence of Example 27.4 and Proposition 27.7. For the second, suppose that there exists an ideal \(I \subset R\) which is not finitely generated. The union of a totally ordered chain \(\{I_\alpha\}\) of ideals that are not finitely generated is not finitely generated; indeed, if \(I = \bigcup I_\alpha\) were generated by \(a_1, \ldots, a_n\), then all the generators would belong to some \(I_\alpha\) and would consequently generate it. By Zorn’s lemma, there is an ideal maximal with respect to being not finitely generated. By the first part this ideal is prime. \(\square\)

**Lemma 27.10.** Let \(R\) be a ring.

1. An ideal \(I \subset R\) maximal with respect to not being principal is prime.
2. If every prime ideal of \(R\) is principal, then every ideal of \(R\) is principal.

**Proof.** The first part follows from Example 27.5 and Proposition 27.7. For the second, suppose that there exists an ideal \(I \subset R\) which is not principal. The union of a totally ordered chain \(\{I_\alpha\}\) of ideals that not principal is not principal; indeed, if \(I = \bigcup I_\alpha\) were generated by \(a\), then \(a\) would belong to some \(I_\alpha\) and \(a\) would generate it. By Zorn’s lemma, there is an ideal maximal with respect to not being principal. This ideal is necessarily prime by the first part. \(\square\)

**Lemma 27.11.** Let \(R\) be a ring.

1. An ideal \(I \subset R\) maximal among the ideals which do not contain a nonzerodivisor is prime.
2. If \(R\) is nonzero and every nonzero prime ideal in \(R\) contains a nonzerodivisor, then \(R\) is a domain.

**Proof.** Consider the set \(S\) of nonzerodivisors. It is a multiplicative subset of \(R\). Hence any ideal maximal with respect to not intersecting \(S\) is prime, see Lemma 27.8. Thus, if every nonzero prime ideal contains a nonzerodivisor, then \((0)\) is prime, i.e., \(R\) is a domain. \(\square\)

**Remark 27.12.** Let \(R\) be a ring. Let \(\kappa\) be an infinite cardinal. By applying Example 27.6 and Proposition 27.7, we see that any ideal maximal with respect to the property of not being generated by \(\kappa\) elements is prime. This result is not so useful because there exists a ring for which every prime ideal of \(R\) can be generated

\[\ldots\]

\[1\]Later we will say that \(R\) is Noetherian.
In this section we prove some results on the topology of maps induced by ring maps $R \to S$, mainly Chevalley’s Theorem. In order to do this we will use the notions of constructible sets, quasi-compact sets, retrocompact sets, and so on which are defined in Topology, Section 12.

**Lemma 28.1.** Let $U \subset \text{Spec}(R)$ be open. The following are equivalent:

1. $U$ is retrocompact in $\text{Spec}(R)$,
2. $U$ is quasi-compact,
3. $U$ is a finite union of standard opens, and
4. there exists a finitely generated ideal $I \subset R$ such that $X \setminus V(I) = U$.

**Proof.** We have (1) $\Rightarrow$ (2) because $\text{Spec}(R)$ is quasi-compact, see Lemma 16.10. We have (2) $\Rightarrow$ (3) because standard opens form a basis for the topology. Proof of (3) $\Rightarrow$ (1). Let $U = \bigcup_{i=1}^{n} D(f_i)$. To show that $U$ is retrocompact in $\text{Spec}(R)$ it suffices to show that $U \cap V$ is quasi-compact for any quasi-compact open $V$ of $\text{Spec}(R)$. Write $V = \bigcup_{j=1}^{m} D(g_j)$ which is possible by (2) $\Rightarrow$ (3). Each standard open is homeomorphic to the spectrum of a ring and hence quasi-compact, see Lemmas 16.6 and 16.10. Thus $U \cap V = (\bigcup_{i=1}^{n} D(f_i)) \cap (\bigcup_{j=1}^{m} D(g_j)) = \bigcup_{i,j} D(f_ig_j)$ is a finite union of quasi-compact opens hence quasi-compact. To finish the proof note that (4) is equivalent to (3) by Lemma 16.2. \qed

**Lemma 28.2.** Let $\varphi : R \to S$ be a ring map. The induced continuous map $f : \text{Spec}(S) \to \text{Spec}(R)$ is quasi-compact. For any constructible set $E \subset \text{Spec}(R)$ the inverse image $f^{-1}(E)$ is constructible in $\text{Spec}(S)$.

**Proof.** We first show that the inverse image of any quasi-compact open $U \subset \text{Spec}(R)$ is quasi-compact. By Lemma 28.1 we may write $U$ as a finite open of standard opens. Thus by Lemma 16.4 we see that $f^{-1}(U)$ is a finite union of standard opens. Hence $f^{-1}(U)$ is quasi-compact by Lemma 28.1 again. The second assertion now follows from Topology, Lemma 15.3. \qed

**Lemma 28.3.** Let $R$ be a ring and let $T \subset \text{Spec}(R)$ be constructible. Then there exists a ring map $R \to S$ of finite presentation such that $T$ is the image of $\text{Spec}(S)$ in $\text{Spec}(R)$.

**Proof.** Let $T \subset \text{Spec}(R)$ be constructible. The spectrum of a finite product of rings is the disjoint union of the spectra, see Lemma 20.2. Hence if $T = T_1 \cup T_2$ and the result holds for $T_1$ and $T_2$, then the result holds for $T$. In particular we may assume that $T = U \cap V^c$, where $U, V \subset \text{Spec}(R)$ are retrocompact open. By Lemma 28.1 we may write $T = (\bigcup D(f_i)) \cap (\bigcup D(g_j))^c = \bigcup (D(f_i) \cap V(g_1, \ldots, g_m))$. In fact we may assume that $T = D(f) \cap V(g_1, \ldots, g_m)$ (by the argument on unions above). In this case $T$ is the image of the map $R \to (R/(g_1, \ldots, g_m))_f$, see Lemmas 16.6 and 16.7. \qed
Let $R$ be a ring. Let $f$ be an element of $R$. Let $S = R_f$. Then the image of a constructible subset of $\text{Spec}(S)$ is constructible in $\text{Spec}(R)$.

**Proof.** We repeatedly use Lemma 28.1 without mention. Let $U, V$ be quasi-compact open in $\text{Spec}(S)$. We will show that the image of $U \cap V^c$ is constructible. Under the identification $\text{Spec}(S) = D(f)$ of Lemma 16.6 the sets $U, V$ correspond to quasi-compact opens $U', V'$ of $\text{Spec}(R)$. Hence it suffices to show that $U' \cap (V')^c$ is constructible in $\text{Spec}(R)$ which is clear. □

Let $R$ be a ring. Let $I$ be a finitely generated ideal of $R$. Let $S = R/I$. Then the image of a constructible of $\text{Spec}(S)$ is constructible in $\text{Spec}(R)$.

**Proof.** If $I = (f_1, \ldots, f_m)$, then we see that $V(I)$ is the complement of $\bigcup D(f_i)$, see Lemma 16.2. Hence it is constructible, by Lemma 28.1. Denote the map $R \to S$ by $f \mapsto \overline{f}$. We have to show that if $U, V$ are retrocompact opens of $\text{Spec}(S)$, then the image of $U \cap V^c$ in $\text{Spec}(R)$ is constructible. By Lemma 28.1 we may write $U = \bigcup D(g_i)$. Setting $U = \bigcup D(g_i)$ we see $U$ has image $U \cap V^c$ in $\text{Spec}(R)$. Similarly the image of $V$ equals $V \cap V(I)$ for some retrocompact open $V$ of $\text{Spec}(R)$. Hence the image of $U \cap V^c$ equals $U \cap V(I) \cap V^c$ as desired. □

Let $R$ be a ring. The map $\text{Spec}(R[x]) \to \text{Spec}(R)$ is open, and the image of any standard open is a quasi-compact open.

**Proof.** It suffices to show that the image of a standard open $D(f)$, $f \in R[x]$ is quasi-compact open. The image of $D(f)$ is the image of $\text{Spec}(R[x]_f) \to \text{Spec}(R)$. Let $p \subseteq R$ be a prime ideal. Let $\overline{f}$ be the image of $f$ in $\kappa(p)[x]$. Recall, see Lemma 16.9 that $p$ is in the image if and only if $R[x]_f \otimes_R \kappa(p) = \kappa(p)[x]_{\overline{f}}$ is not the zero ring. This is exactly the condition that $f$ does not map to zero in $\kappa(p)[x]$, in other words, that some coefficient of $f$ is not in $p$. Hence we see: if $f = a_d x^d + \ldots a_0$, then the image of $D(f)$ is $D(a_d) \cup \ldots \cup D(a_0)$. □

We prove a property of characteristic polynomials which will be used below.

**Lemma 28.7.** Let $R \to A$ be a ring homomorphism. Assume $A \cong R^{\oplus n}$ as an $R$-module. Let $f \in A$. The multiplication map $m_f : A \to A$ is $R$-linear and hence has a characteristic polynomial $P(T) = T^n + r_{n-1} T^{n-1} + \ldots + r_0 \in R[T]$. For any prime $p \in \text{Spec}(R)$, $f$ acts nilpotently on $A \otimes_R \kappa(p)$ if and only if $p \in V(r_0, \ldots, r_{n-1})$.

**Proof.** This follows quite easily once we prove that the characteristic polynomial $P(T) \in \kappa(p)[T]$ of the multiplication map $m_f : A \otimes_R \kappa(p) \to A \otimes_R \kappa(p)$ which multiplies elements of $A \otimes_R \kappa(p)$ by $f$, the image of $f$ viewed in $\kappa(p)$, is just the image of $P(T)$ in $\kappa(p)[T]$. Let $(a_{ij})$ be the matrix of the map $m_f$ with entries in $R$, using a basis $e_1, \ldots, e_n$ of $A$ as an $R$-module. Then, $A \otimes_R \kappa(p) \cong (R \otimes_R \kappa(p))^{\oplus n} = \kappa(p)^n$, which is an $n$-dimensional vector space over $\kappa(p)$ with basis $e_1 \otimes 1, \ldots, e_n \otimes 1$. The image $\overline{f} = f \otimes 1$, and so the multiplication map $m_f$ has matrix $(a_{ij} \otimes 1)$. Thus, the characteristic polynomial is precisely the image of $P(T)$.

From linear algebra, we know that a linear transformation acts nilpotently on an $n$-dimensional vector space if and only if the characteristic polynomial is $T^n$ (since the characteristic polynomial divides some power of the minimal polynomial). Hence, $f$ acts nilpotently on $A \otimes_R \kappa(p)$ if and only if $\overline{P}(T) = T^n$. This occurs if and only if $r_i \in p$ for all $0 \leq i \leq n-1$, that is when $p \in V(r_0, \ldots, r_{n-1})$. □
00FD **Lemma 28.8.** Let $R$ be a ring. Let $f, g \in R[x]$ be polynomials. Assume the leading coefficient of $g$ is a unit of $R$. There exists elements $r_i \in R$, $i = 1, \ldots, n$ such that the image of $D(f) \cap V(g)$ in $\text{Spec}(R)$ is $\bigcup_{i=1,\ldots,n} D(r_i)$.

**Proof.** Write $g = ux^d + a_{d-1}x^{d-1} + \ldots + a_0$, where $d$ is the degree of $g$, and hence $u \in R^*$. Consider the ring $A = R[x]/(g)$. It is, as an $R$-module, finite free with basis the images of $1, x, \ldots, x^{d-1}$. Consider multiplication by (the image of) $f$ on $A$. This is an $R$-module map. Hence we can let $P(T) \in R[T]$ be the characteristic polynomial of this map. Write $P(T) = T^d + r_{d-1}T^{d-1} + \ldots + r_0$. We claim that $r_0, \ldots, r_{d-1}$ have the desired property. We will use below the property of characteristic polynomials that

$$p \in V(r_0, \ldots, r_{d-1}) \iff \text{multiplication by } f \text{ is nilpotent on } A \otimes_R \kappa(p).$$

This was proved in Lemma 28.7

Suppose $q \in D(f) \cap V(g)$, and let $p = q \cap R$. Then there is a nonzero map $A \otimes_R \kappa(p) \to \kappa(q)$ which is compatible with multiplication by $f$. And $f$ acts as a unit on $\kappa(q)$. Thus we conclude $p \notin V(r_0, \ldots, r_{d-1})$.

On the other hand, suppose that $r_i \notin p$ for some prime $p$ of $R$ and some $0 \leq i \leq d-1$. Then multiplication by $f$ is not nilpotent on the algebra $A \otimes_R \kappa(p)$. Hence there exists a prime ideal $\mathfrak{q} \subset A \otimes_R \kappa(p)$ not containing the image of $f$. The inverse image of $\mathfrak{q}$ in $R[x]$ is an element of $D(f) \cap V(g)$ mapping to $p$. □

00FE **Theorem 28.9** (Chevalley’s Theorem). Suppose that $R \to S$ is of finite presentation. The image of a constructible subset of $\text{Spec}(S)$ in $\text{Spec}(R)$ is constructible.

**Proof.** Write $S = R[x_1, \ldots, x_n]/(f_1, \ldots, f_m)$. We may factor $R \to S$ as $R \to R[x_1] \to R[x_1, x_2] \to \ldots \to R[x_1, \ldots, x_{n-1}] \to S$. Hence we may assume that $S = R[x]/(f_1, \ldots, f_m)$. In this case we factor the map as $R \to R[x] \to S$, and by Lemma 28.5 we reduce to the case $S = R[x]$. By Lemma 28.1 suffices to show that if $T = \bigcup_{i=1, \ldots, n} D(f_i) \cap V(g_1, \ldots, g_m)$ for $f_i, g_i \in R[x]$ then the image in $\text{Spec}(R)$ is constructible. Since finite unions of constructible sets are constructible, it suffices to deal with the case $n = 1$, i.e., when $T = D(f) \cap V(g_1, \ldots, g_m)$.

Note that if $c \in R$, then we have

$$\text{Spec}(R) = V(c) \amalg D(c) = \text{Spec}(R/(c)) \amalg \text{Spec}(R_c),$$

and correspondingly $\text{Spec}(R[x]) = V(c) \amalg D(c) = \text{Spec}(R/(c)[x]) \amalg \text{Spec}(R_c[x])$. The intersection of $T = D(f) \cap V(g_1, \ldots, g_m)$ with each part still has the same shape, with $f, g_i$ replaced by their images in $R/(c)[x]$, respectively $R_c[x]$. Note that the image of $T$ in $\text{Spec}(R)$ is the union of the image of $T \cap V(c)$ and $T \cap D(c)$. Using Lemmas 28.4 and 28.5 it suffices to prove the images of both parts are constructible in $\text{Spec}(R/(c))$, respectively $\text{Spec}(R_c)$.

Let us assume we have $T = D(f) \cap V(g_1, \ldots, g_m)$ as above, with $\deg(g_1) \leq \deg(g_2) \leq \ldots \leq \deg(g_m)$. We are going to use descending induction on $m$, and on the degrees of the $g_i$. Let $d = \deg(g_1)$, i.e., $g_1 = cx^{d_1} + \text{l.o.t}$ with $c \in R$ not zero. Cutting $R$ up into the pieces $R/(c)$ and $R_c$ we either lower the degree of $g_1$ (and this is covered by induction) or we reduce to the case where $c$ is invertible. If $c$ is invertible, and $m > 1$, then write $g_2 = c'x^{d_2} + \text{l.o.t}$. In this case consider $g'_2 = g_2 - (c'/c)x^{d_2-d_1}g_1$. Since the ideals $(g_1, g_2, \ldots, g_m)$ and $(g_1, g'_2, g_3, \ldots, g_m)$
are equal we see that $T = D(f) \cap V(g_1, g_2', g_3, \ldots, g_n)$. But here the degree of $g_2'$ is strictly less than the degree of $g_2$ and hence this case is covered by induction.

The bases case for the induction above are the cases (a) $T = D(f) \cap V(g)$ where the leading coefficient of $g$ is invertible, and (b) $T = D(f)$. These two cases are dealt with in Lemmas 28.8 and 28.6.

29. More on images

Let $R \subset S$ be an inclusion of domains. Assume that $R \to S$ is of finite type. There exists a nonzero $f \in R$, and a nonzero $g \in S$ such that $R_f \to S_{fg}$ is of finite presentation.

Proof. By induction on the number of generators of $S$ over $R$. During the proof we may replace $R$ by $R_f$ and $S$ by $S_f$ for some nonzero $f \in R$.

Suppose that $S$ is generated by a single element over $R$. Then $S = R[x]/q$ for some prime ideal $q \subset R[x]$. If $q = (0)$ there is nothing to prove. If $q \neq (0)$, then let $h \in q$ be a nonzero element with minimal degree in $x$. Write $g = fx^d + a_{d-1}x^{d-1} + \ldots + a_0$ with $a_i \in R$ and $f \neq 0$. After inverting $f$ in $R$ and $S$ we may assume that $h$ is monic. We obtain a surjective $R$-algebra map $R[x]/(h) \to S$. We have $R[x]/(h) = R \oplus Rx \oplus \ldots \oplus Rx^{d-1}$ as an $R$-module and by minimality of $d$ we see that $R[x]/(h)$ maps injectively into $S$. Thus $R[x]/(h) \cong S$ is finitely presented over $R$.

Suppose that $S$ is generated by $n > 1$ elements over $R$. Say $x_1, \ldots, x_n \in S$ generate $S$. Denote $S' \subset S$ the subring generated by $x_1, \ldots, x_{n-1}$. By induction hypothesis we see that there exist $f \in R$ and $g \in S'$ nonzero such that $R_f \to S_{fg}$ is of finite presentation. Next we apply the induction hypothesis to $S_{fg}' \to S_{fg}$ to see that there exist $f' \in S_{fg}'$ and $g' \in S_{fg}$ such that $S_{fgf'} \to S_{fgf'g'}$ is of finite presentation. We leave it to the reader to conclude.

Let $R \to S$ be a finite type ring map. Denote $X = \text{Spec}(R)$ and $Y = \text{Spec}(S)$. Write $f : Y \to X$ the induced map of spectra. Let $E \subset Y = \text{Spec}(S)$ be a constructible set. If a point $\xi \in X$ is in $f(E)$, then $(E) \cap f(E)$ contains an open dense subset of $(\xi)$.

Proof. Let $\xi \in X$ be a point of $f(E)$. Choose a point $\eta \in E$ mapping to $\xi$. Let $\mathfrak{p} \subset R$ be the prime corresponding to $\xi$ and let $\mathfrak{q} \subset S$ be the prime corresponding to $\eta$. Consider the diagram

$$\begin{array}{ccc}
\eta & \longrightarrow & E \cap Y' \\
\downarrow & & \downarrow \\
\xi & \longrightarrow & f(E) \cap X'
\end{array}$$

By Lemma 28.2 the set $E \cap Y'$ is constructible in $Y'$. It follows that we may replace $X$ by $X'$ and $Y$ by $Y'$. Hence we may assume that $R \subset S$ is an inclusion of domains, $\xi$ is the generic point of $X$, and $\eta$ is the generic point of $Y$. By Lemma 29.1 combined with Chevalley’s theorem (Theorem 28.9) we see that there exist dense opens $U \subset X$, $V \subset Y$ such that $f(V) \subset U$ and such that $f : V \to U$ maps constructible sets to constructible sets. Note that $E \cap V$ is constructible in $V$, see
Let $f : E \cap V$ be constructible in $U$ and contains $\xi$. By Topology, Lemma \[15.4\] we see that $f(E \cap V)$ contains a dense open $U' \subset U$. \qed

At the end of this section we present a few more results on images of maps on Spectra that have nothing to do with constructible sets.

**Lemma 29.3.** Let $\varphi : R \to S$ be a ring map. The following are equivalent:

1. The map $\text{Spec}(S) \to \text{Spec}(R)$ is surjective.
2. For any ideal $I \subset R$ the inverse image of $\sqrt{IS}$ in $R$ is equal to $\sqrt{I}$.
3. For any radical ideal $I \subset R$ the inverse image of $IS$ in $R$ is equal to $I$.
4. For every prime $p$ of $R$ the inverse image of $pS$ in $R$ is $p$.

In this case the same is true after any base change: Given a ring map $R \to R'$ the ring map $R' \to R' \otimes_R S$ has the equivalent properties (1), (2), (3) as well.

**Proof.** If $J \subset S$ is an ideal, then $\sqrt{\varphi^{-1}(J)} = \varphi^{-1}(\sqrt{J})$. This shows that (2) and (3) are equivalent. The implication (3) $\Rightarrow$ (4) is immediate. If $I \subset R$ is a radical ideal, then Lemma \[16.2\] guarantees that $I = \bigcap_{p \in \mathfrak{p}} \mathfrak{p}$. Hence (3) $\Rightarrow$ (2). By Lemma \[16.9\] we have $p = \varphi^{-1}(pS)$ if and only if $p$ is in the image. Hence (1) $\Leftrightarrow$ (4). Thus (1), (2), (3), and (4) are equivalent.

Assume (1) holds. Let $R \to R'$ be a ring map. Let $\mathfrak{p}' \subset R'$ be a prime ideal lying over the prime $\mathfrak{p}$ of $R$. To see that $\mathfrak{p}'$ is in the image of $\text{Spec}(R') \to \text{Spec}(R)$ we have to show that $(R' \otimes_R S) \otimes_{R'} \kappa(\mathfrak{p}')$ is not zero, see Lemma \[16.9\] But we have

$$(R' \otimes_R S) \otimes_{R'} \kappa(\mathfrak{p}') = S \otimes_R \kappa(\mathfrak{p}) \otimes_{\kappa(\mathfrak{p})} \kappa(\mathfrak{p}')$$

which is not zero as $S \otimes_R \kappa(\mathfrak{p})$ is not zero by assumption and $\kappa(\mathfrak{p}) \to \kappa(\mathfrak{p}')$ is an extension of fields. \qed

**Lemma 29.4.** Let $R$ be a domain. Let $\varphi : R \to S$ be a ring map. The following are equivalent:

1. The ring map $R \to S$ is injective.
2. The image $\text{Spec}(S) \to \text{Spec}(R)$ contains a dense set of points.
3. There exists a prime ideal $q \subset S$ whose inverse image in $R$ is $\emptyset$.

**Proof.** Let $K$ be the field of fractions of the domain $R$. Assume that $R \to S$ is injective. Since localization is exact we see that $K \to S \otimes_R K$ is injective. Hence there is a prime mapping to $\emptyset$ by Lemma \[16.9\]

Note that (0) is dense in $\text{Spec}(R)$, so that the last condition implies the second.

Suppose the second condition holds. Let $f \in R$, $f \neq 0$. As $R$ is a domain we see that $V(f)$ is a proper closed subset of $R$. By assumption there exists a prime $q$ of $S$ such that $\varphi(f) \notin q$. Hence $\varphi(f) \neq 0$. Hence $R \to S$ is injective. \qed

**Lemma 29.5.** Let $R \subset S$ be an injective ring map. Then $\text{Spec}(S) \to \text{Spec}(R)$ hits all the minimal primes of $\text{Spec}(R)$.

**Proof.** Let $\mathfrak{p} \subset R$ be a minimal prime. In this case $R_\mathfrak{p}$ has a unique prime ideal. Hence it suffices to show that $S_\mathfrak{p}$ is not zero. And this follows from the fact that localization is exact, see Proposition \[9.12\]

**Lemma 29.6.** Let $R \to S$ be a ring map. The following are equivalent:

1. The kernel of $R \to S$ consists of nilpotent elements.
2. The minimal primes of $R$ are in the image of $\text{Spec}(S) \to \text{Spec}(R)$.
(3) The image of \( \text{Spec}(S) \to \text{Spec}(R) \) is dense in \( \text{Spec}(R) \).

**Proof.** Let \( I = \ker(R \to S) \). Note that \( \sqrt{(0)} = \bigcap_{q \in S} q \), see Lemma 16.2. Hence \( \sqrt{I} = \bigcap_{q \in S} R \cap q \). Thus \( V(I) = V(\sqrt{I}) \) is the closure of the image of \( \text{Spec}(S) \to \text{Spec}(R) \). This shows that (1) is equivalent to (3). It is clear that (2) implies (3). Finally, assume (1). We may replace \( R \) by \( R/I \) and \( S \) by \( S/IS \) without affecting the topology of the spectra and the map. Hence the implication \( (1) \Rightarrow (2) \) follows from Lemma 29.5.

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**Lemma 29.7.** Let \( R \to S \) be a ring map. If a minimal prime \( p \subset R \) is in the image of \( \text{Spec}(S) \to \text{Spec}(R) \), then it is the image of a minimal prime.

**Proof.** Say \( p = q \cap R \). Then choose a minimal prime \( t \subset S \) with \( t \subset q \), see Lemma 16.2. By minimality of \( p \) we see that \( p = t \cap R \).

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### 30. Noetherian rings

A ring \( R \) is **Noetherian** if any ideal of \( R \) is finitely generated. This is clearly equivalent to the ascending chain condition for ideals of \( R \). By Lemma 27.9 it suffices to check that every prime ideal of \( R \) is finitely generated.

**Lemma 30.1.** Any finitely generated ring over a Noetherian ring is Noetherian. Any localization of a Noetherian ring is Noetherian.

**Proof.** The statement on localizations follows from the fact that any ideal \( J \subset S^{-1}R \) is of the form \( I \cdot S^{-1}R \). Any quotient \( R/I \) of a Noetherian ring \( R \) is Noetherian because any ideal \( I \subset R/I \) is of the form \( J/I \) for some ideal \( J \subset R \). Thus it suffices to show that if \( R \) is Noetherian so is \( R[X] \). Suppose \( J_1 \subset J_2 \subset \ldots \) is an ascending chain of ideals in \( R[X] \). Consider the ideals \( I_{i,d} \) defined as the ideal of elements of \( R \) which occur as leading coefficients of degree \( d \) polynomials in \( J_i \). Clearly \( I_{i,d} \subset I_{i',d'} \) whenever \( i \leq i' \) and \( d \leq d' \). By the ascending chain condition in \( R \) there are at most finitely many distinct ideals among all of the \( I_{i,d} \). (Hint: Any infinite set of elements of \( \mathbb{N} \times \mathbb{N} \) contains an increasing infinite sequence.) Take \( i_0 \) so large that \( I_{i_0,d} = I_{i_0,d} \) for all \( i \geq i_0 \) and all \( d \). Suppose \( f \in J_i \) for some \( i \geq i_0 \). By induction on the degree \( d = \deg(f) \) we show that \( f \in J_{i_0} \). Namely, there exists a \( g \in J_{i_0} \) whose degree is \( d \) and which has the same leading coefficient as \( f \). By induction \( f - g \in J_{i_0} \) and we win.

---

**Lemma 30.2.** If \( R \) is a Noetherian ring, then so is the formal power series ring \( R[[x_1, \ldots, x_n]] \).

**Proof.** Since \( R[[x_1, \ldots, x_{n+1}]] \cong R[[x_1, \ldots, x_n]][[x_{n+1}]] \) it suffices to prove the statement that \( R[[x]] \) is Noetherian if \( R \) is Noetherian. Let \( I \subset R[[x]] \) be a ideal. We have to show that \( I \) is a finitely generated ideal. For each integer \( d \) denote \( I_d = \{ a \in R \mid ax^d + \text{h.o.t.} \in I \} \). Then we see that \( I_0 \subset I_1 \subset \ldots \) stabilizes as \( R \) is Noetherian. Choose \( d_0 \) such that \( I_{d_0} = I_{d_0+1} = \ldots \). For each \( d \leq d_0 \) choose elements \( f_{d,j} \in I \cap (x^d), j = 1, \ldots, n_d \) such that if we write \( f_{d,j} = a_{d,j}x^d + \text{h.o.t.} \) then \( I_d = (a_{d,j}) \). Denote \( I' = (\{ f_{d,j} \}_{d=0, \ldots, d_0}, j=1, \ldots, n_d) \). Then it is clear that \( I' \subset I \). Pick \( f \in I \). First we may choose \( c_{d,i} \in R \) such that

\[
f - \sum c_{d,i}f_{d,i} \in (x^{d_0+1}) \cap I.
\]
Next, we can choose $c_{i,1} \in R$, $i = 1, \ldots, n_{d_0}$ such that
\[ f - \sum c_{d,i}f_{d,i} - \sum c_{i,1}x f_{d_0,i} \in (x^{d_0+2}) \cap I. \]
Next, we can choose $c_{i,2} \in R$, $i = 1, \ldots, n_{d_0}$ such that
\[ f - \sum c_{d,i}f_{d,i} - \sum c_{i,1}x f_{d_0,i} - \sum c_{i,2}x^2 f_{d_0,i} \in (x^{d_0+3}) \cap I. \]
And so on. In the end we see that
\[ f = \sum c_{d,i}f_{d,i} + \sum_i \left( \sum e_i c_{i,e} x^e \right) f_{d_0,i} \]
is contained in $I'$ as desired.

The following lemma, although easy, is useful because finite type $\mathbb{Z}$-algebras come up quite often in a technique called “absolute Noetherian reduction”.

**Lemma 30.3.** Any finite type algebra over a field is Noetherian. Any finite type algebra over $\mathbb{Z}$ is Noetherian.

**Proof.** This is immediate from Lemma 30.1 and the fact that fields are Noetherian rings and that $\mathbb{Z}$ is Noetherian ring (because it is a principal ideal domain).

**Lemma 30.4.** Let $R$ be a Noetherian ring.

(1) Any finite $R$-module is of finite presentation.

(2) Any finite type $R$-algebra is of finite presentation over $R$.

**Proof.** Let $M$ be a finite $R$-module. By Lemma 5.4 we can find a finite filtration of $M$ whose successive quotients are of the form $R/I$. Since any ideal is finitely generated, each of the quotients $R/I$ is finitely presented. Hence $M$ is finitely presented by Lemma 5.3. This proves (1). To see (2) note that any ideal of $R[x_1, \ldots, x_n]$ is finitely generated by Lemma 30.1.

**Lemma 30.5.** If $R$ is a Noetherian ring then $\text{Spec}(R)$ is a Noetherian topological space, see Topology, Definition 9.1.

**Proof.** This is because any closed subset of $\text{Spec}(R)$ is uniquely of the form $V(I)$ with $I$ a radical ideal, see Lemma 16.2. And this correspondence is inclusion reversing. Thus the result follows from the definitions.

**Lemma 30.6.** If $R$ is a Noetherian ring then $\text{Spec}(R)$ has finitely many irreducible components. In other words $R$ has finitely many minimal primes.

**Proof.** By Lemma 30.5 and Topology, Lemma 9.2 we see there are finitely many irreducible components. By Lemma 25.1 these correspond to minimal primes of $R$.

**Lemma 30.7.** Let $R \to S$ be a ring map. Let $R \to R'$ be of finite type. If $S$ is Noetherian, then the base change $S' = R' \otimes_R S$ is Noetherian.

**Proof.** By Lemma 13.2 finite type is stable under base change. Thus $S \to S'$ is of finite type. Since $S$ is Noetherian we can apply Lemma 30.1.

**Lemma 30.8.** Let $k$ be a field and let $R$ be a Noetherian $k$-algebra. If $K/k$ is a finitely generated field extension then $K \otimes_k R$ is Noetherian.
Proof. Since $K/k$ is a finitely generated field extension, there exists a finitely generated $k$-algebra $B \subset K$ such that $K$ is the fraction field of $B$. In other words, $K = S^{-1}B$ with $S = B \setminus \{0\}$. Then $K \otimes_k R = S^{-1}(B \otimes_k R)$. Then $B \otimes_k R$ is Noetherian by Lemma 30.7. Finally, $K \otimes_k R = S^{-1}(B \otimes_k R)$ is Noetherian by Lemma 30.3.

Here are some fun lemmas that are sometimes useful.

Lemma 30.9. Let $R$ be a ring and $p \subset R$ be a prime. There exists an $f \in R$, $f \notin p$ such that $R_f \to R_p$ is injective in each of the following cases

1. $R$ is a domain,
2. $R$ is Noetherian, or
3. $R$ is reduced and has finitely many minimal primes.

Proof. If $R$ is a domain, then $R \subset R_p$, hence $f = 1$ works. If $R$ is Noetherian, then the kernel $I$ of $R \to R_p$ is a finitely generated ideal and we can find $f \in R$, $f \notin p$ such that $IR_f = 0$. For this $f$ the map $R_f \to R_p$ is injective and $f$ works. If $R$ is reduced with finitely many minimal primes $p_1, \ldots, p_n$, then we can choose $f \in \cap_{p \notin p} p_i$, $f \notin p$. Indeed, if $p_i \notin p$ then there exist $f_i \in p_i$, $f_i \notin p$ and $f = \prod f_i$ works. For this $f$ we have $R_f \subset R_p$ because the minimal primes of $R_f$ correspond to minimal primes of $R_p$ and we can apply Lemma 24.2 (some details omitted).

Lemma 30.10. Any surjective endomorphism of a Noetherian ring is an isomorphism.

Proof. If $f : R \to R$ were such an endomorphism but not injective, then

$$\text{Ker}(f) \subset \text{Ker}(f \circ f) \subset \text{Ker}(f \circ f \circ f) \subset \ldots$$

would be a strictly increasing chain of ideals.

31. Locally nilpotent ideals

Definition 31.1. Let $R$ be a ring. Let $I \subset R$ be an ideal. We say $I$ is locally nilpotent if for every $x \in I$ there exists an $n \in \mathbb{N}$ such that $x^n = 0$. We say $I$ is nilpotent if there exists an $n \in \mathbb{N}$ such that $I^n = 0$.

Example 31.2. Let $R = k[x_n|n \in \mathbb{N}]$ be the polynomial ring in infinitely many variables over a field $k$. Let $I$ be the ideal generated by the elements $x_n^n$ for $n \in \mathbb{N}$ and $S = R/I$. Then the ideal $J \subset S$ generated by the images of $x_n$, $n \in \mathbb{N}$ is locally nilpotent, but not nilpotent. Indeed, since $S$-linear combinations of nilpotents are nilpotent, to prove that $J$ is locally nilpotent it is enough to observe that all its generators are nilpotent (which they obviously are). On the other hand, for each $n \in \mathbb{N}$ it holds that $x_{n+1}^n \notin I$, so that $J^n \neq 0$. It follows that $J$ is not nilpotent.

Lemma 31.3. Let $R \to R'$ be a ring map and let $I \subset R$ be a locally nilpotent ideal. Then $IR'$ is a locally nilpotent ideal of $R'$.

Proof. This follows from the fact that if $x, y \in R'$ are nilpotent, then $x + y$ is nilpotent too. Namely, if $x^n = 0$ and $y^n = 0$, then $(x + y)^{n+m-1} = 0$.

Lemma 31.4. Let $R$ be a ring and let $I \subset R$ be a locally nilpotent ideal. An element $x$ of $R$ is a unit if and only if the image of $x$ in $R/I$ is a unit.
Proof. If \( x \) is a unit in \( R \), then its image is clearly a unit in \( R/I \). It remains to prove the converse. Assume the image of \( y \in R \) in \( R/I \) is the inverse of the image of \( x \). Then \( xy = 1 - z \) for some \( z \in I \). This means that \( 1 \equiv z \) modulo \( xR \). Since \( z \) lies in the locally nilpotent ideal \( I \), we have \( z^N = 0 \) for some sufficiently large \( N \). It follows that \( 1 = 1^N \equiv z^N = 0 \) modulo \( xR \). In other words, \( x \) divides 1 and is hence a unit.

\[ \square \]

\textbf{Lemma 31.5}. Let \( R \) be a Noetherian ring. Let \( I, J \) be ideals of \( R \). Suppose \( J \subset \sqrt{I} \). Then \( J^n \subset I \) for some \( n \). In particular, in a Noetherian ring the notions of "locally nilpotent ideal" and "nilpotent ideal" coincide.

\textbf{Proof}. Say \( J = (f_1, \ldots, f_s) \). By assumption \( f_i^{d_i} \in I \). Take \( n = d_1 + d_2 + \ldots + d_s + 1 \).

\[ \square \]

\textbf{Lemma 31.6}. Let \( R \) be a ring. Let \( I \subset R \) be a locally nilpotent ideal. Then \( R \rightarrow R/I \) induces a bijection on idempotents.

\textbf{First proof of Lemma 31.6}. As \( I \) is locally nilpotent it is contained in every prime ideal. Hence \( \text{Spec}(R/I) = \text{V}(I) = \text{Spec}(R) \). Hence the lemma follows from Lemma 20.3

\textbf{Second proof of Lemma 31.6}. Suppose \( \overline{\tau} \in R/I \) is an idempotent. We have to lift \( \overline{\tau} \) to an idempotent of \( R \).

First, choose any lift \( f \in R \) of \( \overline{\tau} \), and set \( x = f^2 - f \). Then, \( x \in I \), so \( x \) is nilpotent (since \( I \) is locally nilpotent). Let now \( J \) be the ideal of \( R \) generated by \( x \). Then, \( J \) is nilpotent (not just locally nilpotent), since it is generated by the nilpotent \( x \).

Now, assume that we have found a lift \( e \in R \) of \( \overline{\phi} \) such that \( e^2 - e \in J^k \) for some \( k \geq 1 \). Let \( \phi' = e - (2e - 1)(e^2 - e) = 3e^2 - 2e^3 \), which is another lift of \( \overline{\phi} \) (since the idempotency of \( \overline{\phi} \) yields \( e^2 - e \in I \)). Then

\[ (e')^2 - e' = (4e^2 - 4e - 3)(e^2 - e)^2 \in J^{2k} \]

by a simple computation.

We thus have started with a lift \( e \) of \( \overline{\tau} \) such that \( e^2 - e \in J^k \), and obtained a lift \( e' \) of \( \overline{\tau} \) such that \( (e')^2 - e' \in J^{2k} \). This way we can successively improve the approximation (starting with \( e = f \), which fits the bill for \( k = 1 \)). Eventually, we reach a stage where \( J^k = 0 \), and at that stage we have a lift \( e \) of \( \overline{\tau} \) such that \( e^2 - e \in J^k = 0 \), that is, this \( e \) is idempotent.

We thus have seen that if \( \overline{\tau} \in R/I \) is any idempotent, then there exists a lift of \( \overline{\tau} \) which is an idempotent of \( R \). It remains to prove that this lift is unique. Indeed, let \( e_1 \) and \( e_2 \) be two such lifts. We need to show that \( e_1 = e_2 \).

By definition of \( e_1 \) and \( e_2 \), we have \( e_1 \equiv e_2 \mod I \), and both \( e_1 \) and \( e_2 \) are idempotent. From \( e_1 \equiv e_2 \mod I \), we see that \( e_1 - e_2 \in I \), so that \( e_1 - e_2 \) is nilpotent (since \( I \) is locally nilpotent). A straightforward computation (using the idempotency of \( e_1 \) and \( e_2 \)) reveals that \( (e_1 - e_2)^3 = e_1 - e_2 \). Using this and induction, we obtain \( (e_1 - e_2)^k = e_1 - e_2 \) for any positive integer \( k \). Since all high enough \( k \) satisfy \( (e_1 - e_2)^k = 0 \) (since \( e_1 - e_2 \) is nilpotent), this shows \( e_1 - e_2 = 0 \), so that \( e_1 = e_2 \), which completes our proof.

\[ \square \]
Lemma 31.7. Let $A$ be a possibly noncommutative algebra. Let $e \in A$ be an element such that $x = e^2 - e$ is nilpotent. Then there exists an idempotent of the form $e' = e + x(\sum a_{i,j}e^ix^j) \in A$ with $a_{i,j} \in \mathbb{Z}$.

Proof. Consider the ring $R_n = \mathbb{Z}[e]/((e^2 - e)^n)$. It is clear that if we can prove the result for each $R_n$ then the lemma follows. In $R_n$ consider the ideal $I = (e^2 - e)$ and apply Lemma 31.6.

Lemma 31.8. Let $R$ be a ring. Let $I \subset R$ be a locally nilpotent ideal. Let $n \geq 1$ be an integer which is invertible in $R/I$. Then

1. the $n$th power map $1 + I \rightarrow 1 + I$, $1 + x \mapsto (1 + x)^n$ is a bijection,
2. a unit of $R$ is a $n$th power if and only if its image in $R/I$ is a $n$th power.

Proof. Let $a \in R$ be a unit whose image in $R/I$ is the same as the image of $b^n$ with $b \in R$. Then $b$ is a unit (Lemma 31.4) and $ab^{-n} = 1 + x$ for some $x \in I$. Hence $ab^{-n} = c^n$ by part (1). Thus (2) follows from (1).

Proof of (1). This is true because there is an inverse to the map $1 + x \mapsto (1 + x)^n$. Namely, we can consider the map which sends $1 + x$ to

$$(1 + x)^{1/n} = 1 + \left(\frac{1}{n}\right)x + \left(\frac{1}{n}\right)^2x^2 + \left(\frac{1}{n}\right)^3x^3 + \ldots$$

$$= 1 + \frac{1}{n}x + \frac{1 - n}{2n^2}x^2 + \frac{(1 - n)(1 - 2n)}{6n^3}x^3 + \ldots$$

as in elementary calculus. This makes sense because the series is finite as $x^k = 0$ for all $k \gg 0$ and each coefficient $\left(\frac{1}{n}\right)^k \in \mathbb{Z}[1/n]$ (details omitted; observe that $n$ is invertible in $R$ by Lemma 31.4).

32. Curiosity

Lemma 23.3 explains what happens if $V(I)$ is open for some ideal $I \subset R$. But what if Spec($S^{-1}R$) is closed in Spec($R$)? The next two lemmas give a partial answer. For more information see Section 107.

Lemma 32.1. Let $R$ be a ring. Let $S \subset R$ be a multiplicative subset. Assume the image of the map Spec($S^{-1}R$) → Spec($R$) is closed. Then $S^{-1}R \cong R/I$ for some ideal $I \subset R$.

Proof. Let $I = \text{Ker}(R \rightarrow S^{-1}R)$ so that $V(I)$ contains the image. Say the image is the closed subset $V(I') \subset \text{Spec}(R)$ for some ideal $I' \subset R$. So $V(I') \subset V(I)$. For $f \in I'$ we see that $f/1 \in S^{-1}R$ is contained in every prime ideal. Hence $f^n$ maps to zero in $S^{-1}R$ for some $n \geq 1$ (Lemma 16.2). Hence $V(I') = V(I)$. Then this implies every $g \in S$ is invertible mod $I$. Hence we get ring maps $R/I \rightarrow S^{-1}R$ and $S^{-1}R \rightarrow R/I$. The first map is injective by choice of $I$. The second is the map $S^{-1}R \rightarrow S_{-1}(R/I) = R/I$ which has kernel $S^{-1}I$ because localization is exact. Since $S^{-1}I = 0$ we see also the second map is injective. Hence $S^{-1}R \cong R/I$.

Lemma 32.2. Let $R$ be a ring. Let $S \subset R$ be a multiplicative subset. Assume the image of the map Spec($S^{-1}R$) → Spec($R$) is closed. If $R$ is Noetherian, or Spec($R$) is a Noetherian topological space, or $S$ is finitely generated as a monoid, then $R \cong S^{-1}R 	imes R'$ for some ring $R'$.
**Proof.** By Lemma 32.1 we have $S^{-1}R \cong R/I$ for some ideal $I \subset R$. By Lemma 23.3 it suffices to show that $V(I)$ is open. If $R$ is Noetherian then $\text{Spec}(R)$ is a Noetherian topological space, see Lemma 30.3. If $\text{Spec}(R)$ is a Noetherian topological space, then the complement $\text{Spec}(R) \setminus V(I)$ is quasi-compact, see Topology, Lemma 12.13. Hence there exist finitely many $f_1, \ldots, f_n \in I$ such that $V(I) = V(f_1, \ldots, f_n)$. Since each $f_i$ maps to zero in $S^{-1}R$ there exists a $g \in S$ such that $gf_i = 0$ for $i = 1, \ldots, n$. Hence $D(g) = V(I)$ as desired. In case $S$ is finitely generated as a monoid, say $S$ is generated by $g_1, \ldots, g_m$, then $S^{-1}R \cong R_{g_1 \ldots g_m}$ and we conclude that $V(I) = D(g_1 \ldots g_m)$. □

### 33. Hilbert Nullstellensatz

**Theorem 33.1 (Hilbert Nullstellensatz).** Let $k$ be a field.

00FS (1) For any maximal ideal $m \subset k[x_1, \ldots, x_n]$ the field extension $k \subset \kappa(m)$ is finite.

00FW (2) Any radical ideal $I \subset k[x_1, \ldots, x_n]$ is the intersection of maximal ideals containing it.

The same is true in any finite type $k$-algebra.

**Proof.** It is enough to prove part (1) of the theorem for the case of a polynomial algebra $k[x_1, \ldots, x_n]$, because any finitely generated $k$-algebra is a quotient of such a polynomial algebra. We prove this by induction on $n$. The case $n = 0$ is clear. Suppose that $m$ is a maximal ideal in $k[x_1, \ldots, x_n]$. Let $p \subset k[x_n]$ be the intersection of $m$ with $k[x_n]$.

If $p \neq (0)$, then $p$ is maximal and generated by an irreducible monic polynomial $P$ (because of the Euclidean algorithm in $k[x_n]$). Then $k' = k[x_n]/p$ is a finite field extension of $k$ and contained in $\kappa(m)$. In this case we get a surjection

$$k'[x_1, \ldots, x_{n-1}] \to k'[x_1, \ldots, x_n] = k' \otimes_k k[x_1, \ldots, x_n] \twoheadrightarrow \kappa(m)$$

and hence we see that $\kappa(m)$ is a finite extension of $k'$ by induction hypothesis. Thus $\kappa(m)$ is finite over $k$ as well.

If $p = (0)$ we consider the ring extension $k[x_n] \subset k[x_1, \ldots, x_n]/m$. This is a finitely generated ring extension, hence of finite presentation by Lemmas 30.3 and 30.4. Thus the image of $\text{Spec}(k[x_1, \ldots, x_n]/m)$ in $\text{Spec}(k[x_n])$ is constructible by Theorem 28.9. Since the image contains $(0)$ we conclude that it contains a standard open $D(f)$ for some $f \in k[x_n]$ nonzero. Since clearly $D(f)$ is infinite we get a contradiction with the assumption that $k[x_1, \ldots, x_n]/m$ is a field (and hence has a spectrum consisting of one point).

To prove part (2) let $I \subset R$ be a radical ideal, with $R$ of finite type over $k$. Let $f \in R$, $f \notin I$. Pick a maximal ideal $m'$ in the nonzero ring $R_f/IR_f = (R/I)_f$. Let $m \subset R$ be the inverse image of $m'$ in $R$. We see that $I \subset m$ and $f \notin m$. If we show that $m$ is a maximal ideal of $R$, then we are done. We clearly have

$$k \subset R/m \subset \kappa(m').$$

By part (1) the field extension $k \subset \kappa(m')$ is finite. Hence $R/m$ is a field by Fields, Lemma 8.10. Thus $m$ is maximal and the proof is complete. □
Lemma 33.2. Let \( R \) be a ring. Let \( K \) be a field. If \( R \subset K \) and \( K \) is of finite type over \( R \), then there exists an \( f \in R \) such that \( R_f \) is a field, and \( R_f \subset K \) is a finite field extension.

Proof. By Lemma 29.2 there exist a nonempty open \( U \subset \text{Spec}(R) \) contained in the image \( \{ (0) \} \) of \( \text{Spec}(K) \to \text{Spec}(R) \). Choose \( f \in R \), \( f \neq 0 \) such that \( D(f) \subset U \), i.e., \( D(f) = \{ (0) \} \). Then \( R_f \) is a domain whose spectrum has exactly one point and \( R_f \) is a field. Then \( K \) is a finitely generated algebra over the field \( R_f \) and hence a finite field extension of \( R_f \) by the Hilbert Nullstellensatz (Theorem 33.1).

34. Jacobson rings

Let \( R \) be a ring. The closed points of \( \text{Spec}(R) \) are the maximal ideals of \( R \). Often rings which occur naturally in algebraic geometry have lots of maximal ideals. For example finite type algebras over a field or over \( \mathbb{Z} \). We will show that these are examples of Jacobson rings.

Definition 34.1. Let \( R \) be a ring. We say that \( R \) is a Jacobson ring if every radical ideal \( I \) is the intersection of the maximal ideals containing it.

Lemma 34.2. Any algebra of finite type over a field is Jacobson.

Proof. This follows from Theorem 33.1 and Definition 34.1.

Lemma 34.3. Let \( R \) be a ring. If every prime ideal of \( R \) is the intersection of the maximal ideals containing it, then \( R \) is Jacobson.

Proof. This is immediately clear from the fact that every radical ideal \( I \subset R \) is the intersection of the primes containing it. See Lemma 16.2.

Lemma 34.4. A ring \( R \) is Jacobson if and only if \( \text{Spec}(R) \) is Jacobson, see Topology, Definition 18.1.

Proof. Suppose \( R \) is Jacobson. Let \( Z \subset \text{Spec}(R) \) be a closed subset. We have to show that the set of closed points in \( Z \) is dense in \( Z \). Let \( U \subset \text{Spec}(R) \) be an open such that \( U \cap Z \) is nonempty. We have to show \( Z \cap U \) contains a closed point of \( \text{Spec}(R) \). We may assume \( U = D(f) \) as standard opens form a basis for the topology on \( \text{Spec}(R) \). According to Lemma 16.2 we may assume that \( Z = V(I) \), where \( I \) is a radical ideal. We see also that \( f \notin I \). By assumption, there exists a maximal ideal \( \mathfrak{m} \subset R \) such that \( I \subset \mathfrak{m} \) but \( f \notin \mathfrak{m} \). Hence \( \mathfrak{m} \in D(f) \cap V(I) = U \cap Z \) as desired.

Conversely, suppose that \( \text{Spec}(R) \) is Jacobson. Let \( I \subset R \) be a radical ideal. Let \( J = \bigcap_{\mathfrak{m} \subset \mathfrak{m}} \) be the intersection of the maximal ideals containing \( I \). Clearly \( J \) is a radical ideal, \( V(J) \subset V(I) \), and \( V(J) \) is the smallest closed subset of \( V(I) \) containing all the closed points of \( V(I) \). By assumption we see that \( V(J) = V(I) \). But Lemma 16.2 shows there is a bijection between Zariski closed sets and radical ideals, hence \( I = J \) as desired.

Lemma 34.5. Let \( R \) be a ring. If \( R \) is not Jacobson there exist a prime \( \mathfrak{p} \subset R \), an element \( f \in R \) such that the following hold

1. \( \mathfrak{p} \) is not a maximal ideal,
2. \( f \notin \mathfrak{p} \),
3. \( V(\mathfrak{p}) \cap D(f) = \{ \mathfrak{p} \} \), and
(4) \((R/p)_f\) is a field.

On the other hand, if \(R\) is Jacobson, then for any pair \((p, f)\) such that (1) and (2) hold the set \(V(p) \cap D(f)\) is infinite.

**Proof.** Assume \(R\) is not Jacobson. By Lemma 34.4 this means there exists a closed subset \(T \subset \text{Spec}(R)\) whose set \(T_0 \subset T\) of closed points is not dense in \(T\). Choose an \(f \in R\) such that \(T_0 \subset V(f)\) but \(T \not\subset V(f)\). Note that \(T \cap D(f)\) is homeomorphic to \(\text{Spec}((R/I)_f)\) if \(T = V(I)\), see Lemmas 16.7 and 16.6. As any ring has a maximal ideal (Lemma 16.2) we can choose a closed point \(t\) of space \(T \cap D(f)\). Then \(t\) corresponds to a prime ideal \(p \subset R\) which is not maximal (as \(t \not\in T_0\)). Thus (1) holds. By construction \(f \not\in p\), hence (2). As \(t\) is a closed point of \(T \cap D(f)\) we see that \(V(p) \cap D(f) = \{p\}\), i.e., (3) holds. Hence we conclude that \((R/p)_f\) is a domain whose spectrum has one point, hence (4) holds (for example combine Lemmas 17.2 and 24.1).

Conversely, suppose that \(R\) is Jacobson and \((p, f)\) satisfy (1) and (2). If \(V(p) \cap V(f) = \{p, q_1, \ldots, q_n\}\) then \(p \neq q_i\) implies there exists an element \(g \in R\) such that \(g \not\in p\) but \(g \in q_i\) for all \(i\). Hence \(V(p) \cap D(fg) = \{p\}\) which is impossible since each locally closed subset of \(\text{Spec}(R)\) contains at least one closed point as \(\text{Spec}(R)\) is a Jacobson topological space.

**Lemma 34.6.** The ring \(\mathbb{Z}\) is a Jacobson ring. More generally, let \(R\) be a ring such that

1. \(R\) is a domain,
2. \(R\) is Noetherian,
3. any nonzero prime ideal is a maximal ideal, and
4. \(R\) has infinitely many maximal ideals.

Then \(R\) is a Jacobson ring.

**Proof.** Let \(R\) satisfy (1), (2), (3) and (4). The statement means that \((0) = \bigcap_{m \subset R} m\). Since \(R\) has infinitely many maximal ideals it suffices to show that any nonzero \(x \in R\) is contained in at most finitely many maximal ideals, in other words that \(V(x)\) is finite. By Lemma 16.7 we see that \(V(x)\) is homeomorphic to \(\text{Spec}(R/xR)\). By assumption (3) every prime of \(R/xR\) is minimal and hence corresponds to an irreducible component of \(\text{Spec}(R)\) (Lemma 25.1). As \(R/xR\) is Noetherian, the topological space \(\text{Spec}(R/xR)\) is Noetherian (Lemma 30.5) and has finitely many irreducible components (Topology, Lemma 9.2). Thus \(V(x)\) is finite as desired.

**Example 34.7.** Let \(A\) be an infinite set. For each \(\alpha \in A\), let \(k_\alpha\) be a field. We claim that \(R = \prod_{\alpha \in A} k_\alpha\) is Jacobson. First, note that any element \(f \in R\) has the form \(f = uf\), with \(u \in R\) a unit and \(e \in R\) an idempotent (left to the reader). Hence \(D(f) = D(e)\), and \(R_f = R_e = R/(1 - e)\) is a quotient of \(R\). Actually, any ring with this property is Jacobson. Namely, say \(p \subset R\) is a prime ideal and \(f \in R\), \(f \not\in p\). We have to find a maximal ideal \(m\) of \(R\) such that \(p \subset m\) and \(f \not\in m\). Because \(R_f\) is a quotient of \(R\) we see that any maximal ideal of \(R_f\) corresponds to a maximal ideal of \(R\) not containing \(f\). Hence the result follows by choosing a maximal ideal of \(R_f\) containing \(pR_f\).

**Example 34.8.** A domain \(R\) with finitely many maximal ideals \(m_i, i = 1, \ldots, n\) is not a Jacobson ring, except when it is a field. Namely, in this case \((0)\) is not the
Let \( (0) \neq m_1 \cap m_2 \cap \ldots \cap m_n \supset m_1 \cdot m_2 \cdot \ldots \cdot m_n \neq 0 \). In particular a discrete valuation ring, or any local ring with at least two prime ideals is not a Jacobson ring.

**Lemma 34.9.** Let \( R \to S \) be a ring map. Let \( m \subset R \) be a maximal ideal. Let \( q \subset S \) be a prime ideal lying over \( m \) such that \( \kappa(m) \subset \kappa(q) \) is an algebraic field extension. Then \( q \) is a maximal ideal of \( S \).

**Proof.** Consider the diagram

\[
\begin{array}{ccc}
S & \longrightarrow & S/q \\
\downarrow & & \downarrow \\
R & \longrightarrow & \kappa(q)
\end{array}
\]

We see that \( \kappa(m) \subset S/q \subset \kappa(q) \). Because the field extension \( \kappa(m) \subset \kappa(q) \) is algebraic, any ring between \( \kappa(m) \) and \( \kappa(q) \) is a field (Fields, Lemma 8.10). Thus \( S/q \) is a field, and a posteriori equal to \( \kappa(q) \).

**Lemma 34.10.** Suppose that \( k \) is a field and suppose that \( V \) is a nonzero vector space over \( k \). Assume the dimension of \( V \) (which is a cardinal number) is smaller than the cardinality of \( k \). Then for any linear operator \( T : V \to V \) there exists some monic polynomial \( P(t) \in k[t] \) such that \( P(T) \) is not invertible.

**Proof.** If not then \( V \) inherits the structure of a vector space over the field \( k(t) \). But the dimension of \( k(t) \) over \( k \) is at least the cardinality of \( k \) for example due to the fact that the elements \( \frac{1}{t^i} \) are \( k \)-linearly independent.

Here is another version of Hilbert’s Nullstellensatz.

**Theorem 34.11.** Let \( k \) be a field. Let \( S \) be a \( k \)-algebra generated over \( k \) by the elements \( \{x_i\}_{i \in I} \). Assume the cardinality of \( I \) is smaller than the cardinality of \( k \). Then

1. for all maximal ideals \( m \subset S \) the field extension \( k \subset \kappa(m) \) is algebraic, and
2. \( S \) is a Jacobson ring.

**Proof.** If \( I \) is finite then the result follows from the Hilbert Nullstellensatz, Theorem 33.1. In the rest of the proof we assume \( I \) is infinite. It suffices to prove the result for \( m \subset k[\{x_i\}_{i \in I}] \) maximal in the polynomial ring on variables \( x_i \), since \( S \) is a quotient of this. As \( I \) is infinite the set of monomials \( x_{i_1}^{e_1} \ldots x_{i_r}^{e_r} \) : \( i_1, \ldots, i_r \in I \) and \( e_1, \ldots, e_r \geq 0 \) has cardinality at most equal to the cardinality of \( I \). Because the cardinality of \( I \times \ldots \times I \) is the cardinality of \( I \), and also the cardinality of \( \bigcup_{n \geq 0} I^n \) has the same cardinality. (If \( I \) is finite, then this is not true and in that case this proof only works if \( k \) is uncountable.)

To arrive at a contradiction pick \( T \in \kappa(m) \) transcendental over \( k \). Note that the \( k \)-linear map \( T : \kappa(m) \to \kappa(m) \) given by multiplication by \( T \) has the property that \( P(T) \) is invertible for all monic polynomials \( P(t) \in k[t] \). Also, \( \kappa(m) \) has dimension at most the cardinality of \( I \) over \( k \) since it is a quotient of the vector space \( k[\{x_i\}_{i \in I}] \) over \( k \) (whose dimension is \( \# I \) as we saw above). This is impossible by Lemma 34.10.

To show that \( S \) is Jacobson we argue as follows. If not then there exists a prime \( q \subset S \) and an element \( f \in S \), \( f \notin q \) such that \( q \) is not maximal and \( (S/q)_f \) is a field,
see Lemma 34.5. But note that $(S/q)_f$ is generated by at most $\#I + 1$ elements. Hence the field extension $k \subset (S/q)_f$ is algebraic (by the first part of the proof). This implies that $\kappa(q)$ is an algebraic extension of $k$ hence $q$ is maximal by Lemma 34.9. This contradiction finishes the proof. \hfill\square

**Lemma 34.12.** Let $k$ be a field. Let $S$ be a $k$-algebra. For any field extension $k \subset K$ whose cardinality is larger than the cardinality of $S$ we have

1. for every maximal ideal $m$ of $S_K$ the field $\kappa(m)$ is algebraic over $K$, and
2. $S_K$ is a Jacobson ring.

**Proof.** Choose $k \subset K$ such that the cardinality of $K$ is greater than the cardinality of $S$. Since the elements of $S$ generate the $K$-algebra $S_K$ we see that Theorem 34.11 applies. \hfill\square

**Example 34.13.** The trick in the proof of Theorem 34.11 really does not work if $k$ is a countable field and $I$ is countable too. Let $k$ be a countable field. Let $x$ be a variable, and let $k(x)$ be the field of rational functions in $x$. Consider the polynomial algebra $R = k[x, \{x_f\}]_{f \in k[x]-\{0\}}$. Let $I = \{f x_f - 1\}_{f \in k[x]-\{0\}}$. Note that $I$ is a proper ideal in $R$. Choose a maximal ideal $I \subset m$. Then $k \subset R/m$ is isomorphic to $k(x)$, and is not algebraic over $k$.

**Lemma 34.14.** Let $R$ be a Jacobson ring. Let $f \in R$. The ring $R_f$ is Jacobson and maximal ideals of $R_f$ correspond to maximal ideals of $R$ not containing $f$.

**Proof.** By Topology, Lemma 18.5 we see that $D(f) = \text{Spec}(R_f)$ is Jacobson and that closed points of $D(f)$ correspond to closed points in $\text{Spec}(R)$ which happen to lie in $D(f)$. Thus $R_f$ is Jacobson by Lemma 34.4. \hfill\square

**Example 34.15.** Here is a simple example that shows Lemma 34.14 to be false if $R$ is not Jacobson. Consider the ring $R = Z_{(2)}$, i.e., the localization of $Z$ at the prime $(2)$. The localization of $R$ at the element $2$ is isomorphic to $Q$, in a formula: $R_2 \cong Q$. Clearly the map $R \rightarrow R_2$ maps the closed point of $\text{Spec}(Q)$ to the generic point of $\text{Spec}(R)$.

**Example 34.16.** Here is a simple example that shows Lemma 34.14 is false if $R$ is Jacobson but we localize at infinitely many elements. Namely, let $R = Z$ and consider the localization $(R \setminus \{0\})^{-1} R \cong Q$ of $R$ at the set of all nonzero elements. Clearly the map $Z \rightarrow Q$ maps the closed point of $\text{Spec}(Q)$ to the generic point of $\text{Spec}(Z)$.

**Lemma 34.17.** Let $R$ be a Jacobson ring. Let $I \subset R$ be an ideal. The ring $R/I$ is Jacobson and maximal ideals of $R/I$ correspond to maximal ideals of $R$ containing $I$.

**Proof.** The proof is the same as the proof of Lemma 34.14. \hfill\square

**Lemma 34.18.** Let $R$ be a Jacobson ring. Let $K$ be a field. Let $R \subset K$ and $K$ is of finite type over $R$. Then $R$ is a field and $K/R$ is a finite field extension.

**Proof.** First note that $R$ is a domain. By Lemma 33.2 we see that $R_f$ is a field and $K/R_f$ is a finite field extension for some nonzero $f \in R$. Hence $(0)$ is a maximal ideal of $R_f$ and by Lemma 34.14 we conclude $(0)$ is a maximal ideal of $R$. \hfill\square

**Proposition 34.19.** Let $R$ be a Jacobson ring. Let $R \rightarrow S$ be a ring map of finite type. Then
The ring $S$ is Jacobson.

(2) The map $\text{Spec}(S) \to \text{Spec}(R)$ transforms closed points to closed points.

(3) For $m' \subset S$ maximal lying over $m \subset R$ the field extension $\kappa(m')/\kappa(m)$ is finite.

**Proof.** Let $m' \subset S$ be a maximal ideal and $R \cap m' = m$. Then $R/m \to S/m'$ satisfies the conditions of Lemma 34.18 by Lemma 34.17. Hence $R/m$ is a field and $m$ a maximal ideal and the induced residue field extension is finite. This proves (2) and (3).

If $S$ is not Jacobson, then by Lemma 34.5 there exists a non-maximal prime ideal $q$ of $S$ and an $g \in S$, $g \not\in q$ such that $(S/q)_{q'}$ is a field. To arrive at a contradiction we show that $q$ is a maximal ideal. Let $p = q \cap R$. Then $R/p \to (S/q)_{q'}$ satisfies the conditions of Lemma 34.18 by Lemma 34.17. Hence $R/p$ is a field and the field extension $\kappa(p) \to (S/q)_{q'} = \kappa(q)$ is finite, thus algebraic. Then $q$ is a maximal ideal of $S$ by Lemma 34.9. □

**Lemma 34.20.** Any finite type algebra over $\mathbb{Z}$ is Jacobson.

**Proof.** Combine Lemma 34.6 and Proposition 34.19. □

**Lemma 34.21.** Let $R \to S$ be a finite type ring map of Jacobson rings. Denote $X = \text{Spec}(R)$ and $Y = \text{Spec}(S)$. Write $f : Y \to X$ the induced map of spectra. Let $E \subset Y = \text{Spec}(S)$ be a constructible set. Denote with a subscript $0$ the set of closed points of a topological space.

1. We have $f(E)_0 = f(E_0) = X_0 \cap f(E)$.
2. A point $\xi \in X$ is in $f(E)$ if and only if $\{\xi\} \cap f(E_0)$ is dense in $\{\xi\}$.

**Proof.** We have a commutative diagram of continuous maps

$$
\begin{array}{ccc}
E & \longrightarrow & Y \\
\downarrow & & \downarrow \\
\{f(E)\} & \longrightarrow & X \\
\end{array}
$$

Suppose $x \in f(E)$ is closed in $f(E)$. Then $f^{-1}(\{x\}) \cap E$ is nonempty and closed in $E$. Applying Topology, Lemma 18.5 to both inclusions

$$
f^{-1}(\{x\}) \cap E \subset E \subset Y
$$

we find there exists a point $y \in f^{-1}(\{x\}) \cap E$ which is closed in $Y$. In other words, there exists $y \in Y_0$ and $y \in E_0$ mapping to $x$. Hence $x \in f(E_0)$. This proves that $f(E)_0 \subset f(E_0)$. Proposition 34.19 implies that $f(E_0) \subset X_0 \cap f(E)$. The inclusion $X_0 \cap f(E) \subset f(E)_0$ is trivial. This proves the first assertion.

Suppose that $\xi \in f(E)$. According to Lemma 29.2 the set $f(E) \cap \{\xi\}$ contains a dense open subset of $\{\xi\}$. Since $X$ is Jacobson we conclude that $f(E) \cap \{\xi\}$ contains a dense set of closed points, see Topology, Lemma 18.5. We conclude by part (1) of the lemma.

On the other hand, suppose that $\{\xi\} \cap f(E_0)$ is dense in $\{\xi\}$. By Lemma 28.3 there exists a ring map $S \to S'$ of finite presentation such that $E$ is the image of $Y' := \text{Spec}(S') \to Y$. Then $E_0$ is the image of $Y'_0$ by the first part of the lemma.
applied to the ring map $S \to S'$. Thus we may assume that $E = Y$ by replacing $S$ by $S'$. Suppose $\xi$ corresponds to $p \subset R$. Consider the diagram

$$
\begin{array}{c}
S 
\xrightarrow{\cdot p} S/pS \\
\uparrow \\
R 
\xrightarrow{\cdot p} R/p
\end{array}
$$

This diagram and the density of $f(Y_0) \cap V(p)$ in $V(p)$ shows that the morphism $R/p \to S/pS$ satisfies condition (2) of Lemma 29.4. Hence we conclude there exists a prime $\bar{q} \subset S/pS$ mapping to $(0)$. In other words the inverse image $q$ of $\bar{q}$ in $S$ maps to $p$ as desired. □

The conclusion of the lemma above is that we can read off the image of $f$ from the set of closed points of the image. This is a little nicer in case the map is of finite presentation because then we know that images of a constructible is constructible. Before we state it we introduce some notation. Denote $\text{Constr}(X)$ the set of constructible sets. Let $R \to S$ be a ring map. Denote $X = \text{Spec}(R)$ and $Y = \text{Spec}(S)$. Write $f : Y \to X$ the induced map of spectra. Denote with a subscript $0$ the set of closed points of a topological space.

**Lemma 34.22.** With notation as above. Assume that $R$ is a Noetherian Jacobson ring. Further assume $R \to S$ is of finite type. There is a commutative diagram

$$
\begin{array}{c}
\text{Constr}(Y) 
\xrightarrow{E \to E_0} \text{Constr}(Y_0) \\
\downarrow \\
\text{Constr}(X) 
\xrightarrow{E \to E_0} \text{Constr}(X_0)
\end{array}
$$

where the horizontal arrows are the bijections from Topology, Lemma 18.8.

**Proof.** Since $R \to S$ is of finite type, it is of finite presentation, see Lemma 30.4. Thus the image of a constructible set in $X$ is constructible in $Y$ by Chevalley’s theorem (Theorem 28.9). Combined with Lemma 34.21 the lemma follows. □

To illustrate the use of Jacobson rings, we give the following two examples.

**Example 34.23.** Let $k$ be a field. The space $\text{Spec}(k[x, y]/(xy))$ has two irreducible components: namely the $x$-axis and the $y$-axis. As a generalization, let

$$
R = k[x_{11}, x_{12}, x_{21}, x_{22}, y_{11}, y_{12}, y_{21}, y_{22}] / \mathfrak{a},
$$

where $\mathfrak{a}$ is the ideal in $k[x_{11}, x_{12}, x_{21}, x_{22}, y_{11}, y_{12}, y_{21}, y_{22}]$ generated by the entries of the $2 \times 2$ product matrix

$$
\begin{pmatrix}
x_{11} & x_{12} \\
x_{21} & x_{22}
\end{pmatrix}
\begin{pmatrix}
y_{11} & y_{12} \\
y_{21} & y_{22}
\end{pmatrix}.
$$

In this example we will describe $\text{Spec}(R)$.

To prove the statement about $\text{Spec}(k[x, y]/(xy))$ we argue as follows. If $p \subset k[x, y]$ is any ideal containing $xy$, then either $x$ or $y$ would be contained in $p$. Hence the minimal such prime ideals are just $(x)$ and $(y)$. In case $k$ is algebraically closed, the max-$\text{Spec}$ of these components can then be visualized as the point sets of $y$- and $x$-axis.
For the generalization, note that we may identify the closed points of the spectrum of \( k[x_{11}, x_{12}, x_{21}, x_{22}, y_{11}, y_{12}, y_{21}, y_{22}] \) with the space of matrices

\[
\left\{ (X, Y) \in \text{Mat}(2, k) \times \text{Mat}(2, k) \mid X = \begin{pmatrix} x_{11} & x_{12} \\ x_{21} & x_{22} \end{pmatrix}, \ Y = \begin{pmatrix} y_{11} & y_{12} \\ y_{21} & y_{22} \end{pmatrix} \right\}
\]

at least if \( k \) is algebraically closed. Now define a group action of \( \text{GL}(2, k) \times \text{GL}(2, k) \times \text{GL}(2, k) \) on the space of matrices \( \{(X, Y)\} \) by

\[
(g_1, g_2, g_3) \times (X, Y) \mapsto ((g_1Xg_2^{-1}, g_2Yg_3^{-1})).
\]

Here, also observe that the algebraic set

\[
\text{GL}(2, k) \times \text{GL}(2, k) \times \text{GL}(2, k) \subset \text{Mat}(2, k) \times \text{Mat}(2, k) \times \text{Mat}(2, k)
\]

is irreducible since it is the max spectrum of the domain

\[
k[x_{11}, x_{12}, \ldots, x_{21}, x_{22}, (x_{11}x_{22} - x_{12}x_{21})^{-1}, (y_{11}y_{22} - y_{12}y_{21})^{-1}, (z_{11}z_{22} - z_{12}z_{21})^{-1}].
\]

Since the image of irreducible an algebraic set is still irreducible, it suffices to classify the orbits of the set \( \{(X, Y) \in \text{Mat}(2, k) \times \text{Mat}(2, k) \mid XY = 0 \} \) and take their closures. From standard linear algebra, we are reduced to the following three cases:

1. \( \exists (g_1, g_2) \) such that \( g_1Xg_2^{-1} = I_{2 \times 2} \). Then \( Y \) is necessarily 0, which as an algebraic set is invariant under the group action. It follows that this orbit is contained in the irreducible algebraic set defined by the prime ideal \((y_{11}, y_{12}, y_{21}, y_{22})\). Taking the closure, we see that \((y_{11}, y_{12}, y_{21}, y_{22})\) is actually a component.

2. \( \exists (g_1, g_2) \) such that

\[
g_1Xg_2^{-1} = \begin{pmatrix} 1 & 0 \\ 0 & 0 \end{pmatrix}.
\]

This case occurs if and only if \( X \) is a rank 1 matrix, and furthermore, \( Y \) is killed by such an \( X \) if and only if

\[
x_{11}y_{11} + x_{12}y_{21} = 0; \quad x_{11}y_{12} + x_{12}y_{22} = 0;
\]

\[
x_{21}y_{11} + x_{22}y_{21} = 0; \quad x_{21}y_{12} + x_{22}y_{22} = 0.
\]

Fix a rank 1 \( X \), such non zero \( Y \)'s satisfying the above equations form an irreducible algebraic set for the following reason (\( Y = 0 \) is contained the previous case): \( 0 = g_1Xg_2^{-1}g_2Y \) implies that

\[
g_2Y = \begin{pmatrix} 0 & 0 \\ y_{21}' & y_{22}' \end{pmatrix}.
\]

With a further \( \text{GL}(2, k) \) action on the right by \( g_3 \), \( g_2Y \) can be brought into

\[
g_2Yg_3^{-1} = \begin{pmatrix} 0 & 0 \\ 0 & 1 \end{pmatrix},
\]

and thus such \( Y \)'s form an irreducible algebraic set isomorphic to the image of \( \text{GL}(2, k) \) under this action. Finally, notice that the “rank 1” condition for \( X \)'s forms an open dense subset of the irreducible algebraic set \( \det X = x_{11}x_{22} - x_{12}x_{21} = 0 \). It now follows that all the five equations define an irreducible component \((x_{11}y_{11} + x_{12}y_{21}, x_{11}y_{12} + x_{12}y_{22}, x_{21}y_{11} + x_{22}y_{21}, x_{21}y_{12} + x_{22}y_{22}, x_{11}x_{22} - x_{12}x_{21})\) in the open subset of the space of pairs of nonzero matrices. It can be shown that the pair of equations
Let \( R \) be a finite ring extension. Then \( R \) is integral.

**Example 34.24.** For another example, consider \( R = k[t_{ij}]_{i,j=1}^n/\mathfrak{a} \), where \( \mathfrak{a} \) is the ideal generated by the entries of the product matrix \( T^2 - T \). From linear algebra, we know that under the \( GL(n, k) \)-action defined by \( g, T \mapsto gTg^{-1} \), \( T \) is classified by its rank and each orbit is contained in one such orbit. Next we will show that any two different orbits are necessarily disjoint. For this purpose we only need to cook up polynomial functions that take different values on different orbits. In characteristic 0 cases, such a function can be taken to be \( f(t_{ij}) = \text{trace}(T) = \sum_{i=1}^n t_{ii} \). In positive characteristic cases, things are slightly more tricky since we might have \( \text{trace}(T) = 0 \) even if \( T \neq 0 \). For instance, \( \text{char} = 3 \)

\[
\begin{pmatrix}
1 & 1 \\
1 & 1 \\
\end{pmatrix}
\]

Thus \( \text{trace} \left( \begin{pmatrix} 1 & 1 \\ 1 & 1 \end{pmatrix} \right) = 3 = 0 \).

Anyway, these components can be separated using other functions. For instance, in the characteristic 3 case, \( \text{tr}(\wedge^3 T) \) takes value 1 on the components corresponding to \( \text{diag}(1, 1, 1) \) and 0 on other components.

### 35. Finite and integral ring extensions

**Definition 35.1.** Let \( \varphi : R \to S \) be a ring map.

1. An element \( s \in S \) is **integral over** \( R \) if there exists a monic polynomial \( P(x) \in R[x] \) such that \( P(s) = 0 \), where \( P^\varphi(x) \in S[x] \) is the image of \( P \) under \( \varphi : R[x] \to S[x] \).

2. The ring map \( \varphi \) is **integral** if every \( s \in S \) is integral over \( R \).

**Lemma 35.2.** Let \( \varphi : R \to S \) be a ring map. Let \( y \in S \). If there exists a finite \( R \)-submodule \( M \) of \( S \) such that \( 1 \in M \) and \( yM \subset M \), then \( y \) is integral over \( R \).

**Proof.** Let \( x_1 = 1 \in M \) and \( x_i \in M \), \( i = 2, \ldots, n \) be a finite set of elements generating \( M \) as an \( R \)-module. Write \( yx_i = \sum \varphi(a_{ij})x_j \) for some \( a_{ij} \in R \). Let \( P(T) \in R[T] \) be the characteristic polynomial of the \( n \times n \) matrix \( A = (a_{ij}) \). By Lemma 15.1 we see \( P(A) = 0 \). By construction the map \( \pi : R^n \to M, (a_1, \ldots, a_n) \mapsto \sum \varphi(a_i)x_i \) commutes with \( A : R^n \to R^n \) and multiplication by \( y \). In a formula \( \pi(Av) = \pi(y(Av)) \). Thus \( P(y) = P(y) \cdot 1 = P(y) \cdot 1 = P(y \cdot \pi((1, 0, \ldots, 0)) = \pi(P(A)(1, 0, \ldots, 0)) = 0 \).

**Lemma 35.3.** A finite ring extension is integral.

**Proof.** Let \( R \to S \) be finite. Let \( y \in S \). Apply Lemma 35.2 to \( M = S \) to see that \( y \) is integral over \( R \).

**Lemma 35.4.** Let \( \varphi : R \to S \) be a ring map. Let \( s_1, \ldots, s_n \) be a finite set of elements of \( S \). In this case \( s_i \) is integral over \( R \) for all \( i = 1, \ldots, n \) if and only if there exists an \( R \)-subalgebra \( S' \subset S \) finite over \( R \) containing all of the \( s_i \).
Suppose that each \( s_i \) is integral, then the subalgebra generated by \( \varphi(R) \) and the \( s_i \) is finite over \( R \). Namely, if \( s_i \) satisfies a monic equation of degree \( d_i \) over \( R \), then this subalgebra is generated as an \( R \)-module by the elements \( s_i^{e_i} \ldots s_n^{e_n} \) with \( 0 \leq e_i \leq d_i - 1 \). Conversely, suppose given a finite \( R \)-subalgebra \( S' \) containing all the \( s_i \). Then all of the \( s_i \) are integral by Lemma 35.3.

\[ \square \]

Lemma 35.5. Let \( R \rightarrow S \) be a ring map. The following are equivalent:

1. \( R \rightarrow S \) is finite,
2. \( R \rightarrow S \) is integral and of finite type, and
3. there exist \( x_1, \ldots, x_n \in S \) which generate \( S \) as an algebra over \( R \) such that each \( x_i \) is integral over \( R \).

Proof. Clear from Lemma 35.4.

Lemma 35.6. Suppose that \( R \rightarrow S \) and \( S \rightarrow T \) are integral ring maps. Then \( R \rightarrow T \) is integral.

Proof. Let \( t \in T \). Let \( P(x) \in S[x] \) be a monic polynomial such that \( P(t) = 0 \). Apply Lemma 35.4 to the finite set of coefficients of \( P \). Hence \( t \) is integral over some subalgebra \( S' \subset S \) finite over \( R \). Apply Lemma 35.4 again to find a subalgebra \( T' \subset T \) finite over \( S' \) and containing \( t \). Lemma 7.3 applied to \( R \rightarrow S' \rightarrow T' \) shows that \( T' \) is finite over \( R \). The integrality of \( t \) over \( R \) now follows from Lemma 35.8.

Lemma 35.7. Let \( R \rightarrow S \) be a ring homomorphism. The set

\[ S' = \{ s \in S \mid s \text{ is integral over } R \} \]

is an \( R \)-subalgebra of \( S \).

Proof. This is clear from Lemmas 35.4 and 35.3.

Lemma 35.8. Let \( R_i \rightarrow S_i \) be ring maps \( i = 1, \ldots, n \). Let \( R \) and \( S \) denote the product of the \( R_i \) and \( S_i \) respectively. Then an element \( s = (s_1, \ldots, s_n) \in S \) is integral over \( R \) if and only if each \( s_i \) is integral over \( R_i \).

Proof. Omitted.

Definition 35.9. Let \( R \rightarrow S \) be a ring map. The ring \( S' \subset S \) of elements integral over \( R \), see Lemma 35.7, is called the integral closure of \( R \) in \( S \). If \( R \subset S \) we say that \( R \) is integrally closed in \( S \) if \( R = S' \).

In particular, we see that \( R \rightarrow S \) is integral if and only if the integral closure of \( R \) in \( S \) is all of \( S \).

Lemma 35.10. Let \( R_i \rightarrow S_i \) be ring maps \( i = 1, \ldots, n \). Denote the integral closure of \( R_i \) in \( S_i \) by \( S'_i \). Further let \( R \) and \( S \) denote the product of the \( R_i \) and \( S_i \) respectively. Then the integral closure of \( R \) in \( S \) is the product of the \( S'_i \). In particular \( R \rightarrow S \) is integrally closed if and only if each \( R_i \rightarrow S_i \) is integrally closed.

Proof. This follows immediately from Lemma 35.8.

Lemma 35.11. Integral closure commutes with localization: If \( A \rightarrow B \) is a ring map, and \( S \subset A \) is a multiplicative subset, then the integral closure of \( S^{-1}A \) in \( S^{-1}B \) is \( S^{-1}B' \), where \( B' \subset B \) is the integral closure of \( A \) in \( B \).
Lemma 35.12. Let $\varphi : R \to S$ be a ring map. Let $x \in S$. The following are equivalent:

1. $x$ is integral over $R$, and
2. for every prime ideal $\mathfrak{p} \subset R$ the element $x \in S_\mathfrak{p}$ is integral over $R_\mathfrak{p}$.

Proof. It is clear that (1) implies (2). Assume (2). Consider the $R$-algebra $S' \subset S$ generated by $\varphi(R)$ and $x$. Let $\mathfrak{p}$ be a prime ideal of $R$. Then we know that $x^d + \sum_{i=1}^d \varphi(a_i)x^{d-i} = 0$ in $S_\mathfrak{p}$ for some $a_i \in R_\mathfrak{p}$. Hence we see, by looking at which denominators occur, that for some $f \in R$, $f \notin \mathfrak{p}$ we have $a_i \in R_f$ and $x^d + \sum_{i=1}^d \varphi(a_i)x^{d-i} = 0$ in $S_f$. This implies that $S'_f$ is finite over $R_f$. Since $\mathfrak{p}$ was arbitrary and Spec($R$) is quasi-compact (Lemma 16.10) we can find finitely many elements $f_1, \ldots, f_n \in R$ which generate the unit ideal of $R$ such that $S'_f$ is finite over $R_f$. Hence we conclude from Lemma 22.2 that $S'$ is finite over $R$. Hence $x$ is integral over $R$ by Lemma 35.4.

Lemma 35.13. Let $R \to S$ and $R \to R'$ be ring maps. Set $S' = R' \otimes_R S$.

1. If $R \to S$ is integral so is $R' \to S'$.
2. If $R \to S$ is finite so is $R' \to S'$.

Proof. We prove (1). Let $s_i \in S$ be generators for $S$ over $R$. Each of these satisfies a monic polynomial equation $P_i$ over $R$. Hence the elements $1 \otimes s_i \in S'$ generate $S'$ over $R'$ and satisfy the corresponding polynomial $P'_i$ over $R'$. Since these elements generate $S'$ over $R'$ we see that $S'$ is integral over $R'$. Proof of (2) omitted.

Lemma 35.14. Let $R \to S$ be a ring map. Let $f_1, \ldots, f_n \in R$ generate the unit ideal.

1. If each $R_{f_i} \to S_{f_i}$ is integral, so is $R \to S$.
2. If each $R_{f_i} \to S_{f_i}$ is finite, so is $R \to S$.

Proof. Proof of (1). Let $s \in S$. Consider the ideal $I \subset R[x]$ of polynomials $P$ such that $P(s) = 0$. Let $J \subset R$ denote the ideal (!) of leading coefficients of elements of $I$. By assumption and clearing denominators we see that $f_i^{n_i} \in J$ for all $i$ and certain $n_i \geq 0$. Hence $J$ contains 1 and we see $s$ is integral over $R$. Proof of (2) omitted.

Lemma 35.15. Let $A \to B \to C$ be ring maps.

1. If $A \to C$ is integral so is $B \to C$. 

Proof. Since localization is exact we see that $S^{-1}B' \subset S^{-1}B$. Suppose $x \in B'$ and $f \in S$. Then $x^d + \sum_{i=1}^d a_i x^{d-i} = 0$ in $B$ for some $a_i \in A$. Hence also

$$(x/f)^d + \sum_{i=1}^d a_i /f^i (x/f)^{d-i} = 0$$

in $S^{-1}B$. In this way we see that $S^{-1}B'$ is contained in the integral closure of $S^{-1}A$ in $S^{-1}B$. Conversely, suppose that $x/f \in S^{-1}B$ is integral over $S^{-1}A$. Then we have

$$(x/f)^d + \sum_{i=1}^d (a_i/f^i)(x/f)^{d-i} = 0$$

in $S^{-1}B$ for some $a_i \in A$ and $f_i \in S$. This means that

$$(f'f_1 \ldots f_dx)^d + \sum_{i=1}^d f(i)(f')^{i}f_1 \ldots f_i^{-1} \ldots f_d a_i (f'f_1 \ldots f_d x)^{d-i} = 0$$

for a suitable $f' \in S$. Hence $f'f_1 \ldots f_d x \in B'$ and thus $x/f \in S^{-1}B'$ as desired. □
(2) If $A \to C$ is finite so is $B \to C$.

Proof. Omitted. □

**Lemma 35.16.** Let $A \to B \to C$ be ring maps. Let $B'$ be the integral closure of $A$ in $B$, let $C'$ be the integral closure of $B'$ in $C$. Then $C'$ is the integral closure of $A$ in $C$.

Proof. Omitted. □

**Lemma 35.17.** Suppose that $R \to S$ is an integral ring extension with $R \subseteq S$. Then $\varphi : \text{Spec}(S) \to \text{Spec}(R)$ is surjective.

Proof. Let $p \subseteq R$ be a prime ideal. We have to show $p S_p \neq S_p$, see Lemma 16.9. The localization $R_p \to S_p$ is injective (as localization is exact) and integral by Lemma 35.11 or 35.13. Hence we may replace $R$, $S$ by $R_p$, $S_p$ and we may assume $R$ is local with maximal ideal $m$ and it suffices to show that $m S \neq S$. Suppose $1 = \sum f_i s_i$ with $f_i \in m$ and $s_i \in S$ in order to get a contradiction. Let $R \subseteq S' \subseteq S$ be such that $R \to S'$ is finite and $s_i \in S'$, see Lemma 35.4. The equation $1 = \sum f_i s_i$ implies that the finite $R$-module $S'$ satisfies $S' = m S'$. Hence by Nakayama’s Lemma 19.1 we see $S' = 0$. Contradiction. □

**Lemma 35.18.** Let $R$ be a ring. Let $K$ be a field. If $R \subseteq K$ and $K$ is integral over $R$, then $R$ is a field and $K$ is an algebraic extension. If $R \subseteq K$ and $K$ is finite over $R$, then $R$ is a field and $K$ is a finite algebraic extension.

Proof. Assume that $R \subseteq K$ is integral. By Lemma 35.17 we see that $\text{Spec}(R)$ has 1 point. Since clearly $R$ is a domain we see that $R = R_{(0)}$ is a field (Lemma 24.1). The other assertions are immediate from this.

**Lemma 35.19.** Let $k$ be a field. Let $S$ be a $k$-algebra over $k$.

1. If $S$ is a domain and finite dimensional over $k$, then $S$ is a field.
2. If $S$ is integral over $k$ and a domain, then $S$ is a field.
3. If $S$ is integral over $k$ then every prime of $S$ is a maximal ideal (see Lemma 25.3 for more consequences).

Proof. The statement on primes follows from the statement “integral + domain $\Rightarrow$ field”. Let $S$ integral over $k$ and assume $S$ is a domain. Take $s \in S$. By Lemma 35.4 we may find a finite dimensional $k$-subalgebra $k \subseteq S' \subseteq S$ containing $s$. Hence $S$ is a field if we can prove the first statement. Assume $S$ finite dimensional over $k$ and a domain. Pick $s \in S$. Since $S$ is a domain the multiplication map $s : S \to S$ is surjective by dimension reasons. Hence there exists an element $s_1 \in S$ such that $ss_1 = 1$. So $S$ is a field.

**Lemma 35.20.** Suppose $R \to S$ is integral. Let $q, q' \in \text{Spec}(S)$ be distinct primes having the same image in $\text{Spec}(R)$. Then neither $q \subseteq q'$ nor $q' \subseteq q$.

Proof. Let $p \subseteq R$ be the image. By Remark 16.8 the primes $q, q'$ correspond to ideals in $S \otimes_R \kappa(p)$. Thus the lemma follows from Lemma 35.19. □

**Lemma 35.21.** Suppose $R \to S$ is finite. Then the fibres of $\text{Spec}(S) \to \text{Spec}(R)$ are finite.
Proof. By the discussion in Remark 16.8 the fibres are the spectra of the rings $S \otimes_{R} \kappa(p)$. As $R \to S$ is finite, these fibre rings are finite over $\kappa(p)$ hence Noetherian by Lemma 30.1. By Lemma 35.20 every prime of $S \otimes_{R} \kappa(p)$ is a minimal prime. Hence by Lemma 30.6, there are at most finitely many. □

Lemma 35.22. Let $R \to S$ be a ring map such that $S$ is integral over $R$. Let $p \subset p' \subset R$ be primes. Let $q$ be a prime of $S$ mapping to $p$. Then there exists a prime $q'$ with $q \subset q'$ mapping to $p'$.

Proof. We may replace $R$ by $R/p$ and $S$ by $S/q$. This reduces us to the situation of having an integral extension of domains $R \subset S$ and a prime $p' \subset R$. By Lemma 35.17 we win.

The property expressed in the lemma above is called the “going up property” for the ring map $R \to S$, see Definition 40.1.

Lemma 35.23. Let $R \to S$ be a finite and finitely presented ring map. Let $M$ be an $S$-module. Then $M$ is finitely presented as an $R$-module if and only if $M$ is finitely presented as an $S$-module.

Proof. One of the implications follows from Lemma 6.4. To see the other assume that $M$ is finitely presented as an $S$-module. Pick a presentation
\begin{equation*}
S^{\oplus m} \to S^{\oplus n} \to M \to 0
\end{equation*}
As $S$ is finite as an $R$-module, the kernel of $S^{\oplus n} \to M$ is a finite $R$-module. Thus from Lemma 5.3 we see that it suffices to prove that $S$ is finitely presented as an $R$-module.

Pick $y_1, \ldots, y_n \in S$ such that $y_1, \ldots, y_n$ generate $S$ as an $R$-module. By Lemma 35.2 each $y_i$ is integral over $R$. Choose monic polynomials $P_i(x) \in R[x]$ with $P_i(y_i) = 0$. Consider the ring
\begin{equation*}
S' = R[x_1, \ldots, x_n]/(P_1(x_1), \ldots, P_n(x_n))
\end{equation*}
Then we see that $S$ is of finite presentation as an $S'$-algebra by Lemma 6.2. Since $S' \to S$ is surjective we see that $S$ is of finite presentation as an $S'$-module (use Lemma 6.3). Hence, arguing as in the first paragraph, it suffices to show that $S'$ is of finite presentation as an $R$-module. To see this we write $R \to S'$ as the composition
\begin{equation*}
R \to R[x_1]/(P_1(x_1)) \to R[x_1, x_2]/(P_1(x_1), P_2(x_2)) \to \ldots \to S'
\end{equation*}
of ring maps of the form $R' \to R'[x]/(x^d + a_1x^{d-1} + \ldots + a_d)$. Again arguing as in the first paragraph of the proof it is enough to show that the $ith$ ring in this sequence is of finite presentation as a module over the $(i-1)st$ one. This is true because $R'[x]/(x^d + a_1x^{d-1} + \ldots + a_d)$ is free as a module over $R'$ with basis $1, x, \ldots, x^{d-1}$. □

Lemma 35.24. Let $R$ be a ring. Let $x, y \in R$ be nonzerodivisors. Let $R[x/y] \subset R_{xy}$ be the $R$-subalgebra generated by $x/y$, and similarly for the subalgebras $R[y/x]$ and $R[x/y, y/x]$. If $R$ is integrally closed in $R_x$ or $R_y$, then the sequence
\begin{equation*}
0 \to R \xrightarrow{(-1,1)} R[x/y] \oplus R[y/x] \xrightarrow{(1,1)} R[x/y, y/x] \to 0
\end{equation*}
is a short exact sequence of $R$-modules.
Proof. Since $x/y \cdot y/x = 1$ it is clear that the map $R[x/y] \oplus R[y/x] \to R[x/y, y/x]$ is surjective. Let $\alpha \in R[x/y] \cap R[y/x]$. To show exactness in the middle we have to prove that $\alpha \in R$. By assumption we may write

$$\alpha = a_0 + a_1 x/y + \ldots + a_n (x/y)^n = b_0 + b_1 y/x + \ldots + b_m (y/x)^m$$

for some $n, m \geq 0$ and $a_i, b_j \in R$. Pick some $N > \max(n, m)$. Consider the finite $R$-submodule $M$ of $R_{xy}$ generated by the elements

$$(x/y)^N, (x/y)^{N-1}, \ldots, x/y, 1, y/x, \ldots, (y/x)^{N-1}, (y/x)^N$$

We claim that $\alpha M \subset M$. Namely, it is clear that $(x/y)^i(b_0 + b_1 y/x + \ldots + b_m (y/x)^m) \in M$ for $0 \leq i \leq N$ and that $(y/x)^i(a_0 + a_1 x/y + \ldots + a_n (x/y)^n) \in M$ for $0 \leq i \leq N$. Hence $\alpha$ is integral over $R$ by Lemma 36.2. Note that $\alpha \in R_\alpha$, so if $R$ is integrally closed in $R_\alpha$ then $\alpha \in R$ as desired. □

36. Normal rings

037B We first introduce the notion of a normal domain, and then we introduce the (very general) notion of a normal ring.

0309 **Definition 36.1.** A domain $R$ is called normal if it is integrally closed in its field of fractions.

034L **Lemma 36.2.** Let $R \to S$ be a ring map. If $S$ is a normal domain, then the integral closure of $R$ in $S$ is a normal domain.

Proof. Omitted. □

The following notion is occasionally useful when studying normality.

00GW **Definition 36.3.** Let $R$ be a domain.

1. An element $g$ of the fraction field of $R$ is called almost integral over $R$ if there exists an element $r \in R$, $r \neq 0$ such that $rg^n \in R$ for all $n \geq 0$.
2. The domain $R$ is called completely normal if every almost integral element of the fraction field of $R$ is contained in $R$.

The following lemma shows that a Noetherian domain is normal if and only if it is completely normal.

00GX **Lemma 36.4.** Let $R$ be a domain with fraction field $K$. If $u, v \in K$ are almost integral over $R$, then so are $u + v$ and $uv$. Any element $g \in K$ which is integral over $R$ is almost integral over $R$. If $R$ is Noetherian then the converse holds as well.

Proof. If $ru^n \in R$ for all $n \geq 0$ and $v^n r' \in R$ for all $n \geq 0$, then $(uv)^nr'$ and $(u + v)^nrr'$ are in $R$ for all $n \geq 0$. Hence the first assertion. Suppose $g \in K$ is integral over $R$. In this case there exists an $d > 0$ such that the ring $R[g]$ is generated by $1, g, \ldots, g^d$ as an $R$-module. Let $r \in R$ be a common denominator of the elements $1, g, \ldots, g^d \in K$. It is follows that $rR[g] \subset R$, and hence $g$ is almost integral over $R$.

Suppose $R$ is Noetherian and $g \in K$ is almost integral over $R$. Let $r \in R$, $r \neq 0$ be as in the definition. Then $R[g] \subset \frac{1}{r}R$ as an $R$-module. Since $R$ is Noetherian this implies that $R[g]$ is finite over $R$. Hence $g$ is integral over $R$, see Lemma 35.3. □

00GY **Lemma 36.5.** Any localization of a normal domain is normal.
Proof. Let $R$ be a normal domain, and let $S \subseteq R$ be a multiplicative subset. Suppose $g$ is an element of the fraction field of $R$ which is integral over $S^{-1}R$. Let $P = t^n + \sum_{j<d} a_j x^j$ be a polynomial with $a_i \in S^{-1}R$ such that $P(g) = 0$. Choose $s \in S$ such that $sa_i \in R$ for all $i$. Then $sg$ satisfies the monic polynomial $t^n + \sum_{j<d} s^{d-j}a_j x^j$ which has coefficients $s^{d-j}a_j$ in $R$. Hence $sg \in R$ because $R$ is normal. Hence $g \in S^{-1}R$. \hfill $\square$

Lemma 36.6. A principal ideal domain is normal.

Proof. Let $R$ be a principal ideal domain. Let $g = a/b$ be an element of the fraction field of $R$ integral over $R$. Because $R$ is a principal ideal domain we may divide out a common factor of $a$ and $b$ and assume $(a,b) = R$. In this case, any equation $(a/b)^n + r_{n-1}(a/b)^{n-1} + \ldots + r_0 = 0$ with $r_i \in R$ would imply $a^n \in (b)$. This contradicts $(a,b) = R$ unless $b$ is a unit in $R$. \hfill $\square$

Lemma 36.7. Let $R$ be a domain with fraction field $K$. Suppose $f = \sum \alpha_i x^i$ is an element of $K[x]$.

1. If $f$ is integral over $R[x]$ then all $\alpha_i$ are integral over $R$, and
2. If $f$ is almost integral over $R[x]$ then all $\alpha_i$ are almost integral over $R$.

Proof. We first prove the second statement. Write $f = \sum \alpha_i x^i = \alpha_0 + \alpha_1 x + \ldots + \alpha_r x^r$ with $\alpha_r \neq 0$. By assumption there exists $h = b_0 + b_1 x + \ldots + b_n x^n \in R[x]$, $b_n \neq 0$ such that $f^n h \in R[x]$ for all $n \geq 0$. This implies that $b_n \alpha^n \in R$ for all $n \geq 0$. Hence $\alpha_r$ is almost integral over $R$. Since the set of almost integral elements form a subring (Lemma 36.4) we deduce that $f - \sum \alpha_r x^r = \alpha_0 + \alpha_1 x + \ldots + \alpha_{r-1} x^{r-1}$ is almost integral over $R[x]$. By induction on $r$ we win.

In order to prove the first statement we will use absolute Noetherian reduction. Namely, write $\alpha_i = a_i/b_i$ and let $P(t) = t^n + \sum_{j<d} f_j t^j$ be a polynomial with coefficients $f_j \in R[x]$ such that $P(f) = 0$. Let $f_j = \sum f_{ji} x^i$. Consider the subring $R_0 \subseteq R$ generated by the finite list of elements $a_i, b_i, f_{ji}$ of $R$. It is a domain; let $K_0$ be its field of fractions. Since $R_0$ is a finite type $\mathbb{Z}$-algebra it is Noetherian, see Lemma 36.3. It is still the case that $f \in K_0[x]$ is integral over $R_0[x]$, because all the identities in $R$ among the elements $a_i, b_i, f_{ji}$ also hold in $R_0$. By Lemma 36.4 the element $f$ is almost integral over $R_0$. By the second statement of the lemma, the elements $\alpha_i$ are almost integral over $R_0$. And since $R_0$ is Noetherian, they are integral over $R_0$, see Lemma 36.4. Of course, then they are integral over $R$. \hfill $\square$

Lemma 36.8. Let $R$ be a normal domain. Then $R[x]$ is a normal domain.

Proof. The result is true if $R$ is a field $K$ because $K[x]$ is a euclidean domain and hence a principal ideal domain and hence normal by Lemma 36.6. Let $g$ be an element of the fraction field of $R[x]$ which is integral over $R[x]$. Because $g$ is integral over $K[x]$ where $K$ is the fraction field of $R$ we may write $g = \sum a_i x^i$ with $a_i \in K$. By Lemma 36.7 the elements $\alpha_i$ are integral over $R$ and hence are in $R$. \hfill $\square$

Lemma 36.9. Let $R$ be a Noetherian normal domain. Then $R[[x]]$ is a Noetherian normal domain.

Proof. The power series ring is Noetherian by Lemma 36.2. Let $f, g \in R[[x]]$ be nonzero elements such that $w = f/g$ is integral over $R[[x]]$. Let $K$ be the fraction field of $R$. Since the ring of Laurent series $K((x)) = K[[x]][1/x]$ is a field, we can
write \( w = a_n x^n + a_{n+1} x^{n+1} + \ldots \) for some \( n \in \mathbb{Z}, a_i \in K, \) and \( a_n \neq 0 \). By Lemma 36.4 we see there exists a nonzero element \( h = b_m x^m + b_{m+1} x^{m+1} + \ldots \) in \( R[[x]] \) with \( b_m \neq 0 \) such that \( w^eh \in R[[x]] \) for all \( e \geq 1 \). We conclude that \( n \geq 0 \) and that \( b_m a_n^e \in R \) for all \( e \geq 1 \). Since \( R \) is Noetherian this implies that \( a_n \in R \) by the same lemma. Now, if \( a_n, a_{n+1}, \ldots, a_{N-1} \in R \), then we can apply the same argument to \( w - a_n x^n - \ldots - a_{N-1} x^{N-1} = a_N x^N + \ldots \). In this way we see that all \( a_i \in R \) and the lemma is proved. \( \square \)

**Lemma 36.10.** Let \( R \) be a domain. The following are equivalent:

1. The domain \( R \) is a normal domain,
2. for every prime \( p \subset R \) the local ring \( R_p \) is a normal domain, and
3. for every maximal ideal \( m \) the ring \( R_m \) is a normal domain.

**Proof.** This follows easily from the fact that for any domain \( R \) we have

\[ R = \bigcap_m R_m \]

inside the fraction field of \( R \). Namely, if \( g \) is an element of the right hand side then the ideal \( I = \{ x \in R \mid xg \in R \} \) is not contained in any maximal ideal \( m \), whence \( I = R \). \( \square \)

Lemma 36.10 shows that the following definition is compatible with Definition 36.1 (It is the definition from EGA – see [DG67, IV, 5.13.5 and 0, 4.1.4]).

**Definition 36.11.** A ring \( R \) is called normal if for every prime \( p \subset R \) the localization \( R_p \) is a normal domain (see Definition 36.1).

Note that a normal ring is a reduced ring, as \( R \) is a subring of the product of its localizations at all primes (see for example Lemma 22.1).

**Lemma 36.12.** A normal ring is integrally closed in its total ring of fractions.

**Proof.** Let \( R \) be a normal ring. Let \( x \in Q(R) \) be an element of the total ring of fractions of \( R \) integral over \( R \). Set \( I = \{ f \in R, fx \in R \} \). Let \( p \subset R \) be a prime. As \( R \subset R_p \) is flat we see that \( R_p \subset Q(R) \otimes_R R_p \). As \( R_p \) is a normal domain we see that \( x \otimes 1 \) is an element of \( R_p \). Hence we can find \( a, f \in R, f \notin p \) such that \( x \otimes 1 = a \otimes 1/f \). This means that \( fx - a \) maps to zero in \( Q(R) \otimes_R R_p = Q(R)_p \), which in turn means that there exists an \( f' \in R, f' \notin p \) such that \( f'fx = f'a \) in \( R \). In other words, \( f' \in I \). Thus \( I \) is an ideal which isn’t contained in any of the prime ideals of \( R \), i.e., \( I = R \) and \( x \in R \). \( \square \)

**Lemma 36.13.** A localization of a normal ring is a normal ring.

**Proof.** Omitted.

**Lemma 36.14.** Let \( R \) be a normal ring. Then \( R[x] \) is a normal ring.

**Proof.** Let \( q \) be a prime of \( R[x] \). Set \( p = R \cap q \). Then we see that \( R_p[x] \) is a normal domain by Lemma 36.8. Hence \( (R[x])_q \) is a normal domain by Lemma 36.5. \( \square \)

**Lemma 36.15.** A finite product of normal rings is normal.

**Proof.** It suffices to show that the product of two normal rings, say \( R \) and \( S \), is normal. By Lemma 20.3 the prime ideals of \( R \times S \) are of the form \( p \times S \) and \( R \times q \), where \( p \) and \( q \) are primes of \( R \) and \( S \) respectively. Localization yields \( (R \times S)_{p \times S} = R_p \) which is a normal domain by assumption. Similarly for \( S \). \( \square \)
**Lemma 36.16.** Let \( R \) be a ring. Assume \( R \) is reduced and has finitely many minimal primes. Then the following are equivalent:

1. \( R \) is a normal ring,
2. \( R \) is integrally closed in its total ring of fractions, and
3. \( R \) is a finite product of normal domains.

**Proof.** The implications (1) \( \Rightarrow \) (2) and (3) \( \Rightarrow \) (1) hold in general, see Lemmas 36.12 and 36.15.

Let \( p_1, \ldots, p_n \) be the minimal primes of \( R \). By Lemmas 24.2 and 24.4 we have \( Q(R) = R_{p_1} \times \ldots \times R_{p_n} \), and by Lemma 24.1 each factor is a field. Denote \( e_i = (0, \ldots, 0, 1, 0, \ldots, 0) \) the \( i \)th idempotent of \( Q(R) \).

If \( R \) is integrally closed in \( Q(R) \), then it contains in particular the idempotents \( e_i \), and we see that \( R \) is a product of \( n \) domains (see Sections 21 and 23). Each factor is of the form \( R/p_i \) with field of fractions \( R_{p_i} \). By Lemma 35.10 each map \( R/p_i \to R_{p_i} \) is integrally closed. Hence \( R \) is a finite product of normal domains. \( \square \)

**Lemma 36.17.** Let \((R_i, \varphi_{i'j})\) be a directed system (Categories, Definition 8.1) of rings. If each \( R_i \) is a normal ring so is \( R = \text{colim}_i R_i \).

**Proof.** Let \( p \subset R \) be a prime ideal. Set \( p_i = R_i \cap p \) (usual abuse of notation). Then we see that \( R_p = \text{colim}_i (R_i)_{p_i} \). Since each \((R_i)_{p_i}\) is a normal domain we reduce to proving the statement of the lemma for normal domains. If \( a/b \in R \) and \( a/b \) satisfies a monic polynomial \( P(T) \in R[T] \), then we can find a (sufficiently large) \( i \in I \) such that \( a/b \) come from objects \( a_i/b_i \) over \( R_i \); \( P \) comes from a monic polynomial \( P_i \in R_i[T] \) and \( P_i(a_i/b_i) = 0 \). Since \( R_i \) is normal we see \( a_i/b_i \in R_i \) and hence also \( a/b \in R \). \( \square \)

### 37. Going down for integral over normal

**Definition 37.1.** Let \( \varphi : R \to S \) be a ring map. Let \( I \subset R \) be an ideal. We say an element \( g \in S \) is integral over \( I \) if there exists a monic polynomial \( P = x^d + \sum_{j \leq d} a_j x^j \) with coefficients \( a_j \in I^{d-j} \) such that \( P^e(g) = 0 \) in \( S \).

This is mostly used when \( \varphi = \text{id}_R : R \to R \). In this case the set \( I' \) of elements integral over \( I \) is called the integral closure of \( I \). We will see that \( I' \) is an ideal of \( R \) (and of course \( I \subset I' \)).

**Lemma 37.2.** Let \( \varphi : R \to S \) be a ring map. Let \( I \subset R \) be an ideal. Let \( A = \sum T^n t^n \subset R[t] \) be the subring of the polynomial ring generated by \( R \oplus I t \subset R[t] \). An element \( s \in S \) is integral over \( I \) if and only if the element \( st \in S[t] \) is integral over \( A \).

**Proof.** Suppose \( st \) is integral over \( A \). Let \( P = x^d + \sum_{j \leq d} a_j x^j \) be a monic polynomial with coefficients in \( A \) such that \( P^e(st) = 0 \). Let \( a'_j \in A \) be the degree \( d-j \) part of \( a_j \), in other words \( a'_j = a_j t^{d-j} \) with \( a'_j \in I^{d-j} \). For degree reasons we still have \((st)^d + \sum_{j \leq d} \varphi(a'_j t^{d-j})(st)^j = 0 \). Hence we see that \( s \) is integral over \( I \).

Suppose that \( s \) is integral over \( I \). Say \( P = x^d + \sum_{j \leq d} a_j x^j \) with \( a_j \in I^{d-j} \). Then we immediately find a polynomial \( Q = x^d + \sum_{j \leq d} (a_j t^{d-j}) x^j \) with coefficients in \( A \) which proves that \( st \) is integral over \( A \). \( \square \)
00H4 Lemma 37.3. Let \( \varphi : R \to S \) be a ring map. Let \( I \subset R \) be an ideal. The set of elements of \( S \) which are integral over \( I \) form a \( R \)-submodule of \( S \). Furthermore, if \( s \in S \) is integral over \( R \), and \( s' \) is integral over \( I \), then \( ss' \) is integral over \( I \).

Proof. Closure under addition is clear from the characterization of Lemma 37.2. Any element \( s \in S \) which is integral over \( R \) corresponds to the degree 0 element \( s \) of \( S[x] \) which is integral over \( A \) (because \( R \subset A \)). Hence we see that multiplication by \( s \) on \( S[x] \) preserves the property of being integral over \( A \), by Lemma 35.7.

00H5 Lemma 37.4. Suppose \( \varphi : R \to S \) is integral. Suppose \( I \subset R \) is an ideal. Then every element of \( IS \) is integral over \( I \).

Proof. Immediate from Lemma 37.3.

00H6 Lemma 37.5. Let \( K \) be a field. Let \( n, m \in \mathbb{N} \) and \( a_0, \ldots, a_{n-1}, b_0, \ldots, b_{m-1} \in K \). If the polynomial \( x^n + a_{n-1}x^{n-1} + \ldots + a_0 \) divides the polynomial \( x^m + b_{m-1}x^{m-1} + \ldots + b_0 \) in \( K[x] \) then

1. \( a_0, \ldots, a_{n-1} \) are integral over any subring \( R_0 \) of \( K \) containing the elements \( b_0, \ldots, b_{m-1} \), and
2. each \( a_i \) lies in \( \sqrt{(b_0, \ldots, b_{m-1})R} \) for any subring \( R \subset K \) containing the elements \( a_0, \ldots, a_{n-1}, b_0, \ldots, b_{m-1} \).

Proof. Let \( L/K \) be a field extension such that we can write \( x^m + b_{m-1}x^{m-1} + \ldots + b_0 = \prod_{i=1}^m (x - \beta_i) \) with \( \beta_i \in L \). See Fields, Section 16. Each \( \beta_i \) is integral over \( R_0 \). Since each \( a_i \) is a homogeneous polynomial in \( \beta_1, \ldots, \beta_m \) we deduce the same for the \( a_i \) (use Lemma 35.7).

Choose \( c_0, \ldots, c_{m-n-1} \in K \) such that

\[
x^m + b_{m-1}x^{m-1} + \ldots + b_0 = (x^n + a_{n-1}x^{n-1} + \ldots + a_0)(x^{m-n} + c_{m-n-1}x^{m-n-1} + \ldots + c_0).
\]

By part (1) the elements \( c_i \) are integral over \( R \). Consider the integral extension

\[
R \subset R' = R[c_0, \ldots, c_{m-n-1}] \subset K
\]

By Lemmas 35.17 and 29.3 we see that \( R' \cap \sqrt{(b_0, \ldots, b_{m-1})R} = (b_0, \ldots, b_{m-1})R \).

Thus we may replace \( R \) by \( R' \) and assume \( c_i \in R \). Dividing out the radical \( \sqrt{(b_0, \ldots, b_{m-1})} \) we get a reduced ring \( \overline{R} \). We have to show that the images \( \overline{a_i} \in \overline{R} \) are zero. And in \( \overline{R}[x] \) we have the relation

\[
x^m = x^n + \overline{b}_{m-1}x^{m-1} + \ldots + \overline{b}_0 = (x^n + \overline{a}_{n-1}x^{n-1} + \ldots + \overline{a}_0)(x^{m-n} + \overline{c}_{m-n-1}x^{m-n-1} + \ldots + \overline{c}_0).
\]

It is easy to see that this implies \( \overline{a}_i = 0 \) for all \( i \). Indeed by Lemma 24.1 the localization of \( \overline{R} \) at a minimal prime \( p \) is a field and \( \overline{R}_p[x] \) a UFD. Thus \( f = x^n + \sum \overline{a}_i x^i \) is associated to \( x^n \) and since \( f \) is monic \( f = x^n \) in \( \overline{R}_p[x] \). Then there exists an \( s \in \overline{R}, s \notin p \) such that \( s(f - x^n) = 0 \). Therefore all \( \overline{a}_i \) lie in \( p \) and we conclude by Lemma 24.2.

00H7 Lemma 37.6. Let \( R \subset S \) be an inclusion of domains. Assume \( R \) is normal. Let \( g \in S \) be integral over \( R \). Then the minimal polynomial of \( g \) has coefficients in \( R \).

Proof. Let \( P = x^n + b_{m-1}x^{m-1} + \ldots + b_0 \) be a polynomial with coefficients in \( R \) such that \( P(g) = 0 \). Let \( Q = x^n + a_{n-1}x^{n-1} + \ldots + a_0 \) be the minimal polynomial
for $g$ over the fraction field $K$ of $R$. Then $Q$ divides $P$ in $K[x]$. By Lemma 37.5 we see the $a_i$ are integral over $R$. Since $R$ is normal this means they are in $R$. \hfill\Box

Proposition 37.7. Let $R \subset S$ be an inclusion of domains. Assume $R$ is normal and $S$ integral over $R$. Let $p \subset p' \subset R$ be primes. Let $q'$ be a prime of $S$ with $p' = R \cap q'$. Then there exists a prime $q$ with $q \subset q'$ such that $p = R \cap q$. In other words: the going down property holds for $R \to S$, see Definition 40.1.

Proof. Let $p$, $p'$ and $q'$ be as in the statement. We have to show there is a prime $q$, with $q \subset q'$ and $R \cap q = p$. This is the same as finding a prime of $S_{q'}$ mapping to $p$. According to Lemma 16.9 we have to show that $pS_{q'} \cap R = p$. Pick $z \in pS_{q'} \cap R$. We may write $z = y/g$ with $y \in pS$ and $g \in S$, $g \notin q'$. Written differently we have $zg = y$.

By Lemma 37.4 there exists a monic polynomial $P = x^m + b_{m-1}x^{m-1} + \ldots + b_0$ with $b_i \in p$ such that $P(y) = 0$.

By Lemma 37.6 the minimal polynomial of $g$ over $R$ has coefficients in $R$. Write it as $Q = x^n + a_{n-1}x^{n-1} + \ldots + a_0$. Note that not all $a_i$, $i = n-1, \ldots, 0$ are in $p$ since that would imply $g^n = \sum_{j<n} a_j g^j \in pS \subset p' S \subset q'$ which is a contradiction.

Since $y = zg$ we see immediately from the above that $Q' = x^n + za_{n-1}x^{n-1} + \ldots + z^n a_0$ is the minimal polynomial for $y$. Hence $Q'$ divides $P$ and by Lemma 37.5 we see that $z^ja_{n-j} \in (b_0, \ldots, b_{m-1}) \subset p$, $j = 1, \ldots, n$. Because not all $a_i$, $i = n-1, \ldots, 0$ are in $p$ we conclude $z \in p$ as desired. \hfill\Box

38. Flat modules and flat ring maps

One often used result is that if $M = \colim_{i \in I} M_i$ is a colimit of $R$-modules and if $N$ is an $R$-module then

$$M \otimes R N = \colim_{i \in I} M_i \otimes_R N,$$

see Lemma 11.9. This property is usually expressed by saying that $\otimes$ commutes with colimits. Another often used result is that if $0 \to N_1 \to N_2 \to N_3 \to 0$ is an exact sequence and if $M$ is any $R$-module, then

$$M \otimes_R N_1 \to M \otimes_R N_2 \to M \otimes_R N_3 \to 0$$

is still exact, see Lemma 11.10. Both of these properties tell us that the functor $N \mapsto M \otimes_R N$ is right exact. See Categories, Section 23 and Homology, Section 7.

An $R$-module $M$ is flat if $N \mapsto N \otimes_R M$ is also left exact, i.e., if it is exact. Here is the precise definition.

Definition 38.1. Let $R$ be a ring.

1. An $R$-module $M$ is called flat if whenever $N_1 \to N_2 \to N_3$ is an exact sequence of $R$-modules the sequence $M \otimes_R N_1 \to M \otimes_R N_2 \to M \otimes_R N_3$ is exact as well.

2. An $R$-module $M$ is called faithfully flat if the complex of $R$-modules $N_1 \to N_2 \to N_3$ is exact if and only if the sequence of $R$-modules $M \otimes_R N_1 \to M \otimes_R N_2 \to M \otimes_R N_3$ is exact.

3. A ring map $R \to S$ is called flat if $S$ is flat as an $R$-module.

4. A ring map $R \to S$ is called faithfully flat if $S$ is faithfully flat as an $R$-module.

Here is an example of how you can use the flatness condition.
Let $R$ be a ring. Let $I, J \subset R$ be ideals. Let $M$ be a flat $R$-module. Then $IM \cap JM = (I \cap J)M$.

Proof. Consider the exact sequence $0 \to I \cap J \to R \to R/I \oplus R/J$. Tensoring with the flat module $M$ we obtain an exact sequence

$$0 \to (I \cap J) \otimes_R M \to M \to M/IM \oplus M/JM$$

Since the kernel of $M \to M/IM \oplus M/JM$ is equal to $IM \cap JM$ we conclude. □

Then $\exists$ an exact sequence

$$0 \to I \otimes_R M \to M \to M/IM \oplus M/JM$$

Proof. By exactness of $M$, we conclude.

Lemma 38.3. Let $R$ be a ring. Let $\{M_i, \varphi_{ij}\}$ be a directed system of flat $R$-modules. Let $\varphi_{ij} : M_i \to M_j$ be an injective $R$-module. Then $\text{colim}_i M_i$ is a flat $R$-module.

Proof. This follows as $\otimes$ commutes with colimits and because directed colimits are exact, see Lemma 8.8. □

Lemma 38.4. A composition of (faithfully) flat ring maps is (faithfully) flat. If $R \to R'$ is (faithfully) flat, and $M'$ is a (faithfully) flat $R'$-module, then $M'$ is a (faithfully) flat $R$-module.

Proof. The first statement of the lemma is a particular case of the second, so it is clearly enough to prove the latter. Let $R \to R'$ be a flat ring map, and $M'$ a flat $R'$-module. We need to prove that $M'$ is a flat $R$-module. Let $N_1 \to N_2 \to N_3$ be an exact complex of $R$-modules. Then, the complex $R' \otimes_R N_1 \to R' \otimes_R N_2 \to R' \otimes_R N_3$ is exact (since $R'$ is flat as an $R$-module), and so the complex $M' \otimes_R (R' \otimes_R N_1) \to M' \otimes_R (R' \otimes_R N_2) \to M' \otimes_R (R' \otimes_R N_3)$ is exact (since $M'$ is a flat $R'$-module). Since $M' \otimes_R (R' \otimes_R N) \cong (M' \otimes_R R') \otimes_R N \cong M' \otimes_R N$ for any $R$-module $N$ functorially (by Lemmas 11.7 and 11.3), this complex is isomorphic to the complex $M' \otimes_R N_1 \to M' \otimes_R N_2 \to M' \otimes_R N_3$, which is therefore also exact. This shows that $M'$ is a flat $R$-module. Tracing this argument backwards, we can show that if $R \to R'$ is faithfully flat, and if $M'$ is faithfully flat as an $R'$-module, then $M'$ is faithfully flat as an $R$-module. □

Lemma 38.5. Let $M$ be an $R$-module. The following are equivalent:

1. $M$ is flat over $R$.
2. For every injection of $R$-modules $N \subset N'$ the map $N \otimes_R M \to N' \otimes_R M$ is injective.
3. For every ideal $I \subset R$ the map $I \otimes_R M \to R \otimes_R M = M$ is injective.
4. For every finitely generated ideal $I \subset R$ the map $I \otimes_R M \to R \otimes_R M = M$ is injective.

Proof. The implications 1 implies 2 implies 3 implies 4 are all trivial. Thus we prove 4 implies 1. Suppose that $N_1 \to N_2 \to N_3$ is exact. Let $K = \ker(N_2 \to N_3)$ and $Q = \im(N_2 \to N_3)$. Then we get maps

$$N_1 \otimes_R M \to K \otimes_R M \to N_2 \otimes_R M \to Q \otimes_R M \to N_3 \otimes_R M$$

Observe that the first and third arrows are surjective. Thus if we show that the second and fourth arrows are injective, then we are done. Hence it suffices to show that $- \otimes_R M$ transforms injective $R$-module maps into injective $R$-module maps. 

\footnote{Here is the argument in more detail: Assume that we know that the second and fourth arrows are injective. Lemma 11.10 (applied to the exact sequence $K \to N_2 \to Q \to 0$) yields that the sequence $K \otimes_R M \to N_2 \otimes_R M \to Q \otimes_R M \to 0$ is exact. Hence, $\ker(N_2 \otimes_R M \to Q \otimes_R M) = \im(K \otimes_R M \to N_2 \otimes_R M)$. Since $\im(K \otimes_R M \to N_2 \otimes_R M) = \im(N_1 \otimes_R M \to N_2 \otimes_R M)$ (due to the surjectivity of $N_1 \otimes_R M \to K \otimes_R M$) and $\ker(N_2 \otimes_R M \to Q \otimes_R M) = \im(N_1 \otimes_R M \to N_2 \otimes_R M)$.}

06UC Lemma 38.6. Let $R$ be a ring. Let $I, J \subset R$ be ideals. Let $M$ be a flat $R$-module. Then $IM \cap JM = (I \cap J)M$.

Proof. Consider the exact sequence $0 \to I \cap J \to R \to R/I \oplus R/J$. Tensoring with the flat module $M$ we obtain an exact sequence

$$0 \to (I \cap J) \otimes_R M \to M \to M/IM \oplus M/JM$$

Since the kernel of $M \to M/IM \oplus M/JM$ is equal to $IM \cap JM$ we conclude. □
Assume $K \to N$ is an injective $R$-module map and let $x \in \ker(K \otimes_R M \to N \otimes_R M)$. We have to show that $x$ is zero. The $R$-module $K$ is the union of its finite $R$-submodules; hence, $K \otimes_R M$ is the colimit of $R$-modules of the form $K_i \otimes_R M$ where $K_i$ runs over all finite $R$-submodules of $K$ (because tensor product commutes with colimits). Thus, for some $i$ our $x$ comes from an element $x_i \in K_i \otimes_R M$. Thus we may assume that $K$ is a finite $R$-module. Assume this. We regard the injection $K \to N$ as an inclusion, so that $K \subseteq N$.

The $R$-module $N$ is the union of its finite $R$-submodules that contain $K$. Hence, $N \otimes_R M$ is the colimit of $R$-modules of the form $N_i \otimes_R M$ where $N_i$ runs over all finite $R$-submodules of $N$ that contain $K$ (again since tensor product commutes with colimits). Notice that this is a colimit over a directed system (since the sum of two finite submodules of $N$ is again finite). Hence, (by Lemma 38.4) the element $x \in K \otimes_R M$ maps to zero in at least one of these $R$-modules $N_i \otimes_R M$ (since $x$ maps to zero in $N \otimes_R M$). Thus we may assume $N$ is a finite $R$-module.

Assume $N$ is a finite $R$-module. Write $N = R^{\oplus n}/L$ and $K = L'/L$ for some $L \subseteq L' \subseteq R^{\oplus n}$. For any $R$-submodule $G \subseteq R^{\oplus n}$, we have a canonical map $G \otimes_R M \to M^{\oplus n}$ obtained by composing $G \otimes_R M \to R^{\oplus n} \otimes_R M = M^{\oplus n}$. It suffices to prove that $L \otimes_R M \to M^{\oplus n}$ and $L' \otimes_R M \to M^{\oplus n}$ are injective. Namely, if so, then we see that $K \otimes_R M = L'/\otimes_R M/L \otimes_R M \to M^{\oplus n}/L \otimes_R M$ is injective too.

Thus it suffices to show that $L \otimes_R M \to M^{\oplus n}$ is injective when $L \subseteq R^{\oplus n}$ is an $R$-submodule. We do this by induction on $n$. The base case $n = 1$ we handle below. For the induction step assume $n > 1$ and set $L' = L \cap R \oplus 0^{\oplus n-1}$. Then $L'' = L/L'$ is a submodule of $R^{\oplus n-1}$. We obtain a diagram

$$
\begin{array}{ccc}
L' \otimes_R M & \longrightarrow & L \otimes_R M & \longrightarrow & L'' \otimes_R M & \longrightarrow & 0 \\
\downarrow & & \downarrow & & \downarrow & & \\
0 & \longrightarrow & M & \longrightarrow & M^{\oplus n} & \longrightarrow & M^{\oplus n-1} & \longrightarrow & 0
\end{array}
$$

By induction hypothesis and the base case the left and right vertical arrows are injective. The rows are exact. It follows that the middle vertical arrow is injective too.

The base case of the induction above is when $L \subseteq R$ is an ideal. In other words, we have to show that $I \otimes_R M \to M$ is injective for any ideal $I$ of $R$. We know this is true when $I$ is finitely generated. However, $I = \bigcup I_i$ is the union of the finitely generated ideals $I_i$ contained in it. In other words, $I = \text{colim} I_i$. Since $\otimes$ commutes with colimits we see that $I \otimes_R M = \text{colim} I_i \otimes_R M$ and since all the morphisms $I_i \otimes_R M \to M$ are injective by assumption, the same is true for $I \otimes_R M \to M$. \hfill $\Box$

**Lemma 38.6.** Let $\{R_i, \varphi_{ii}\}$ be a system of rings over the directed set $I$. Let $R = \text{colim}_i R_i$. Let $M$ be an $R$-module such that $M$ is flat as an $R_i$-module for all $i$. Then $M$ is flat as an $R$-module.

Ker $(N_2 \otimes_R M \to N_3 \otimes_R M)$ (due to the injectivity of $Q \otimes_R M \to N_3 \otimes_R M$), this becomes Ker $(N_2 \otimes_R M \to N_3 \otimes_R M) = \text{Im} (N_1 \otimes_R M \to N_2 \otimes_R M)$, which shows that the functor $- \otimes_R M$ is exact, whence $M$ is flat.

This becomes obvious if we identify $L' \otimes_R M$ and $L \otimes_R M$ with submodules of $M^{\oplus n}$ (which is legitimate since the maps $L \otimes_R M \to M^{\oplus n}$ and $L' \otimes_R M \to M^{\oplus n}$ are injective and commute with the obvious map $L' \otimes_R M \to L \otimes_R M$).
Proof. Let \( a \subset R \) be a finitely generated ideal. By Lemma 38.5, it suffices to show that \( a \otimes_R M \to M \) is injective. We can find an \( i \in I \) and a finitely generated ideal \( a' \subset R_i \) such that \( a = a'R_i \). Then \( a = \text{colim}_{i \geq i} a'R_i \). Hence the map \( a \otimes_R M \to M \) is the colimit of the maps
\[
a'R_i \otimes_{R_i} M \to M
\]
which are all injective by assumption. Since \( \otimes \) commutes with colimits and since colimits over \( I \) are exact by Lemma 8.8, we win. \( \square \)

**Lemma 38.7.** Suppose that \( M \) is (faithfully) flat over \( R \), and that \( R \to R' \) is a ring map. Then \( M \otimes_R R' \) is (faithfully) flat over \( R' \).

**Proof.** For any \( R' \)-module \( N \) we have a canonical isomorphism \( N \otimes_R (R' \otimes_R M) = N \otimes_R M \). Hence the desired exactness properties of the functor \( - \otimes_R (R' \otimes_R M) \) follow from the corresponding exactness properties of the functor \( - \otimes_R M \). \( \square \)

**Lemma 38.8.** Let \( R \to R' \) be a faithfully flat ring map. Let \( M \) be a module over \( R' \), and set \( M' = R' \otimes_R M \). Then \( M \) is flat over \( R \) if and only if \( M' \) is flat over \( R' \).

**Proof.** By Lemma 38.7, we see that if \( M \) is flat then \( M' \) is flat. For the converse, suppose that \( M' \) is flat. Let \( N_1 \to N_2 \to N_3 \) be an exact sequence of \( R \)-modules. We want to show that \( N_1 \otimes_R M \to N_2 \otimes_R M \to N_3 \otimes_R M \) is exact. We know that \( N_1 \otimes_R R' \to N_2 \otimes_R R' \to N_3 \otimes_R R' \) is exact, because \( R \to R' \) is flat. Flatness of \( M' \) implies that \( N_1 \otimes_R R' \otimes_R' M' \to N_2 \otimes_R R' \otimes_R' M' \to N_3 \otimes_R R' \otimes_R' M' \) is exact. We may write this as \( N_1 \otimes_R M \otimes_R R' \to N_2 \otimes_R M \otimes_R R' \to N_3 \otimes_R M \otimes_R R' \). Finally, faithful flatness implies that \( N_1 \otimes_R M \to N_2 \otimes_R M \to N_3 \otimes_R M \) is exact. \( \square \)

**Lemma 38.9.** Let \( R \) be a ring. Let \( S \to S' \) be a faithfully flat map of \( R \)-algebras. Let \( M \) be a module over \( S \), and set \( M' = S' \otimes_S M \). Then \( M \) is flat over \( R \) if and only if \( M' \) is flat over \( R' \).

**Proof.** Let \( N \to N' \) be an injection of \( R \)-modules. By the faithful flatness of \( S \to S' \), we have
\[
\text{Ker}(N \otimes_R M \to N' \otimes_R M) \otimes_S S' = \text{Ker}(N \otimes_R M' \to N' \otimes_R M')
\]
Hence the equivalence of the lemma follows from the second characterization of flatness in Lemma 38.5. \( \square \)

**Lemma 38.10.** Let \( R \to S \) be a ring map. Let \( M \) be an \( S \)-module. If \( M \) is flat as an \( R \)-module and faithfully flat as an \( S \)-module, then \( R \to S \) is flat.

**Proof.** Let \( N_1 \to N_2 \to N_3 \) be an exact sequence of \( R \)-modules. By assumption \( N_1 \otimes_R M \to N_2 \otimes_R M \to N_3 \otimes_R M \) is exact. We may write this as
\[
N_1 \otimes_R S \otimes_S M \to N_2 \otimes_R S \otimes_S M \to N_3 \otimes_R S \otimes_S M.
\]
By faithful flatness of \( M \) over \( S \) we conclude that \( N_1 \otimes_R S \to N_2 \otimes_R S \to N_3 \otimes_R S \) is exact. Hence \( R \to S \) is flat. \( \square \)

Let \( R \) be a ring. Let \( M \) be an \( R \)-module. Let \( \sum f_ix_i = 0 \) be a relation in \( M \). We say the relation \( \sum f_ix_i \) is trivial if there exist an integer \( m \geq 0 \), elements \( y_j \in M \), \( j = 1, \ldots, m \), and elements \( a_{ij} \in R \), \( i = 1, \ldots, n \), \( j = 1, \ldots, m \) such that
\[
x_i = \sum_j a_{ij}y_j, \forall i, \quad \text{and} \quad 0 = \sum_i f_i a_{ij}, \forall j.
\]
Lemma 38.11 (Equational criterion of flatness). A module $M$ over $R$ is flat if and only if every relation in $M$ is trivial.

Proof. Assume $M$ is flat and let $\sum f_ix_i = 0$ be a relation in $M$. Let $I = (f_1, \ldots, f_n)$, and let $K = \text{Ker}(R^n \to I, (a_1, \ldots, a_n) \mapsto \sum a_if_i)$. So we have the short exact sequence $0 \to K \to R^n \to I \to 0$. Then $\sum f_i \otimes x_i$ is an element of $I \otimes R M$ which maps to zero in $R \otimes R M = M$. By flatness $\sum f_i \otimes x_i$ is zero in $I \otimes R M$. Thus there exists an element of $K \otimes R M$ mapping to $\sum e_i \otimes x_i \in R^n \otimes R M$ where $e_i$ is the $i$th basis element of $R^n$. Write this element as $\sum k_j \otimes y_j$ and then write the image of $k_j$ in $R^n$ as $\sum a_{ij} e_i$ to get the result.

Assume every relation is trivial, let $I$ be a finitely generated ideal, and let $x = \sum f_i \otimes x_i$ be an element of $I \otimes R M$ mapping to zero in $R \otimes R M = M$. This just means exactly that $\sum f_ix_i$ is a relation in $M$. And the fact that it is trivial implies easily that $x$ is zero, because

$$x = \sum f_i \otimes x_i = \sum f_i \otimes (\sum a_{ij} y_j) = \sum (\sum f_i a_{ij}) \otimes y_j = 0$$

\[\square\]

Lemma 38.12. Suppose that $R$ is a ring, $0 \to M'' \to M' \to M \to 0$ a short exact sequence, and $N$ an $R$-module. If $M$ is flat then $N \otimes_R M'' \to N \otimes_R M'$ is injective, i.e., the sequence

$$0 \to N \otimes_R M'' \to N \otimes_R M' \to N \otimes_R M \to 0$$

is a short exact sequence.

Proof. Let $R^{(I)} \to N$ be a surjection from a free module onto $N$ with kernel $K$. The result follows from the snake lemma applied to the following diagram

\[
\begin{array}{ccccccccc}
0 & 0 & 0 & 0 \\
\uparrow & \uparrow & \uparrow & \uparrow \\
M'' \otimes_R N & M' \otimes_R N & M \otimes_R N & 0 \\
\uparrow & \uparrow & \uparrow & \uparrow \\
0 & (M'')^{(I)} & (M')^{(I)} & M^{(I)} & 0 \\
\uparrow & \uparrow & \uparrow & \uparrow & \uparrow \\
M'' \otimes_R K & M' \otimes_R K & M \otimes_R K & 0 \\
\uparrow & \uparrow & \uparrow & \uparrow & \uparrow & \uparrow \\
0 & 0 & 0 & 0
\end{array}
\]

with exact rows and columns. The middle row is exact because tensoring with the free module $R^{(I)}$ is exact. \[\square\]

Lemma 38.13. Suppose that $0 \to M' \to M \to M'' \to 0$ is a short exact sequence of $R$-modules. If $M'$ and $M''$ are flat so is $M$. If $M$ and $M''$ are flat so is $M'$.

Proof. We will use the criterion that a module $N$ is flat if for every ideal $I \subset R$ the map $N \otimes_R I \to N$ is injective, see Lemma 35.5. Consider an ideal $I \subset R$. Consider the diagram

\[
\begin{array}{ccccccccc}
0 & M' & M & M'' & 0 \\
\uparrow & \uparrow & \uparrow & \uparrow & \uparrow & \uparrow & \uparrow & \uparrow \\
M' \otimes_R I & M \otimes_R I & M'' \otimes_R I & 0
\end{array}
\]

COMMUTATIVE ALGEBRA 86
with exact rows. This immediately proves the first assertion. The second follows because if $M''$ is flat then the lower left horizontal arrow is injective by Lemma 38.12. □

**Lemma 38.14.** Let $R$ be a ring. Let $M$ be an $R$-module. The following are equivalent:

1. $M$ is faithfully flat, and
2. $M$ is flat and for all $R$-module homomorphisms $\alpha : N \to N'$ we have $\alpha = 0$ if and only if $\alpha \otimes \text{id}_M = 0$.

**Proof.** If $M$ is faithfully flat, then $0 \to \text{Ker}(\alpha) \to N \to N'$ is exact if and only if the same holds after tensoring with $M$. This proves (1) implies (2). For the other, assume (2). Let $N_1 \to N_2 \to N_3$ be a complex, and assume the complex $N_1 \otimes_R M \to N_2 \otimes_R M \to N_3 \otimes_R M$ is exact. Take $x \in \text{Ker}(N_2 \to N_3)$, and consider the map $\alpha : R \to N_2/\text{Im}(N_1)$, $r \mapsto rx + \text{Im}(N_1)$. By the exactness of the complex $- \otimes_R M$ we see that $\alpha \otimes \text{id}_M$ is zero. By assumption we get that $\alpha$ is zero. Hence $x$ is in the image of $N_1 \to N_2$. □

**Lemma 38.15.** Let $M$ be a flat $R$-module. The following are equivalent:

1. $M$ is faithfully flat,
2. for all $p \in \text{Spec}(R)$ the tensor product $M \otimes_R \kappa(p)$ is nonzero, and
3. for all maximal ideals $m$ of $R$ the tensor product $M \otimes_R \kappa(m) = M/mM$ is nonzero.

**Proof.** Assume $M$ faithfully flat. Since $R \to \kappa(p)$ is not zero we deduce that $M \to M \otimes_R \kappa(p)$ is not zero, see Lemma 38.14. Conversely assume that $M$ is flat and that $M/mM$ is never zero. Suppose that $N_1 \to N_2 \to N_3$ is a complex and suppose that $N_1 \otimes_R M \to N_2 \otimes_R M \to N_3 \otimes_R M$ is exact. Let $H$ be the cohomology of the complex, so $H = \text{Ker}(N_2 \to N_3)/\text{Im}(N_1 \to N_2)$. By flatness we see that $H \otimes_R M = 0$. Take $x \in H$ and let $I = \{f \in R \mid fx = 0\}$ be its annihilator. Since $R/I \subset H$ we get $M/IM \subset H \otimes_R M = 0$ by flatness of $M$. If $I \neq R$ we may choose a maximal ideal $I \subset m \subset R$. This immediately gives a contradiction. □

**Lemma 38.16.** Let $R \to S$ be a flat ring map. The following are equivalent:

1. $R \to S$ is faithfully flat,
2. the induced map on Spec is surjective, and
3. any closed point $x \in \text{Spec}(R)$ is in the image of the map $\text{Spec}(S) \to \text{Spec}(R)$.

**Proof.** This follows quickly from Lemma 38.15 because we saw in Remark 16.8 that $p$ is in the image if and only if the ring $S \otimes_R \kappa(p)$ is nonzero. □

**Lemma 38.17.** A flat local ring homomorphism of local rings is faithfully flat.

**Proof.** Immediate from Lemma 38.16. □

**Lemma 38.18.** Let $R \to S$ be flat. Let $p \subset p'$ be primes of $R$. Let $q' \subset S$ be a prime of $S$ mapping to $p'$. Then there exists a prime $q \subset q'$ mapping to $p$.

**Proof.** Namely, consider the flat local ring map $R_{p'} \to S_{q'}$. By Lemma 38.17 this is faithfully flat. By Lemma 38.16 there is a prime mapping to $p_{R_{p'}}$. The inverse image of this prime in $S$ does the job. □
The property of $R \to S$ described in the lemma is called the “going down property”. See Definition \[10.1\]. We finish with some remarks on flatness and localization.

**Lemma 38.19.** Let $R$ be a ring. Let $S \subset R$ be a multiplicative subset.

1. The localization $S^{-1}R$ is a flat $R$-algebra.
2. If $M$ is an $S^{-1}R$-module, then $M$ is a flat $R$-module if and only if $M$ is a flat $S^{-1}R$-module.
3. Suppose $M$ is an $R$-module. Then $M$ is a flat $R$-module if and only if $M_p$ is a flat $R_p$-module for all primes $p$ of $R$.
4. Suppose $M$ is an $R$-module. Then $M$ is a flat $R$-module if and only if $M_m$ is a flat $R_m$-module for all maximal ideals $m$ of $R$.
5. Suppose $R \to A$ is a ring map, $M$ is an $A$-module, and $g_1, \ldots, g_m \in A$ are elements generating the unit ideal of $A$. Then $M$ is flat over $R$ if and only if each localization $M_{g_i}$ is flat over $R$.
6. Suppose $R \to A$ is a ring map, and $M$ is an $A$-module. Then $M$ is a flat $R$-module if and only if the localization $M_q$ is a flat $R_p$-module (with $p$ the prime of $R$ lying under $q$) for all primes $q$ of $A$.
7. Suppose $R \to A$ is a ring map, and $M$ is an $A$-module. Then $M$ is a flat $R$-module if and only if the localization $M_m$ is a flat $R_p$-module (with $p = R \cap m$) for all maximal ideals $m$ of $A$.

**Proof.** Let us prove the last statement of the lemma. In the proof we will use repeatedly that localization is exact and commutes with tensor product, see Sections \[9\] and \[11\].

Suppose $R \to A$ is a ring map, and $M$ is an $A$-module. Assume that $M_m$ is a flat $R_p$-module for all maximal ideals $m$ of $A$ (with $p = R \cap m$). Let $I \subset R$ be an ideal. We have to show the map $I \otimes_R M \to M$ is injective. We can think of this as a map of $A$-modules. By assumption the localization $(I \otimes_R M)_m \to M_m$ is injective because $(I \otimes_R M)_m = I_p \otimes_{R_p} M_m$. Hence the kernel of $I \otimes_R M \to M$ is zero by Lemma \[22.1\]. Hence $M$ is flat over $R$.

Conversely, assume $M$ is flat over $R$. Pick a prime $q$ of $A$ lying over the prime $p$ of $R$. Suppose that $I \subset R_p$ is an ideal. We have to show that $I \otimes_{R_p} M_q \to M_q$ is injective. We can write $I = J_p$ for some ideal $J \subset R$. Then the map $I \otimes_{R_p} M_q \to M_q$ is just the localization (at $q$) of the map $J \otimes_R M \to M$ which is injective. Since localization is exact we see that $M_q$ is a flat $R_p$-module.

This proves (7) and (6). The other statements follow in a straightforward way from the last statement (proofs omitted). \[\square\]

**Lemma 38.20.** Let $R$ be a ring. Let $\{S_i, \varphi_{ij}\}$ be a directed system of faithfully flat $R$-algebras. Then $S = \colim_i S_i$ is a faithfully flat $R$-algebra.

**Proof.** By Lemma \[38.3\] we see that $S$ is flat. Let $m \subset R$ be a maximal ideal. By Lemma \[38.16\] none of the rings $S_i/mS_i$ is zero. Hence $S/mS = \colim_i S_i/mS_i$ is nonzero as well because 1 is not equal to zero. Thus the image of $\Spec(S) \to \Spec(R)$ contains $m$ and we see that $R \to S$ is faithfully flat by Lemma \[38.16\]. \[\square\]

**39. Supports and annihilators**

Some very basic definitions and lemmas.
Definition 39.1. Let $R$ be a ring and let $M$ be an $R$-module. The support of $M$ is the set

$$\text{Supp}(M) = \{ p \in \text{Spec}(R) \mid M_p \neq 0 \}$$

Lemma 39.2. Let $R$ be a ring. Let $M$ be an $R$-module. Then

$$M = (0) \iff \text{Supp}(M) = \emptyset.$$

Proof. Actually, Lemma 22.1 even shows that $\text{Supp}(M)$ always contains a maximal
ideal if $M$ is not zero.

Definition 39.3. Let $R$ be a ring. Let $M$ be an $R$-module.

1. Given an element $m \in M$ the annihilator of $m$ is the ideal

$$\text{Ann}_R(m) = \text{Ann}(m) = \{ f \in R \mid fm = 0 \}.$$

2. The annihilator of $M$ is the ideal

$$\text{Ann}_R(M) = \text{Ann}(M) = \{ f \in R \mid fm = 0 \forall m \in M \}.$$

Lemma 39.4. Let $R \to S$ be a flat ring map. Let $M$ be an $R$-module and $m \in M$. Then $\text{Ann}_R(m)S = \text{Ann}_S(m \otimes 1)$. If $M$ is a finite $R$-module, then $\text{Ann}_R(M)S = \text{Ann}_S(M \otimes_R S)$.

Proof. Set $I = \text{Ann}_R(m)$. By definition there is an exact sequence $0 \to I \to R \to M$ where the map $R \to M$ sends $f$ to $fm$. Using flatness we obtain an exact sequence $0 \to I \otimes_R S \to S \to M \otimes_R S$ which proves the first assertion. If $m_1, \ldots, m_n$ is a set of generators of $M$ then $\text{Ann}_R(M) = \bigcap \text{Ann}_R(m_i)$. Similarly $\text{Ann}_S(M \otimes_R S) = \bigcap \text{Ann}_S(m_i \otimes 1)$. Set $I_i = \text{Ann}_R(m_i)$. Then it suffices to show that $\bigcap_{i=1,\ldots,n}(I_iS) = (\bigcap_{i=1,\ldots,n}I_i)S$. This is Lemma 38.2.

Lemma 39.5. Let $R$ be a ring and let $M$ be an $R$-module. If $M$ is finite, then $\text{Supp}(M)$ is closed. More precisely, if $I = \text{Ann}(M)$ is the annihilator of $M$, then $V(I) = \text{Supp}(M)$.

Proof. We will show that $V(I) = \text{Supp}(M)$.

Suppose $p \in \text{Supp}(M)$. Then $M_p \neq 0$. Hence by Nakayama’s Lemma 19.1 we have $M \otimes_R \kappa(p) \neq 0$. Hence $I \subseteq p$.

Conversely, suppose that $p \not\in \text{Supp}(M)$. Then $M_p = 0$. Let $x_1, \ldots, x_r \in M$ be generators. By Lemma 9.9 there exists an $f \in R$, $f \not\in p$ such that $x_i/1 = 0$ in $M_f$. Hence $f^n x_i = 0$ for some $n_i \geq 1$. Hence $f^n M = 0$ for $n = \max\{n_i\}$ as desired.

Lemma 39.6. Let $R \to R'$ be a ring map and let $M$ be a finite $R$-module. Then $\text{Supp}(M \otimes_R R')$ is the inverse image of $\text{Supp}(M)$.

Proof. Let $p \in \text{Supp}(M)$. By Nakayama’s lemma (Lemma 19.1) we see that

$$M \otimes_R \kappa(p) = M_p/pM_p$$

is a nonzero $\kappa(p)$ vector space. Hence for every prime $p' \subset R'$ lying over $p$ we see that

$$(M \otimes_R R')_{p'}/p'(M \otimes_R R')_{p'} = (M \otimes_R R')_{p'} \otimes_{R'} \kappa(p') = M \otimes_R \kappa(p) \otimes_{\kappa(p)} \kappa(p')$$

is nonzero. This implies $p' \in \text{Supp}(M \otimes_R R')$. For the converse, if $p' \subset R'$ is a prime lying over an arbitrary prime $p \subset R$, then

$$(M \otimes_R R')_{p'} = M_p \otimes_{R_p} R'_{p'}.$$
Hence if $p' \in \text{Supp}(M \otimes_R R')$ lies over the prime $p \subset R$, then $p \in \text{Supp}(M)$. □

Lemma 39.7. Let $R$ be a ring, let $M$ be an $R$-module, and let $m \in M$. Then $p \in V(\text{Ann}(m))$ if and only if $m$ does not map to zero in $M_p$.

**Proof.** We may replace $M$ by $Rm \subset M$. Then (1) $\text{Ann}(m) = \text{Ann}(M)$ and (2) $x$ does not map to zero in $M_p$ if and only if $p \in \text{Supp}(M)$. The result now follows from Lemma 39.5. □

Lemma 39.8. Let $R$ be a ring and let $M$ be an $R$-module. If $M$ is a finitely presented $R$-module, then $\text{Supp}(M)$ is a closed subset of $\text{Spec}(R)$ whose complement is quasi-compact.

**Proof.** Choose a presentation

$$R^{\oplus m} \rightarrow R^{\oplus n} \rightarrow M \rightarrow 0$$

Let $A \in \text{Mat}(n \times m, R)$ be the matrix of the first map. By Nakayama’s Lemma [19.1] we see that

$$M_p \neq 0 \Leftrightarrow M \otimes \kappa(p) \neq 0 \Leftrightarrow \text{rank}(A \mod p) < n.$$  

Hence, if $I$ is the ideal of $R$ generated by the $n \times n$ minors of $A$, then $\text{Supp}(M) = V(I)$. Since $I$ is finitely generated, say $I = (f_1, \ldots, f_t)$, we see that $\text{Spec}(R) \setminus V(I)$ is a finite union of the standard opens $D(f_i)$, hence quasi-compact. □

Lemma 39.9. Let $R$ be a ring and let $M$ be an $R$-module.

1. If $M$ is finite then the support of $M/IM$ is $\text{Supp}(M) \cap V(I)$.
2. If $N \subset M$, then $\text{Supp}(N) \subset \text{Supp}(M)$.
3. If $Q$ is a quotient module of $M$ then $\text{Supp}(Q) \subset \text{Supp}(M)$.
4. If $0 \rightarrow N \rightarrow M \rightarrow Q \rightarrow 0$ is a short exact sequence then $\text{Supp}(M) = \text{Supp}(Q) \cup \text{Supp}(N)$.

**Proof.** The functors $M \mapsto M_p$ are exact. This immediately implies all but the first assertion. For the first assertion we need to show that $M_p \neq 0$ and $I \subset p$ implies $(M/IM)_p = M_p/IM_p \neq 0$. This follows from Nakayama’s Lemma [19.1]. □

40. Going up and going down

Suppose $p, p'$ are primes of the ring $R$. Let $X = \text{Spec}(R)$ with the Zariski topology. Denote $x \in X$ the point corresponding to $p$ and $x' \in X$ the point corresponding to $p'$. Then we have:

$$x' \leadsto x \Leftrightarrow p' \subset p.$$  

In words: $x$ is a specialization of $x'$ if and only if $p' \subset p$. See Topology, Section [19] for terminology and notation.

Definition 40.1. Let $\varphi : R \rightarrow S$ be a ring map.

1. We say $\varphi : R \rightarrow S$ satisfies going up if given primes $p \subset p'$ in $R$ and a prime $q$ in $S$ lying over $p$ there exists a prime $q'$ of $S$ such that (a) $q \subset q'$, and (b) $q'$ lies over $p'$.
2. We say $\varphi : R \rightarrow S$ satisfies going down if given primes $p \subset p'$ in $R$ and a prime $q'$ in $S$ lying over $p'$ there exists a prime $q$ of $S$ such that (a) $q \subset q'$, and (b) $q$ lies over $p$.

So far we have see the following cases of this:
(1) An integral ring map satisfies going up, see Lemma 35.22.
(2) As a special case finite ring maps satisfy going up.
(3) As a special case quotient maps $R \rightarrow R/I$ satisfy going up.
(4) A flat ring map satisfies going down, see Lemma 38.18.
(5) As a special case any localization satisfies going down.
(6) An extension $R \subset S$ of domains, with $R$ normal and $S$ integral over $R$ satisfies going down, see Proposition 37.7.

Here is another case where going down holds.

**Lemma 40.2.** Let $R \rightarrow S$ be a ring map. If the induced map $\phi : \text{Spec}(S) \rightarrow \text{Spec}(R)$ is open, then $R \rightarrow S$ satisfies going down.

**Proof.** Suppose that $p \subset p' \subset R$ and $q' \subset S$ lies over $p'$. As $\phi$ is open, for every $g \in S$, $g \notin q'$ we see that $p$ is in the image of $D(g) \subset \text{Spec}(S)$. In other words $S_g \otimes_R \kappa(p)$ is not zero. Since $S_{q'}$ is the directed colimit of these $S_g$ this implies that $S_{q'} \otimes_R \kappa(p)$ is not zero, see Lemmas 9.9 and 11.9. Hence $p$ is in the image of $\text{Spec}(S_{q'}) \rightarrow \text{Spec}(R)$ as desired. □

**Lemma 40.3.** Let $R \rightarrow S$ be a ring map.

(1) $R \rightarrow S$ satisfies going down if and only if generalizations lift along the map $\text{Spec}(S) \rightarrow \text{Spec}(R)$, see Topology, Definition 19.4.

(2) $R \rightarrow S$ satisfies going up if and only if specializations lift along the map $\text{Spec}(S) \rightarrow \text{Spec}(R)$, see Topology, Definition 19.4.

**Proof.** Omitted. □

**Lemma 40.4.** Suppose $R \rightarrow S$ and $S \rightarrow T$ are ring maps satisfying going down. Then so does $R \rightarrow T$. Similarly for going up.

**Proof.** According to Lemma 40.3 this follows from Topology, Lemma 19.5. □

**Lemma 40.5.** Let $R \rightarrow S$ be a ring map. Let $T \subset \text{Spec}(R)$ be the image of $\text{Spec}(S)$. If $T$ is stable under specialization, then $T$ is closed.

**Proof.** We give two proofs.

First proof. Let $p \subset R$ be a prime ideal such that the corresponding point of $\text{Spec}(R)$ is in the closure of $T$. This means that for every $f \in R$, $f \notin p$ we have $D(f) \cap T 
\neq \emptyset$. Note that $D(f) \cap T$ is the image of $\text{Spec}(S_f)$ in $\text{Spec}(R)$. Hence we conclude that $S_f \neq 0$. In other words, $1 \neq 0$ in the ring $S_f$. Since $S_p$ is the directed colimit of the rings $S_f$ we conclude that $1 \neq 0$ in $S_p$. In other words, $S_p \neq 0$ and considering the image of $\text{Spec}(S_p) \rightarrow \text{Spec}(S) \rightarrow \text{Spec}(R)$ we see there exists a $p' \in T$ with $p' \subset p$. As we assumed $T$ closed under specialization we conclude $p$ is a point of $T$ as desired.

Second proof. Let $I = \text{Ker}(R \rightarrow S)$. We may replace $R$ by $R/I$. In this case the ring map $R \rightarrow S$ is injective. By Lemma 29.5 all the minimal primes of $R$ are contained in the image $T$. Hence if $T$ is stable under specialization then it contains all primes. □

**Lemma 40.6.** Let $R \rightarrow S$ be a ring map. The following are equivalent:

(1) Going up holds for $R \rightarrow S$, and

(2) the map $\text{Spec}(S) \rightarrow \text{Spec}(R)$ is closed.

**Proof.** Omitted. □
Proof. It is a general fact that specializations lift along a closed map of topological spaces, see Topology, Lemma 19.7. Hence the second condition implies the first.

Assume that going up holds for \( R \to S \). Let \( V(I) \subset \text{Spec}(S) \) be a closed set. We want to show that the image of \( V(I) \) in \( \text{Spec}(R) \) is closed. The ring map \( S \to S/I \) obviously satisfies going up. Hence \( R \to S \to S/I \) satisfies going up, by Lemma 40.4. Replacing \( S \) by \( S/I \) it suffices to show the image \( T \) of \( \text{Spec}(S) \) in \( \text{Spec}(R) \) is closed. By Topology, Lemmas 19.2 and 19.6 this image is stable under specialization. Thus the result follows from Lemma 40.5.

Lemma 40.7. Let \( R \) be a ring. Let \( E \subset \text{Spec}(R) \) be a constructible subset.

1. If \( E \) is stable under specialization, then \( E \) is closed.
2. If \( E \) is stable under generalization, then \( E \) is open.

Proof. First proof. The first assertion follows from Lemma 40.5 combined with Lemma 28.3. The second follows because the complement of a constructible set is constructible (see Topology, Lemma 15.2), the first part of the lemma and Topology, Lemma 19.2.

Second proof. Since \( \text{Spec}(R) \) is a spectral space by Lemma 25.2 this is a special case of Topology, Lemma 23.5.

Proposition 40.8. Let \( R \to S \) be flat and of finite presentation. Then \( \text{Spec}(S) \to \text{Spec}(R) \) is open. More generally this holds for any ring map \( R \to S \) of finite presentation which satisfies going down.

Proof. Assume that \( R \to S \) has finite presentation and satisfies going down. It suffices to prove that the image of a standard open \( D(f) \) is open. Since \( S \to S_f \) satisfies going down as well, we see that \( R \to S_f \) satisfies going down. Thus after replacing \( S \) by \( S_f \) we see it suffices to prove the image is open. By Chevalley’s theorem (Theorem 28.9) the image is a constructible set \( E \). And \( E \) is stable under generalization because \( R \to S \) satisfies going down, see Topology, Lemmas 19.2 and 19.6. Hence \( E \) is open by Lemma 40.7.

Lemma 40.9. Let \( k \) be a field, and let \( R, S \) be \( k \)-algebras. Let \( S' \subset S \) be a sub \( k \)-algebra, and let \( f \in S' \otimes_k R \). In the commutative diagram

\[
\begin{array}{ccc}
\text{Spec}((S' \otimes_k R)_f) & \longrightarrow & \text{Spec}((S' \otimes_k R)_f) \\
\downarrow & & \downarrow \\
\text{Spec}(R) & & 
\end{array}
\]

the images of the diagonal arrows are the same.

Proof. Let \( p \subset R \) be in the image of the south-west arrow. This means (Lemma 16.9) that

\[
(S' \otimes_k R)_f \otimes_R \kappa(p) = (S' \otimes_k \kappa(p))_f
\]

is not the zero ring, i.e., \( S' \otimes_k \kappa(p) \) is not the zero ring and the image of \( f \) in it is not nilpotent. The ring map \( S' \otimes_k \kappa(p) \to S \otimes_k \kappa(p) \) is injective. Hence also \( S \otimes_k \kappa(p) \) is not the zero ring and the image of \( f \) in it is not nilpotent. Hence \( (S \otimes_k R)_f \otimes_R \kappa(p) \) is not the zero ring. Thus (Lemma 16.9) we see that \( p \) is in the image of the south-east arrow as desired.
Let $k$ be a field. Let $R$ and $S$ be $k$-algebras. The map $\text{Spec}(S \otimes_k R) \to \text{Spec}(R)$ is open.

**Proof.** Let $f \in R \otimes_k S$. It suffices to prove that the image of the standard open $D(f)$ is open. Let $S' \subset S$ be a finite type $k$-subalgebra such that $f \in S' \otimes_k R$. The map $R \to S' \otimes_k R$ is flat and of finite presentation, hence the image $U$ of $\text{Spec}((S' \otimes_k R)_f) \to \text{Spec}(R)$ is open by Proposition 40.8. By Lemma 40.9 this is also the image of $D(f)$ and we win. □

Here is a tricky lemma that is sometimes useful.

**Lemma 40.11.** Let $R \to S$ be a ring map. Let $p \subset R$ be a prime. Assume that

1. there exists a unique prime $q \subset S$ lying over $p$, and
2. either
   - (a) going up holds for $R \to S$, or
   - (b) going down holds for $R \to S$ and there is at most one prime of $S$ above every prime of $R$.

Then $S_p = S_q$.

**Proof.** Consider any prime $q' \subset S$ which corresponds to a point of $\text{Spec}(S_p)$. This means that $p' = R \cap q'$ is contained in $p$. Here is a picture

```
q' ---- ? ---- S
|     |          |
p'    p ------- R
```

Assume (1) and (2)(a). By going up there exists a prime $q'' \subset S$ with $q' \subset q''$ and $q''$ lying over $p$. By the uniqueness of $q$ we conclude that $q'' = q$. In other words $q'$ defines a point of $\text{Spec}(S_q)$.

Assume (1) and (2)(b). By going down there exists a prime $q'' \subset q$ lying over $p'$. By the uniqueness of primes lying over $p'$ we see that $q' = q''$. In other words $q'$ defines a point of $\text{Spec}(S_q)$.

In both cases we conclude that the map $\text{Spec}(S_q) \to \text{Spec}(S_p)$ is bijective. Clearly this means all the elements of $S - q$ are all invertible in $S_p$, in other words $S_p = S_q$. □

The following lemma is a generalization of going down for flat ring maps.

**Lemma 40.12.** Let $R \to S$ be a ring map. Let $N$ be a finite $S$-module flat over $R$. Endow $\text{Supp}(N) \subset \text{Spec}(S)$ with the induced topology. Then generalizations lift along $\text{Supp}(N) \to \text{Spec}(R)$.

**Proof.** The meaning of the statement is as follows. Let $p \subset p' \subset R$ be primes. Let $q' \subset S$ be a prime $q' \in \text{Supp}(N)$ Then there exists a prime $q \subset q'$, $q \in \text{Supp}(N)$ lying over $p$. As $N$ is flat over $R$ we see that $N_{q'}$ is flat over $R_{p'}$, see Lemma 38.19. As $N_{q'}$ is finite over $S_{q'}$ and not zero since $q' \in \text{Supp}(N)$ we see that $N_{q'} \otimes_{S_{q'}} \kappa(q')$ is nonzero by Nakayama’s Lemma 19.1. Thus $N_{q'} \otimes_{R_{p'}} \kappa(p')$ is also not zero. We conclude from Lemma 38.15 that $N_{q'} \otimes_{R_{p'}} \kappa(p)$ is nonzero. Let $J \subset S_{q'} \otimes_{R_{p'}} \kappa(p)$ be the annihilator of the finite nonzero module $N_{q'} \otimes_{R_{p'}} \kappa(p)$. Since $J$ is a proper ideal we can choose a prime $q \subset S$ which corresponds to a prime of $S_{q'} \otimes_{R_{p'}} \kappa(p)/J$. This prime is in the support of $N$, lies over $p$, and is contained in $q'$ as desired. □
41. Separable extensions

In this section we talk about separability for nonalgebraic field extensions. This is closely related to the concept of geometrically reduced algebras, see Definition 42.1.

Definition 41.1. Let \( k \subset K \) be a field extension.

1. We say \( K \) is separably generated over \( k \) if there exists a transcendence basis \( \{x_i; i \in I\} \) of \( K/k \) such that the extension \( k(x_i; i \in I) \subset K \) is a separable algebraic extension.

2. We say \( K \) is separable over \( k \) if for every subextension \( k \subset K' \subset K \) with \( K' \) finitely generated over \( k \), the extension \( k \subset K' \) is separably generated.

With this awkward definition it is not clear that a separably generated field extension is itself separable. It will turn out that this is the case, see Lemma 43.2.

Lemma 41.2. Let \( k \subset K \) be a separable field extension. For any subextension \( k \subset K' \subset K \) the field extension \( k \subset K' \) is separable.

Proof. This is direct from the definition.  \( \square \)

Lemma 41.3. Let \( k \subset K \) be a separably generated, and finitely generated field extension. Set \( r = \text{trdeg}_k(K) \). Then there exist elements \( x_1, \ldots, x_{r+1} \) of \( K \) such that

1. \( x_1, \ldots, x_r \) is a transcendence basis of \( K \) over \( k \),
2. \( K = k(x_1, \ldots, x_{r+1}) \), and
3. \( x_{r+1} \) is separable over \( k(x_1, \ldots, x_r) \).

Proof. Combine the definition with Fields, Lemma 19.1.  \( \square \)

Lemma 41.4. Let \( k \subset K \) be a finitely generated field extension. There exists a diagram

\[
\begin{array}{ccc}
K & \longrightarrow & K' \\
\uparrow & & \uparrow \\
k & \longrightarrow & k'
\end{array}
\]

where \( k \subset k' \), \( K \subset K' \) are finite purely inseparable field extensions such that \( k' \subset K' \) is a separably generated field extension.

Proof. This lemma is only interesting when the characteristic of \( k \) is \( p > 0 \). Choose \( x_1, \ldots, x_r \) a transcendence basis of \( K \) over \( k \). As \( K \) is finitely generated over \( k \) the extension \( k(x_1, \ldots, x_r) \subset K \) is finite. Let \( k(x_1, \ldots, x_r) \subset K_{\text{sep}} \subset K \) be the subextension found in Fields, Lemma 14.6. If \( K = K_{\text{sep}} \) then we are done. We will use induction on \( d = [K : K_{\text{sep}}] \).

Assume that \( d > 1 \). Choose a \( \beta \in K \) with \( \alpha = \beta^p \in K_{\text{sep}} \) and \( \beta \notin K_{\text{sep}} \). Let \( P = T^d + a_1 T^{d-1} + \ldots + a_d \) be the minimal polynomial of \( \alpha \) over \( k(x_1, \ldots, x_r) \). Let \( k \subset k' \) be a finite purely inseparable extension obtained by adjoining \( p \)th roots such that each \( a_i \) is a \( p \)th power in \( k'(x_1^{1/p}, \ldots, x_r^{1/p}) \). Such an extension exists; details omitted. Let \( L \) be a field fitting into the diagram

\[
\begin{array}{ccc}
K & \longrightarrow & L \\
\uparrow & & \uparrow \\
k(x_1, \ldots, x_r) & \longrightarrow & k'(x_1^{1/p}, \ldots, x_r^{1/p})
\end{array}
\]
We may and do assume $L$ is the compositum of $K$ and $k'(x_1^{1/p},\ldots,x_r^{1/p})$. Let $k'(x_1^{1/p},\ldots,x_r^{1/p}) \subset L_{\text{sep}} \subset L$ be the subextension found in Fields, Lemma 14.6. Then $L_{\text{sep}}$ is the compositum of $K_{\text{sep}}$ and $k'(x_1^{1/p},\ldots,x_r^{1/p})$. The element $\alpha \in L_{\text{sep}}$ is a zero of the polynomial $P$ all of whose coefficients are $p$th powers in $k'(x_1^{1/p},\ldots,x_r^{1/p})$ and whose roots are pairwise distinct. By Fields, Lemma 28.2 we see that $\alpha = (\alpha')^p$ for some $\alpha' \in L_{\text{sep}}$. Clearly, this means that $\beta$ maps to $\alpha' \in L_{\text{sep}}$. In other words, we get the tower of fields

\[
\begin{array}{c}
K \\ K_{\text{sep}}(\beta) \\ K_{\text{sep}} \\
\end{array} \rightarrow
\begin{array}{c}
L \\ L_{\text{sep}} \\
L_{\text{sep}} \\
L_{\text{sep}} \\
\end{array}
\rightarrow
\begin{array}{c}
k(x_1,\ldots,x_r) \\
\rightarrow k'(x_1^{1/p},\ldots,x_r^{1/p}) \\
\rightarrow k \\
\rightarrow k' \\
\end{array}
\]

Thus this construction leads to a new situation with $[L : L_{\text{sep}}] < [K : K_{\text{sep}}]$. By induction we can find $k' \subset k''$ and $L \subset L'$ as in the lemma for the extension $k' \subset L$. Then the extensions $k \subset k''$ and $K \subset L'$ work for the extension $k \subset K$. This proves the lemma.

**42. Geometrically reduced algebras**

05DS The main result on geometrically reduced algebras is Lemma 43.3. We suggest the reader skip to the lemma after reading the definition.

030S **Definition 42.1.** Let $k$ be a field. Let $S$ be a $k$-algebra. We say $S$ is geometrically reduced over $k$ if for every field extension $k \subset K$ the $K$-algebra $K \otimes_k S$ is reduced.

Let $k$ be a field and let $S$ be a reduced $k$ algebra. To check that $S$ is geometrically reduced it will suffice to check that $\overline{k} \otimes_k S$ is reduced (where $\overline{k}$ denotes the algebraic closure of $k$). In fact it is enough to check this for finite purely inseparable field extensions $k \subset k'$. See Lemma 43.3.

030T **Lemma 42.2.** Elementary properties of geometrically reduced algebras. Let $k$ be a field. Let $S$ be a $k$-algebra.

1. If $S$ is geometrically reduced over $k$ so is every $k$-subalgebra.
2. If all finitely generated $k$-subalgebras of $S$ are geometrically reduced, then $S$ is geometrically reduced.
3. A directed colimit of geometrically reduced $k$-algebras is geometrically reduced.
4. If $S$ is geometrically reduced over $k$, then any localization of $S$ is geometrically reduced over $k$. 

□
Proof. Omitted. The second and third property follow from the fact that tensor product commutes with colimits. □

Lemma 42.3. Let $k$ be a field. If $R$ is geometrically reduced over $k$, and $S \subset R$ is a multiplicative subset, then the localization $S^{-1}R$ is geometrically reduced over $k$. If $R$ is geometrically reduced over $k$, then $R[x]$ is geometrically reduced over $k$.

Proof. Omitted. Hints: A localization of a reduced ring is reduced, and localization commutes with tensor products. □

In the proofs of the following lemmas we will repeatedly use the following observation: Suppose that $R' \subset R$ and $S' \subset S$ are inclusions of $k$-algebras. Then the map $R' \otimes_k S' \to R \otimes_k S$ is injective.

Lemma 42.4. Let $k$ be a field. Let $R$, $S$ be $k$-algebras.

1. If $R \otimes_k S$ is nonreduced, then there exist finitely generated subalgebras $R' \subset R$, $S' \subset S$ such that $R' \otimes_k S'$ is not reduced.
2. If $R \otimes_k S$ contains a nonzero zero divisor, then there exist finitely generated subalgebras $R' \subset R$, $S' \subset S$ such that $R' \otimes_k S'$ contains a nonzero zero divisor.
3. If $R \otimes_k S$ contains a nontrivial idempotent, then there exist finitely generated subalgebras $R' \subset R$, $S' \subset S$ such that $R' \otimes_k S'$ contains a nontrivial idempotent.

Proof. Suppose $z \in R \otimes_k S$ is nilpotent. We may write $z = \sum_{i=1}^n x_i \otimes y_i$. Thus we may take $R'$ the $k$-subalgebra generated by the $x_i$ and $S'$ the $k$-subalgebra generated by the $y_i$. The second and third statements are proved in the same way. □

Lemma 42.5. Let $k$ be a field. Let $S$ be a geometrically reduced $k$-algebra. Let $R$ be any reduced $k$-algebra. Then $R \otimes_k S$ is reduced.

Proof. By Lemma 42.4 we may assume that $R$ is of finite type over $k$. Then $R$, as a reduced Noetherian ring, embeds into a finite product of fields (see Lemmas 24.4, 30.6 and 24.1). Hence we may assume $R$ is a finite product of fields. In this case it follows from Definition 42.1 that $R \otimes_k S$ is reduced. □

Lemma 42.6. Let $k$ be a field. Let $S$ be a reduced $k$-algebra. Let $k \subset K$ be either a separable field extension, or a separably generated field extension. Then $K \otimes_k S$ is reduced.

Proof. Assume $k \subset K$ is separable. By Lemma 42.4 we may assume that $S$ is of finite type over $k$ and $K$ is finitely generated over $k$. Then $S$ embeds into a finite product of fields, namely its total ring of fractions (see Lemmas 24.1 and 24.4). Hence we may actually assume that $S$ is a domain. We choose $x_1, \ldots, x_{r+1} \in K$ as in Lemma 41.3. Let $P \in k(x_1, \ldots, x_r)[T]$ be the minimal polynomial of $x_{r+1}$. It is a separable polynomial. It is easy to see that $K[x_1, \ldots, x_r] \otimes_k S = S[x_1, \ldots, x_r]$ is a domain. This implies $k(x_1, \ldots, x_r) \otimes_k S$ is a domain as it is a localization of $S[x_1, \ldots, x_r]$. The ring extension $k(x_1, \ldots, x_r) \otimes_k S \subset K \otimes_k S$ is generated by a single element $x_{r+1}$ with a single equation, namely $P$. Hence $K \otimes_k S$ embeds into $F[T]/(P)$ where $F$ is the fraction field of $k(x_1, \ldots, x_r) \otimes_k S$. Since $P$ is separable this is a finite product of fields and we win.
Let this point we do not yet know that a separably generated field extension is separable, so we have to prove the lemma in this case also. To do this suppose that \( \{x_i\}_{i \in I} \) is a separable transcendence basis for \( K \) over \( k \). For any finite set of elements \( \lambda_j \in K \) there exists a finite subset \( T \subset I \) such that \( k(\{x_i\}_{i \in T} \subset k(\{x_i\}_{i \in T} \cup \{\lambda_j\}) \) is finite separable. Hence we see that \( K \) is a directed colimit of finitely generated and separably generated extensions of \( k \). Thus the argument of the preceding paragraph applies to this case as well. \( \square \)

**Lemma 42.7.** Let \( k \) be a field and let \( S \) be a \( k \)-algebra. Assume that \( S \) is reduced and that \( S_p \) is geometrically reduced for every minimal prime \( p \) of \( S \). Then \( S \) is geometrically reduced.

**Proof.** Since \( S \) is reduced the map \( S \to \prod_{p \text{ minimal}} S_p \) is injective, see Lemma 24.2. If \( k \subset K \) is a field extension, then the maps

\[
S \otimes_k K \to \left( \prod_S S_p \right) \otimes_k K \to \prod_S S_p \otimes_k K
\]

are injective: the first as \( k \to K \) is flat and the second by inspection because \( K \) is a free \( k \)-module. As \( S_p \) is geometrically reduced the ring on the right is reduced. Thus we see that \( S \otimes_k K \) is reduced as a subring of a reduced ring. \( \square \)

**Lemma 42.8.** Let \( k'/k \) be a separable algebraic extension. Then there exists a multiplicative subset \( S \subset k' \otimes_k k' \) such that the multiplication map \( k' \otimes_k k' \to k' \) is identified with \( k' \otimes_k k' \to S^{-1}(k' \otimes_k k') \).

**Proof.** First assume \( k'/k \) is finite separable. Then \( k' = k(\alpha) \), see Fields, Lemma 19.1. Let \( P \in k[x] \) be the minimal polynomial of \( \alpha \) over \( k \). Then \( P \) is an irreducible, separable, monic polynomial, see Fields, Section 12. Then \( k'[x]/(P) \to k' \otimes_k k' \), \( \sum \alpha_i x^i \to \alpha_i \otimes x^i \) is an isomorphism. We can factor \( P = (x - \alpha)Q \) in \( k'[x] \) and since \( P \) is separable we see that \( Q(\alpha) \neq 0 \). Then it is clear that the multiplicative set \( S' \) generated by \( Q \) in \( k'[x]/(P) \) works, i.e., that \( k' = (S')^{-1}(k'[x]/(P)) \). By transport of structure the image \( S \) of \( S' \) in \( k' \otimes_k k' \) works.

In the general case we write \( k' = \bigcup k_i \) as the union of its finite subfield extensions over \( k \). For each \( i \) there is a multiplicative subset \( S_i \subset k_i \otimes_k k_i \) such that \( k_i = S_i^{-1}(k_i \otimes_k k_i) \). Then \( S = \bigcup S_i \subset k' \otimes_k k' \) works. \( \square \)

**Lemma 42.9.** Let \( k \subset k' \) be a separable algebraic field extension. Let \( A \) be an algebra over \( k' \). Then \( A \) is geometrically reduced over \( k \) if and only if it is geometrically reduced over \( k' \).

**Proof.** Assume \( A \) is geometrically reduced over \( k' \). Let \( K/k \) be a field extension. Then \( K \otimes_k k' \) is a reduced ring by Lemma 42.6. Hence by Lemma 42.5 we find that \( K \otimes_k A = (K \otimes_k k') \otimes_{k'} A \) is reduced.

Assume \( A \) is geometrically reduced over \( k \). Let \( K/k' \) be a field extension. Then

\[
K \otimes_k A = (K \otimes_k k') \otimes_{(k' \otimes_k k')} k'
\]

Since \( k' \otimes_k k' \to k' \) is a localization by Lemma 42.8 we see that \( K \otimes_{k'} A \) is a localization of a reduced algebra, hence reduced. \( \square \)
43. Separable extensions, continued

Let \( p \) be a prime number and let \( k \) be a field of characteristic \( p \). In this case we write \( k^{1/p} \) for the extension of \( k \) gotten by adjoining \( p \)th roots of all the elements of \( k \). (In other words it is the subfield of an algebraic closure of \( k \) generated by the \( p \)th roots of elements of \( k \).)

**Lemma 43.1.** Let \( k \) be a field of characteristic \( p > 0 \). Let \( k \subset K \) be a field extension of \( k \). The following are equivalent:

1. \( K \) is separable over \( k \),
2. the ring \( K \otimes_k k^{1/p} \) is reduced, and
3. \( K \) is geometrically reduced over \( k \).

**Proof.** The implication (1) \( \Rightarrow \) (3) follows from Lemma 42.6. The implication (3) \( \Rightarrow \) (2) is immediate.

Assume (2). Let \( k \subset L \subset K \) be a subextension such that \( L \) is a finitely generated field extension of \( k \). We have to show that we can find a separating transcendence basis of \( L \). The assumption implies that \( L \otimes_k k^{1/p} \) is reduced. Let \( x_1, \ldots, x_r \) be a transcendence basis of \( L \) over \( k \) such that the degree of inseparability of the finite extension \( k(x_1, \ldots, x_r) \subset L \) is minimal. If \( L \) is separable over \( k(x_1, \ldots, x_r) \) then we win. Assume this is not the case to get a contradiction. Then there exists an element \( \alpha \in L \) which is not separable over \( k(x_1, \ldots, x_r) \). Let \( P(T) \in k(x_1, \ldots, x_r)[T] \) be the minimal polynomial of \( \alpha \) over \( k(x_1, \ldots, x_r) \). After replacing \( \alpha \) by \( f\alpha \) for some nonzero \( f \in k[x_1, \ldots, x_r] \) we may and do assume that \( P \) lies in \( k[x_1, \ldots, x_r, T] \). Because \( \alpha \) is not separable \( P \) is a polynomial in \( T^p \), see Fields, Lemma 12.1. Let \( dp \) be the degree of \( P \) as a polynomial in \( T \). Since \( P \) is the minimal polynomial of \( \alpha \) the monomials
\[
x_1^{e_1} \cdots x_r^{e_r} \alpha^e
\]
for \( e < dp \) are linearly independent over \( k \) in \( L \). We claim that the element \( \partial P/\partial x_i \in k[x_1, \ldots, x_r, T] \) is not zero for at least one \( i \). Namely, if this was not the case, then \( P \) is actually a polynomial in \( x_1^p, \ldots, x_r^p, T^p \). In that case we can consider \( P^{1/p} \in k^{1/p}[x_1, \ldots, x_r, T] \). This would map to \( P^{1/p}(x_1, \ldots, x_r, \alpha) \) which is a nilpotent element of \( k^{1/p} \otimes_k L \) and hence zero. On the other hand, \( P^{1/p}(x_1, \ldots, x_r, \alpha) \) is a \( k^{1/p} \)-linear combination the monomials listed above, hence nonzero in \( k^{1/p} \otimes_k L \). This is a contradiction which proves our claim.

Thus, after renumbering, we may assume that \( \partial P/\partial x_1 \) is not zero. As \( P \) is an irreducible polynomial in \( T \) over \( k(x_1, \ldots, x_r) \) it is irreducible as a polynomial in \( x_1, \ldots, x_r, T \), hence by Gauss’s lemma it is irreducible as a polynomial in \( x_1 \) over \( k(x_2, \ldots, x_r, T) \). Since the transcendence degree of \( L \) is \( r \) we see that \( x_2, \ldots, x_r, \alpha \) are algebraically independent. Hence \( P(X, x_2, \ldots, x_r, \alpha) \in k(x_2, \ldots, x_r, \alpha)[X] \) is irreducible. It follows that \( x_1 \) is separably algebraic over \( k(x_2, \ldots, x_r, \alpha) \). This means that the degree of inseparability of the finite extension \( k(x_2, \ldots, x_r, \alpha) \subset L \) is less than the degree of inseparability of the finite extension \( k(x_1, \ldots, x_r) \subset L \), which is a contradiction.

**Lemma 43.2.** A separably generated field extension is separable.

**Proof.** Combine Lemma 42.6 with Lemma 43.1.
In the following lemma we will use the notion of the perfect closure which is defined in Definition 44.5.

Lemma 43.3. Let $k$ be a field. Let $S$ be a $k$-algebra. The following are equivalent:

1. $k' \otimes_k S$ is reduced for every finite purely inseparable extension $k'$ of $k$,
2. $k^{1/p} \otimes_k S$ is reduced,
3. $k^{perf} \otimes_k S$ is reduced, where $k^{perf}$ is the perfect closure of $k$,
4. $\overline{E} \otimes_k S$ is reduced, where $\overline{E}$ is the algebraic closure of $k$,
5. $S$ is geometrically reduced over $k$.

Proof. Note that any finite purely inseparable extension $k \subset k'$ embeds in $k^{perf}$. Moreover, $k^{1/p}$ embeds into $k^{perf}$ which embeds into $\overline{E}$. Thus it is clear that (5) ⇒ (4) ⇒ (3) ⇒ (2) and that (3) ⇒ (1).

We prove that (1) ⇒ (5). Assume $k' \otimes_k S$ is reduced for every finite purely inseparable extension $k'$ of $k$. Let $k \subset K$ be an extension of fields. We have to show that $K \otimes_k S$ is reduced. By Lemma 42.4 we reduce to the case where $k \subset K$ is a finitely generated field extension. Choose a diagram

$$
\begin{array}{ccc}
K & \longrightarrow & K' \\
\uparrow & & \uparrow \\
k & \longrightarrow & k'
\end{array}
$$

as in Lemma 41.5. By assumption $k' \otimes_k S$ is reduced. By Lemma 42.6 it follows that $K' \otimes_k S$ is reduced. Hence we conclude that $K \otimes_k S$ is reduced as desired.

Finally we prove that (2) ⇒ (5). Assume $k^{1/p} \otimes_k S$ is reduced. Then $S$ is reduced. Moreover, for each localization $S_p$ at a minimal prime $p$, the ring $k^{1/p} \otimes_k S_p$ is a localization of $k^{1/p} \otimes_k S$ hence is reduced. But $S_p$ is a field by Lemma 24.1 hence $S_p$ is geometrically reduced by Lemma 43.1. It follows from Lemma 42.7 that $S$ is geometrically reduced.

□

44. Perfect fields

Definition 44.1. Let $k$ be a field. We say $k$ is perfect if every field extension of $k$ is separable over $k$.

Lemma 44.2. A field $k$ is perfect if and only if it is a field of characteristic 0 or a field of characteristic $p > 0$ such that every element has a $p$th root.

Proof. The characteristic zero case is clear. Assume the characteristic of $k$ is $p > 0$. If $k$ is perfect, then all the field extensions where we adjoin a $p$th root of an element of $k$ have to be trivial, hence every element of $k$ has a $p$th root. Conversely if every element has a $p$th root, then $k = k^{1/p}$ and every field extension of $k$ is separable by Lemma 43.1.

□

Lemma 44.3. Let $k \subset K$ be a finitely generated field extension. There exists a diagram

$$
\begin{array}{ccc}
K & \longrightarrow & K' \\
\uparrow & & \uparrow \\
k & \longrightarrow & k'
\end{array}
$$
where \( k \subset k' \), \( K \subset K' \) are finite purely inseparable field extensions such that \( k' \subset K' \) is a separable field extension. In this situation we can assume that \( K' = k' K \) is the compositum, and also that \( K' = (k' \otimes_k K)_{red} \).

**Proof.** By Lemma 41.4 we can find such a diagram with \( k' \subset K' \) separably generated. By Lemma 43.2 this implies that \( K' \) is separable over \( k' \). The compositum \( k' K \) is a subextension of \( k' \subset K' \) and hence \( k' \subset k' K \) is separable by Lemma 41.2. The ring \( (k' \otimes_k K)_{red} \) is a domain as for some \( n \geq 0 \) the map \( x \mapsto x^{p^n} \) maps it into \( K \). Hence it is a field by Lemma 35.19. Thus \( (k' \otimes_k K)_{red} \to K' \) maps it isomorphically onto \( k' K \). \( \square \)

**Lemma 44.4.** For every field \( k \) there exists a purely inseparable extension \( k \subset k' \) such that \( k' \) is perfect. The field extension \( k \subset k' \) is unique up to unique isomorphism.

**Proof.** If the characteristic of \( k \) is zero, then \( k' = k \) is the unique choice. Assume the characteristic of \( k \) is \( p > 0 \). For every \( n > 0 \) there exists a unique algebraic extension \( k \subset k^{1/p^n} \) such that (a) every element \( \lambda \in k \) has a \( p^n \)th root in \( k^{1/p^n} \) and (b) for every element \( \mu \in k^{1/p^n} \) we have \( \mu^{p^n} \in k \). Namely, consider the ring map \( k \to k^{1/p^n} = k, \ x \mapsto x^{p^n} \). This is injective and satisfies (a) and (b). It is clear that \( k^{1/p^n} \subset k^{1/p^{n+1}} \) as extensions of \( k \) via the map \( y \mapsto y^p \). Then we can take \( k' = \bigcup k^{1/p^n} \). Some details omitted. \( \square \)

**Definition 44.5.** Let \( k \) be a field. The field extension \( k \subset k' \) of Lemma 44.4 is called the perfect closure of \( k \). Notation \( k \subset k^{perf} \).

Note that if \( k \subset k' \) is any algebraic purely inseparable extension, then \( k' \subset k^{perf} \). Namely, \( (k')^{perf} \) is isomorphic to \( k^{perf} \) by the uniqueness of Lemma 44.4.

**Lemma 44.6.** Let \( k \) be a perfect field. Any reduced \( k \) algebra is geometrically reduced over \( k \). Let \( R, S \) be \( k \)-algebras. Assume both \( R \) and \( S \) are reduced. Then the \( k \)-algebra \( R \otimes_k S \) is reduced.

**Proof.** The first statement follows from Lemma 43.3. For the second statement use the first statement and Lemma 12.5. \( \square \)

### 45. Universal homeomorphisms

**Lemma 45.1.** Let \( \varphi : R \to S \) be a surjective map with locally nilpotent kernel. Then \( \varphi \) induces a homeomorphism of spectra and isomorphisms on residue fields. For any ring map \( R \to R' \) the ring map \( R' \to R' \otimes_R S \) is surjective with locally nilpotent kernel.

**Proof.** By Lemma 31.3 the map \( \text{Spec}(S) \to \text{Spec}(R) \) is a homeomorphism onto the closed subset \( V(\text{Ker}(\varphi)) \). Of course \( V(\text{Ker}(\varphi)) = \text{Spec}(R) \) because every prime ideal of \( R \) contains every nilpotent element of \( R \). This also implies the statement on residue fields. By right exactness of tensor product we see that \( \text{Ker}(\varphi) R' \) is the kernel of the surjective map \( R' \to R' \otimes_R S \). Hence the final statement by Lemma 31.3. \( \square \)
Lemma 45.2. Let $k \subset k'$ be a field extension. The following are equivalent \[\text{[Alp14, Lemma 3.1.6]}\]

1. for each $x \in k'$ there exists an $n > 0$ such that $x^n \in k$, and
2. $k' = k$ or $k$ and $k'$ have characteristic $p > 0$ and either $k'/k$ is a purely inseparable extension or $k$ and $k'$ are algebraic extensions of $\mathbf{F}_p$.

Proof. Observe that each of the possibilities listed in (2) satisfies (1). Thus we assume $k'/k$ satisfies (1) and we prove that we are in one of the cases of (2). Discarding the case $k = k'$ we may assume $k' \neq k$. It is clear that $k'/k$ is algebraic. Hence we may assume that $k'/k$ is a nontrivial finite extension. Let $k \subset k'_{\text{sep}} \subset k'$ be the separable subextension found in Fields, Lemma 14.6. We have to show that $k = k'_{\text{sep}}$, or that $k$ is an algebraic over $\mathbf{F}_p$. Thus we may assume that $k'/k$ is a nontrivial finite separable extension and we have to show $k$ is algebraic over $\mathbf{F}_p$.

Pick $x \in k'$, $x \notin k$. Pick $n, m > 0$ such that $x^n \in k$ and $(x + 1)^m \in k$. Let $\overline{k}$ be an algebraic closure of $k$. We can choose embeddings $\sigma, \tau : k' \to \overline{k}$ with $\sigma(x) \neq \tau(x)$. This follows from the discussion in Fields, Section 12 (more precisely, after replacing $k'$ by the $k$-extension generated by $x$ it follows from Fields, Lemma 12.8). Then we see that $\sigma(x) = \zeta \tau(x)$ for some $n$th root of unity $\zeta$ in $\overline{k}$. Similarly, we see that $\sigma(x + 1) = \zeta'(\tau(x) + 1)$ for some $m$th root of unity $\zeta'$ in $\overline{k}$. Since $\sigma(x + 1) \neq \tau(x + 1)$ we see $\zeta' \neq 1$. Then

$$\zeta'(\tau(x) + 1) = \zeta'\tau(x + 1) = \sigma(x + 1) = \sigma(x) + 1 = \zeta \tau(x) + 1$$

implies that

$$\tau(x)(\zeta' - \zeta) = 1 - \zeta'$$

hence $\zeta' \neq \zeta$ and

$$\tau(x) = (1 - \zeta')/(\zeta' - \zeta)$$

Hence every element of $k'$ which is not in $k$ is algebraic over the prime subfield. Since $k'$ is generated over the prime subfield by the elements of $k'$ which are not in $k$, we conclude that $k'$ (and hence $k$) is algebraic over the prime subfield.

Finally, if the characteristic of $k$ is 0, the above leads to a contradiction as follows (we encourage the reader to find their own proof). For every rational number $y$ we similarly get a root of unity $\zeta_y$ such that $\sigma(x + y) = \zeta_y \tau(x + y)$. Then we find

$$\zeta \tau(x) + y = \zeta_y(\tau(x) + y)$$

and by our formula for $\tau(x)$ above we conclude $\zeta_y \in \mathbf{Q}(\zeta, \zeta')$. Since the number field $\mathbf{Q}(\zeta, \zeta')$ contains only a finite number of roots of unity we find two distinct rational numbers $y, y'$ with $\zeta_y = \zeta_{y'}$. Then we conclude that

$$y - y' = \sigma(x + y) - \sigma(x + y') = \zeta_y(\tau(x + y)) - \zeta_{y'}(\tau(x + y)) = \zeta_y(y - y')$$

which implies $\zeta_y = 1$ a contradiction. \[\square\]

Lemma 45.3. Let $\varphi : R \to S$ be a ring map. If

1. for any $x \in S$ there exists $n > 0$ such that $x^n$ is in the image of $\varphi$, and
2. $\ker(\varphi)$ is locally nilpotent,

then $\varphi$ induces a homeomorphism on spectra and induces residue field extensions satisfying the equivalent conditions of Lemma 45.2.
Proof. Assume (1) and (2). Let \( q, q' \) be primes of \( S \) lying over the same prime ideal \( p \) of \( R \). Suppose \( x \in S \) with \( x \in q, x \notin q' \). Then \( x^n \in q \) and \( x^n \notin q' \) for all \( n > 0 \). If \( x^n = \varphi(y) \) with \( y \in R \) for some \( n > 0 \) then

\[
x^n \in q \Rightarrow y \in p \Rightarrow x^n \in q'
\]

which is a contradiction. Hence there does not exist an \( x \) as above and we conclude that \( q = q' \), i.e., the map on spectra is injective. By assumption (2) the kernel \( I = \text{Ker}(\varphi) \) is contained in every prime, hence \( \text{Spec}(R) = \text{Spec}(R/I) \) as topological spaces. As the induced map \( R/I \to S \) is integral by assumption (1) Lemma \[35.17\] shows that \( \text{Spec}(S) \to \text{Spec}(R/I) \) is surjective. Combining the above we see that \( \text{Spec}(S) \to \text{Spec}(R) \) is bijective. If \( x \in S \) is arbitrary, and we pick \( y \in R \) such that \( \varphi(y) = x^n \) for some \( n > 0 \), then we see that the open \( D(x) \subset \text{Spec}(S) \) corresponds to the open \( D(y) \subset \text{Spec}(R) \) via the bijection above. Hence we see that the map \( \text{Spec}(S) \to \text{Spec}(R) \) is a homeomorphism.

To see the statement on residue fields, let \( q \subset S \) be a prime lying over a prime ideal \( q' \subset R \). Let \( x \in \kappa(q) \). If we think of \( \kappa(q) \) as the residue field of the local ring \( S_q \), then we see that \( x \) is the image of some \( y/z \in S_q \) with \( y \in S, z \in S, z \notin q \). Choose \( n, m > 0 \) such that \( y^n, z^m \) are in the image of \( \varphi \). Then \( x^{nm} \) is the residue of \( (y/z)^{nm} = (y^n)^m/(z^m)^n \) which is in the image of \( \text{Spec}(R) \). Hence \( x^{nm} \) is in the image of \( \kappa(p) \to \kappa(q) \). \( \square \)

0EUH \hspace{1cm} \textbf{Lemma 45.4.} Let \( \varphi : R \to S \) be a ring map. Assume

(a) \( S \) is generated as an \( R \)-algebra by elements \( x \) such that \( x^2, x^3 \in \varphi(R) \), and

(b) \( \text{Ker}(\varphi) \) is locally nilpotent,

Then \( \varphi \) induces isomorphisms on residue fields and a homeomorphism of spectra. For any ring map \( R \to R' \) the ring map \( R' \to \text{Spec}(R) \) also satisfies (a) and (b).

Proof. Assume (a) and (b). The map on spectra is closed as \( S \) is integral over \( R \), see Lemmas \[40.6 \] and \[35.22 \]. The image is dense by Lemma \[29.6 \]. Thus \( \text{Spec}(S) \to \text{Spec}(R) \) is surjective. If \( q \subset S \) is a prime lying over \( p \subset R \) then the field extension \( \kappa(q)/\kappa(p) \) is generated by elements \( \alpha \in \kappa(q) \) whose square and cube are in \( \kappa(p) \). Thus clearly \( \alpha \in \kappa(p) \) and we find that \( \kappa(q) = \kappa(p) \). If \( q, q' \) were two distinct primes lying over \( p \), then at least one of the generators \( x \) of \( S \) as in (a) would have distinct images in \( \kappa(q) = \kappa(p) \) and \( \kappa(q') = \kappa(p) \). This would contradict the fact that both \( x^2 \) and \( x^3 \) do have the same image. This proves that \( \text{Spec}(S) \to \text{Spec}(R) \) is injective hence a homeomorphism (by what was already shown).

Since \( \varphi \) induces a homeomorphism on spectra, it is in particular surjective on spectra which is a property preserved under any base change, see Lemma \[29.3 \]. Therefore for any \( R \to R' \) the kernel of the ring map \( R' \to R' \otimes_R S \) consists of nilpotent elements, see Lemma \[29.6 \]. In other words (b) holds for \( R' \to \text{Spec}(R) \). It is clear that (a) is preserved under base change. \( \square \)

0545 \hspace{1cm} \textbf{Lemma 45.5.} Let \( p \) be a prime number. Let \( n, m > 0 \) be two integers. There exists an integer \( a \) such that \( (x + y)p^n, p^n(x + y) \in \mathbb{Z}[x^{p^n}, y^{p^n}] \).

Proof. This is clear for \( p^n(x + y) \) as soon as \( a \geq n, m \). In fact, pick \( a \gg n, m \). Write

\[
(x + y)^{p^n} = \sum_{i,j \geq 0, i+j=p^n} \binom{p^n}{i,j} x^i y^j
\]
For every $i, j \geq 0$ with $i + j = p^n$ write $i = qp^n + r$ with $r \in \{0, \ldots, p^n - 1\}$ and $j = q'p^m + r'$ with $r' \in \{0, \ldots, p^m - 1\}$. The condition $(x + y)p^n \in \mathbb{Z}[x^{p^n}, p^{n^2}, y^{p^m}, p^{m^2}]$ holds if

$$p^{nr + mr'} \text{ divides } \left( p^a \right)_{i, j}$$

If $r = r' = 0$ then the divisibility holds. If $r \neq 0$, then we write

$$\left( p^a \right)_{i, j} = p^a \left( \frac{p^n - 1}{i - 1, j} \right)$$

Since $r \neq 0$ the rational number $p^n/i$ has $p$-adic valuation at least $a - (n-1)$ (because $i$ is not divisible by $p^n$). Thus $\left( p^a_{i, j} \right)$ is divisible by $p^{n-1}$ in this case. Similarly, we see that if $r' \neq 0$, then $\left( p^a_{i, j} \right)$ is divisible by $p^{m-1}$. Picking $a = np^n + mp^m + n + m$ will work.

\[ \Box \]

**Lemma 45.6.** Let $k \subset k'$ be a field extension. Let $p$ be a prime number. The following are equivalent:

1. $k'$ is generated as a field extension of $k$ by elements $x$ such that there exists an $n > 0$ with $x^{p^n} \in k$ and $p^nx \in k$.
2. $k = k'$ or the characteristic of $k$ and $k'$ is $p$ and $k'/k$ is purely inseparable.

**Proof.** Let $x \in k'$. If there exists an $n > 0$ with $x^{p^n} \in k$ and $p^nx \in k$ and if the characteristic is not $p$, then $x \in k$. If the characteristic is $p$, then we find $x^{p^n} \in k$ and hence $x$ is purely inseparable over $k$.

**Lemma 45.7.** Let $\varphi : R \to S$ be a ring map. Let $p$ be a prime number. Assume

(a) $S$ is generated as an $R$-algebra by elements $x$ such that there exists an $n > 0$ with $x^{p^n} \in \varphi(R)$ and $p^nx \in \varphi(R)$,

(b) $\ker(\varphi)$ is locally nilpotent,

Then $\varphi$ induces a homeomorphism of spectra and induces residue field extensions satisfying the equivalent conditions of Lemma 45.6. For any ring map $R \to R'$ the ring map $R' \to R' \otimes_R S$ also satisfies (a) and (b).

**Proof.** Assume (a) and (b). Note that (b) is equivalent to condition (2) of Lemma 45.3. Let $T \subset S$ be the set of elements $x \in S$ such that there exists an integer $n > 0$ such that $x^{p^n}, p^nx \in \varphi(R)$. We claim that $T = S$. This will prove that condition (1) of Lemma 45.3 holds and hence $\varphi$ induces a homeomorphism on spectra. By assumption (a) it suffices to show that $T \subset S$ is an $R$-sub algebra. If $x \in T$ and $y \in R$, then it is clear that $yx \in T$. Suppose $x, y \in T$ and $n, m > 0$ such that $x^{p^n}, y^{p^m}, p^nx, p^my \in \varphi(R)$. Then $(xy)^{p^n+m}, p^{n+m}xy \in \varphi(R)$ hence $xy \in T$. We have $x + y \in T$ by Lemma 45.3 and the claim is proved.

Since $\varphi$ induces a homeomorphism on spectra, it is in particular surjective on spectra which is a property preserved under any base change, see Lemma 29.3. Therefore for any $R \to R'$ the kernel of the ring map $R' \to R' \otimes_R S$ consists of nilpotent elements, see Lemma 29.6. In other words (b) holds for $R' \to R' \otimes_R S$. It is clear that (a) is preserved under base change. Finally, the condition on residue fields follows from (a) as generators for $S$ as an $R$-algebra map to generators for the residue field extensions.

\[ \Box \]

**Lemma 45.8.** Let $\varphi : R \to S$ be a ring map. Assume

1. $\varphi$ induces an injective map of spectra,
(2) \( \varphi \) induces purely inseparable residue field extensions.

Then for any ring map \( R \to R' \) properties (1) and (2) are true for \( R' \to R' \otimes_R S \).

**Proof.** Set \( S' = R' \otimes_R S \) so that we have a commutative diagram of continuous maps of spectra of rings

\[
\begin{array}{ccc}
\text{Spec}(S') & \longrightarrow & \text{Spec}(S) \\
\downarrow & & \downarrow \\
\text{Spec}(R') & \longrightarrow & \text{Spec}(R)
\end{array}
\]

Let \( p' \subset R' \) be a prime ideal lying over \( p \subset R \). If there is no prime ideal of \( S \) lying over \( p \), then there is no prime ideal of \( S' \) lying over \( p' \). Otherwise, by Remark 16.8 there is a unique prime ideal \( r \) of \( F = S \otimes_R \kappa(p) \) whose residue field is purely inseparable over \( \kappa(p) \). Consider the ring maps

\[
\kappa(p) \to F \to \kappa(r)
\]

By Lemma 24.1 the ideal \( r \subset F \) is locally nilpotent, hence we may apply Lemma 45.1 to the ring map \( F \to \kappa(r) \). We may apply Lemma 45.7 to the ring map \( \kappa(p) \to \kappa(r) \).

Hence the composition and the second arrow in the maps

\[
\kappa(p') \to \kappa(p') \otimes_{\kappa(p)} \kappa(p) \otimes_R S = \kappa(p') \otimes_{\kappa(p)} \kappa(r)
\]

induces bijections on spectra and purely inseparable residue field extensions. This implies the same thing for the first map. Since

\[
\kappa(p') \otimes_{\kappa(p)} F = \kappa(p') \otimes_{\kappa(p)} \kappa(p) \otimes_R S = \kappa(p') \otimes_{\kappa(p)} \kappa(r) \otimes_R S
\]

we conclude by the discussion in Remark 16.8. \( \square \)

**Lemma 45.9.** Let \( \varphi : R \to S \) be a ring map. Assume

(1) \( \varphi \) is integral,
(2) \( \varphi \) induces an injective map of spectra,
(3) \( \varphi \) induces purely inseparable residue field extensions.

Then \( \varphi \) induces a homeomorphism from \( \text{Spec}(S) \) onto a closed subset of \( \text{Spec}(R) \) and for any ring map \( R \to R' \) properties (1), (2), (3) are true for \( R' \to R' \otimes_R S \).

**Proof.** The map on spectra is closed by Lemmas 40.6 and 35.22. The properties are preserved under base change by Lemmas 45.8 and 35.15. \( \square \)

**Lemma 45.10.** Let \( \varphi : R \to S \) be a ring map. Assume

(1) \( \varphi \) is integral,
(2) \( \varphi \) induces a bijective map of spectra,
(3) \( \varphi \) induces purely inseparable residue field extensions.

Then \( \varphi \) induces a homeomorphism on spectra and for any ring map \( R \to R' \) properties (1), (2), (3) are true for \( R' \to R' \otimes_R S \).

**Proof.** Follows from Lemmas 45.9 and 29.3. \( \square \)

**Lemma 45.11.** Let \( \varphi : R \to S \) be a ring map such that

(1) the kernel of \( \varphi \) is locally nilpotent, and
(2) \( S \) is generated as an \( R \)-algebra by elements \( x \) such that there exist \( n > 0 \) and a polynomial \( P(T) \in \mathbb{R}[T] \) whose image in \( S[T] \) is \( (T - x)^n \).
Then $\text{Spec}(S) \to \text{Spec}(R)$ is a homeomorphism and $R \to S$ induces purely inseparable extensions of residue fields. Moreover, conditions (1) and (2) remain true on arbitrary base change.

**Proof.** We may replace $R$ by $R/\text{Ker}(\varphi)$, see Lemma 45.1. Assumption (2) implies $S$ is generated over $R$ by elements which are integral over $R$. Hence $R \subset S$ is integral (Lemma 35.7). In particular $\text{Spec}(S) \to \text{Spec}(R)$ is surjective and closed (Lemmas 35.17, 40.6 and 35.22).

Let $x \in S$ be one of the generators in (2), i.e., there exists an $n > 0$ such that $(T - x)^n \in R[T]$. Let $p \subset R$ be a prime. The $\kappa(p) \otimes_R S$ ring is nonzero by the above and Lemma 16.9. If the characteristic of $\kappa(p)$ is zero then we see that $nx \in R$ implies $1 \otimes x$ is in the image of $\kappa(p) \to \kappa(p) \otimes_R S$. Hence $\kappa(p) \to \kappa(p) \otimes_R S$ is an isomorphism. If the characteristic of $\kappa(p)$ is $p > 0$, then write $n = p^mx$ with $m$ prime to $p$. In $\kappa(p) \otimes_R S[T]$ we have

$$(T - 1 \otimes x)^n = ((T - 1 \otimes x)^p)^m = (T^p - 1 \otimes x^p)^m$$

and we see that $mx^p \in R$. This implies that $1 \otimes x^p$ is in the image of $\kappa(p) \to \kappa(p) \otimes_R S$. Hence Lemma 45.7 applies to $\kappa(p) \to \kappa(p) \otimes_R S$. In both cases we conclude that $\kappa(p) \otimes_R S$ has a unique prime ideal with residue field purely inseparable over $\kappa(p)$. By Remark 16.8 we conclude that $\varphi$ is bijective on spectra.

The statement on base change is immediate. □

46. Geometrically irreducible algebras

0012 An algebra $S$ over a field $k$ is geometrically irreducible if the algebra $S \otimes_k k'$ has a unique minimal prime for every field extension $k'/k$. In this section we develop a bit of theory relevant to this notion.

0016 **Lemma 46.1.** Let $R \to S$ be a ring map. Assume

(a) $\text{Spec}(R)$ is irreducible,

(b) $R \to S$ is flat,

(c) $R \to S$ is of finite presentation,

(d) the fibre rings $S \otimes_R \kappa(p)$ have irreducible spectra for a dense collection of primes $p$ of $R$.

Then $\text{Spec}(S)$ is irreducible. This is true more generally with (b) + (c) replaced by “the map $\text{Spec}(S) \to \text{Spec}(R)$ is open”.

**Proof.** The assumptions (b) and (c) imply that the map on spectra is open, see Proposition 40.8. Hence the lemma follows from Topology, Lemma 8.12. □

0017 **Lemma 46.2.** Let $k$ be a separably closed field. Let $R$, $S$ be $k$-algebras. If $R$, $S$ have a unique minimal prime, so does $R \otimes_k S$.

**Proof.** Let $k \subset \overline{k}$ be a perfect closure, see Definition 44.5. By assumption $\overline{k}$ is algebraically closed. The ring maps $R \to R \otimes_k \overline{k}$ and $S \to S \otimes_k \overline{k}$ and $R \otimes_k S \to (R \otimes_k S) \otimes_k \overline{k} = (R \otimes_k \overline{k}) \otimes_{\overline{k}} (S \otimes_k \overline{k})$ satisfy the assumptions of Lemma 45.7. Hence we may assume $k$ is algebraically closed.

We may replace $R$ and $S$ by their reductions. Hence we may assume that $R$ and $S$ are domains. By Lemma 44.6 we see that $R \otimes_k S$ is reduced. Hence its spectrum is irreducible if and only if it contains a nonzero zero divisor. By Lemma 12.4 we reduce to the case where $R$ and $S$ are domains of finite type over $k$ algebraically closed.
Note that the ring map \( R \to R \otimes_k S \) is of finite presentation and flat. Moreover, for every maximal ideal \( \mathfrak{m} \) of \( R \) we have \( (R \otimes_k S) \otimes_R R/\mathfrak{m} \cong S \) because \( k \cong R/\mathfrak{m} \) by the Hilbert Nullstellensatz Theorem 33.1. Moreover, the set of maximal ideals is dense in the spectrum of \( R \) since \( \text{Spec}(R) \) is Jacobson, see Lemma 34.2. Hence we see that Lemma 46.1 applies to the ring map \( R \to R \otimes_k S \) and we conclude that the spectrum of \( R \otimes_k S \) is irreducible as desired.

Lemma 46.3. Let \( k \) be a field. Let \( R \) be a \( k \)-algebra. The following are equivalent

1. for every field extension \( k \subset k' \) the spectrum of \( R \otimes_k k' \) is irreducible, and
2. for every finite separable field extension \( k \subset k' \) the spectrum of \( R \otimes_k k' \) is irreducible.

Proof. Let \( k \subset k^{\text{perf}} \) be a perfect closure of \( k \), see Definition 44.5. By Lemma 45.7 we may replace \( R \) by \( (R \otimes_k k^{\text{perf}})_{\text{reduction}} \) and \( k \) by \( k^{\text{perf}} \) (some details omitted). Hence we may assume that \( R \) is geometrically reduced over \( k \).

Assume \( R \) is geometrically reduced over \( k \). For any extension of fields \( k \subset k' \) we see irreducibility of the spectrum of \( R \otimes_k k' \) is equivalent to \( R \otimes_k k' \) being a domain. Assume (2). Let \( k \subset \overline{k} \) be a separable algebraic closure of \( k \). Using Lemma 42.4 we see that (2) is equivalent to \( R \otimes_k \overline{k} \) being a domain. For any field extension \( k \subset k' \), there exists a field extension \( \overline{k} \subset \overline{k'} \) with \( k' \subset \overline{k'} \). By Lemma 46.2 we see that \( R \otimes_k \overline{k'} \) is a domain. If \( R \otimes_k k' \) is not a domain, then also \( R \otimes_k \overline{k'} \) is not a domain, contradiction.

Definition 46.4. Let \( k \) be a field. Let \( S \) be a \( k \)-algebra. We say \( S \) is geometrically irreducible over \( k \) if for every field extension \( k \subset k' \) the spectrum of \( S \otimes_k k' \) is irreducible.

By Lemma 46.3 it suffices to check this for finite separable field extensions \( k \subset k' \).

Lemma 46.5. Let \( k \) be a field. Let \( R \) be a \( k \)-algebra. If \( k \) is separably algebraically closed then \( R \) is geometrically irreducible over \( k \) if and only if the spectrum of \( R \) is irreducible.

Proof. Immediate from the remark following Definition 46.4

Lemma 46.6. Let \( k \) be a field. Let \( S \) be a \( k \)-algebra.

1. If \( S \) is geometrically irreducible over \( k \) so is every \( k \)-subalgebra.
2. If all finitely generated \( k \)-subalgebras of \( S \) are geometrically irreducible, then \( S \) is geometrically irreducible.
3. A directed colimit of geometrically irreducible \( k \)-algebras is geometrically irreducible.

Proof. Let \( S' \subset S \) be a subalgebra. Then for any extension \( k \subset k' \) the ring map \( S' \otimes_k k' \to S \otimes_k k' \) is injective also. Hence (1) follows from Lemma 29.5 (and the fact that the image of an irreducible space under a continuous map is irreducible). The second and third property follow from the fact that tensor product commutes with colimits.

\[\text{An irreducible space is nonempty.}\]
Let $k$ be a field. Let $S$ be a geometrically irreducible $k$-algebra. Let $R$ be any $k$-algebra. The map
\[ \text{Spec}(R \otimes_k S) \rightarrow \text{Spec}(R) \]
induces a bijection on irreducible components.

**Proof.** Recall that irreducible components correspond to minimal primes (Lemma 25.1). As $R \rightarrow R \otimes_k S$ is flat we see by going down (Lemma 38.18) that any minimal prime of $R \otimes_k S$ lies over a minimal prime of $R$. Conversely, if $\mathfrak{p} \subset R$ is a (minimal) prime then
\[ R \otimes_k S/\mathfrak{p}(R \otimes_k S) = (R/\mathfrak{p}) \otimes_k S \subset \kappa(\mathfrak{p}) \otimes_k S \]
by flatness of $R \rightarrow R \otimes_k S$. The ring $\kappa(\mathfrak{p}) \otimes_k S$ has irreducible spectrum by assumption. It follows that $R \otimes_k S/\mathfrak{p}(R \otimes_k S)$ has a single minimal prime (Lemma 29.5). In other words, the inverse image of the irreducible set $V(\mathfrak{p})$ is irreducible. Hence the lemma follows. \qed

Let us make some remarks on the notion of geometrically irreducible field extensions.

**Lemma 46.8.** Let $k \subset K$ be a field extension. If $k$ is algebraically closed in $K$, then $K$ is geometrically irreducible over $k$.

**Proof.** Let $k \subset k'$ be a finite separable extension, say generated by $\alpha \in k'$ over $k$ (see Fields, Lemma 19.1). Let $P = T^d + a_1T^{d-1} + \ldots + a_d \in k[T]$ be the minimal polynomial of $\alpha$. Then $K \otimes_k k' \cong K[T]/(P)$. The only way the spectrum of $K[T]/(P)$ can be reducible is if $P$ is reducible in $K[T]$. Say $P = P_1P_2$ is a nontrivial factorization of $P$ into monic polynomials. Let $b_1, \ldots, b_t \in K$ be the coefficients of $P_1$. Then we see that $b_i$ is algebraic over $k$ by Lemma 37.5. Hence the lemma follows. \qed

**Lemma 46.9.** Let $k \subset K$ be a field extension. Consider the subextension $k \subset k' \subset K$ such that $k \subset k'$ is separable algebraic and $k' \subset K$ maximal with this property. Then $K$ is geometrically irreducible over $k'$. If $K/k$ is a finitely generated field extension, then $[k': k] < \infty$.

**Proof.** Let $k'' \subset K$ be the algebraic closure of $k$ in $K$. By Lemma 46.8 we see that $K$ is geometrically irreducible over $k''$. Since $k' \subset k''$ is purely inseparable (Fields, Lemma 14.6) we see from Lemma 45.7 that the extension $k' \subset K$ is also geometrically irreducible. If $k \subset K$ is finitely generated, then $k'$ is finite over $k$ by Fields, Lemma 26.10. \qed

**Lemma 46.10.** Let $k \subset K$ be an extension of fields. Let $k \subset \overline{k}$ be a separable algebraic closure. Then $\text{Gal}(\overline{k}/k)$ acts transitively on the primes of $\overline{k} \otimes_k K$.

**Proof.** Let $k \subset k' \subset K$ be the subextension found in Lemma 46.9. Note that as $k \subset \overline{k}$ is integral all the prime ideals of $\overline{k} \otimes_k K$ and $\overline{k} \otimes_k k'$ are maximal, see Lemma 35.20. By Lemma 46.7 the map
\[ \text{Spec}(\overline{k} \otimes_k K) \rightarrow \text{Spec}(\overline{k} \otimes_k k') \]
is bijective because (1) all primes are minimal primes, (1) $\overline{k} \otimes_k K = (\overline{k} \otimes_k k') \otimes_{k'} K$, and (3) $K$ is geometrically irreducible over $k'$. Hence it suffices to prove the lemma for the action of $\text{Gal}(\overline{k}/k)$ on the primes of $\overline{k} \otimes_k k'$.\]
As every prime of $\overline{k} \otimes_k k'$ is maximal, the residue fields are isomorphic to $\overline{k}$. Hence the prime ideals of $\overline{k} \otimes_k k'$ correspond one to one to elements of $\text{Hom}_k(k', \overline{k})$ with $\sigma \in \text{Hom}_k(k', \overline{k})$ corresponding to the kernel $p_\sigma$ of $1 \otimes \sigma : \overline{k} \otimes_k k' \to \overline{k}$. In particular $\text{Gal}(\overline{k}/k)$ acts transitively on this set as desired. \qed

47. Geometrically connected algebras

Lemma 47.1. Let $k$ be a separably algebraically closed field. Let $R, S$ be $k$-algebras. If $\text{Spec}(R)$ and $\text{Spec}(S)$ are connected, then so is $\text{Spec}(R \otimes_k S)$.

Proof. Recall that $\text{Spec}(R)$ is connected if and only if $R$ has no nontrivial idempotents, see Lemma [20.4]. Hence, by Lemma [42.4] we may assume $R$ and $S$ are of finite type over $k$. In this case $R$ and $S$ are Noetherian, and have finitely many minimal primes, see Lemma [30.6]. Thus we may argue by induction on $n + m$ where $n, m$ is the number of irreducible components of $\text{Spec}(R)$, resp. $\text{Spec}(S)$. Of course the case where either $n$ or $m$ is zero is trivial. If $n = m = 1$, i.e., $\text{Spec}(R)$ and $\text{Spec}(S)$ both have one irreducible component, then the result holds by Lemma [46.2]. Suppose that $n > 1$. Let $p \subset R$ be a minimal prime corresponding to the irreducible closed subset $T \subset \text{Spec}(R)$. Let $I \subset R$ be such that $T' = V(I) \subset \text{Spec}(R)$ is the closure of the complement of $T$. Note that this means that $T' = \text{Spec}(R/I)$ (Lemma [16.7]) has $n - 1$ irreducible components. Then $T \cup T' = \text{Spec}(R)$, and $T \cap T' = V(p + I) = \text{Spec}(R/(p + I))$ is not empty as $\text{Spec}(R)$ is assumed connected. The inverse image of $T$ in $\text{Spec}(R \otimes_k S)$ is $\text{Spec}(R/p \otimes_k S)$, and the inverse of $T'$ in $\text{Spec}(R \otimes_k S)$ is $\text{Spec}(R/I \otimes_k S)$. By induction these are both connected. The inverse image of $T \cap T'$ is $\text{Spec}(R/(p + I) \otimes_k S)$ which is nonempty. Hence $\text{Spec}(R \otimes_k S)$ is connected. \qed

Lemma 47.2. Let $k$ be a field. Let $R$ be a $k$-algebra. The following are equivalent

\begin{enumerate}
\item for every field extension $k \subset k'$ the spectrum of $R \otimes_k k'$ is connected, and
\item for every finite separable field extension $k \subset k'$ the spectrum of $R \otimes_k k'$ is connected.
\end{enumerate}

Proof. For any extension of fields $k \subset k'$ the connectivity of the spectrum of $R \otimes_k k'$ is equivalent to $R \otimes_k k'$ having no nontrivial idempotents, see Lemma [20.4]. Assume (2). Let $k \subset \overline{k}$ be a separable algebraic closure of $k$. Using Lemma [42.4] we see that (2) is equivalent to $R \otimes_k \overline{k}$ having no nontrivial idempotents. For any field extension $k \subset k'$, there exists a field extension $\overline{k} \subset \overline{k}'$ with $k' \subset \overline{k}'$. By Lemma [47.1] we see that $R \otimes_k \overline{k}'$ has no nontrivial idempotents. If $R \otimes_k k'$ has a nontrivial idempotent, then also $R \otimes_k \overline{k}'$, contradiction. \qed

Definition 47.3. Let $k$ be a field. Let $S$ be a $k$-algebra. We say $S$ is geometrically connected over $k$ if for every field extension $k \subset k'$ the spectrum of $S \otimes_k k'$ is connected.

By Lemma [47.2] it suffices to check this for finite separable field extensions $k \subset k'$.

Lemma 47.4. Let $k$ be a field. Let $R$ be a $k$-algebra. If $R$ is separably algebraically closed then $R$ is geometrically connected over $k$ if and only if the spectrum of $R$ is connected.

Proof. Immediate from the remark following Definition [47.3] \qed
Lemma 47.5. Let $k$ be a field. Let $S$ be a $k$-algebra.

1. If $S$ is geometrically connected over $k$ so is every $k$-subalgebra.
2. If all finitely generated $k$-subalgebras of $S$ are geometrically connected, then $S$ is geometrically connected.
3. A directed colimit of geometrically connected $k$-algebras is geometrically connected.

Proof. This follows from the characterization of connectedness in terms of the nonexistence of nontrivial idempotents. The second and third property follow from the fact that tensor product commutes with colimits.

The following lemma will be superseded by the more general Varieties, Lemma 7.4.

Lemma 47.6. Let $k$ be a field. Let $S$ be a geometrically connected $k$-algebra. Let $R$ be any $k$-algebra. The map $R \rightarrow R \otimes_k S$ induces a bijection on idempotents, and the map $\text{Spec}(R \otimes_k S) \rightarrow \text{Spec}(R)$ induces a bijection on connected components.

Proof. The second assertion follows from the first combined with Lemma 21.2. By Lemmas 47.5 and 12.4 we may assume that $R$ and $S$ are of finite type over $k$. Then we see that also $R \otimes_k S$ is of finite type over $k$. Note that in this case all the rings are Noetherian and hence their spectra have finitely many connected components (since they have finitely many irreducible components, see Lemma 30.6). In particular, all connected components in question are open! Hence via Lemma 23.3 we see that the first statement of the lemma in this case is equivalent to the second. Let’s prove this. As the algebra $S$ is geometrically connected and nonzero we see that all fibres of $X = \text{Spec}(R \otimes_k S) \rightarrow \text{Spec}(R) = Y$ are connected and nonempty. Also, as $R \rightarrow R \otimes_k S$ is flat of finite presentation the map $X \rightarrow Y$ is open (Proposition 40.8). Topology, Lemma 7.5 shows that $X \rightarrow Y$ induces bijection on connected components.

48. Geometrically integral algebras

Definition 48.1. Let $k$ be a field. Let $S$ be a $k$-algebra. We say $S$ is geometrically integral over $k$ if for every field extension $k \subset k'$ the ring of $S \otimes_k k'$ is a domain.

Any question about geometrically integral algebras can be translated in a question about geometrically reduced and irreducible algebras.

Lemma 48.2. Let $k$ be a field. Let $S$ be a $k$-algebra. In this case $S$ is geometrically integral over $k$ if and only if $S$ is geometrically irreducible as well as geometrically reduced over $k$.

Proof. Omitted.

Lemma 48.3. Let $k$ be a field. Let $S$ be a geometrically integral $k$-algebra. Let $R$ be a $k$-algebra and an integral domain. Then $R \otimes_k S$ is an integral domain.

Proof. By Lemma 42.5 the ring $R \otimes_k S$ is reduced and by Lemma 46.7 the ring $R \otimes_k S$ is irreducible (the spectrum has just one irreducible component), so $R \otimes_k S$ is an integral domain.
49. Valuation rings

Here are some definitions.

**Definition 49.1.** Valuation rings.

1. Let $K$ be a field. Let $A$, $B$ be local rings contained in $K$. We say that $B$ dominates $A$ if $A \subset B$ and $m_A = A \cap m_B$.

2. Let $A$ be a ring. We say $A$ is a valuation ring if $A$ is a local domain and if $A$ is maximal for the relation of domination among local rings contained in the fraction field of $A$.

3. Let $A$ be a valuation ring with fraction field $K$. If $R \subset K$ is a subring of $K$, then we say $A$ is centered on $R$ if $R \subset A$.

With this definition a field is a valuation ring.

**Lemma 49.2.** Let $K$ be a field. Let $A \subset K$ be a local subring. Then there exists a valuation ring with fraction field $K$ dominating $A$.

**Proof.** We consider the collection of local subrings of $K$ as a partially ordered set using the relation of domination. Suppose that $\{A_i\}_{i \in I}$ is a totally ordered collection of local subrings of $K$. Then $B = \bigcup A_i$ is a local subring which dominates all of the $A_i$. Hence by Zorn’s Lemma, it suffices to show that if $A \subset K$ is a local ring whose fraction field is not $K$, then there exists a local ring $B \subset K$, $B \neq A$ dominating $A$.

Pick $t \in K$ which is not in the fraction field of $A$. If $t$ is transcendental over $A$, then $A[t] \subset K$ and hence $A[t]_{(t,m)} \subset K$ is a local ring distinct from $A$ dominating $A$. Suppose $t$ is algebraic over $A$. Then for some $a \in A$ the element $at$ is integral over $A$. In this case the subring $A' \subset K$ generated by $A$ and $ta$ is finite over $A$. By Lemma 35.17 there exists a prime ideal $m' \subset A'$ lying over $m$. Then $A'_m$ dominates $A$. If $A = A'_m$, then $t$ is in the fraction field of $A$ which we assumed not to be the case. Thus $A \neq A'_m$, as desired. \(\square\)

**Lemma 49.3.** Let $A$ be a valuation ring with maximal ideal $m$ and fraction field $K$. Let $x \in K$. Then $x \in A$ or $x^{-1} \in A$ or both.

**Proof.** Assume that $x$ is not in $A$. Let $A'$ denote the subring of $K$ generated by $A$ and $x$. Since $A$ is a valuation ring we see that there is no prime of $A'$ lying over $m$. Since $m$ is maximal we see that $V(mA') = \emptyset$. Then $mA' = A'$ by Lemma 16.2. Hence we can write $1 = \sum t_i x^i$ with $t_i \in m$. This implies that $(1-t_0)(x^{-1})^d - \sum t_i (x^{-1})^{d-i} = 0$. In particular we see that $x^{-1}$ is integral over $A$. Thus the subring $A''$ of $K$ generated by $A$ and $x^{-1}$ is finite over $A$ and we see there exists a prime ideal $m'' \subset A''$ lying over $m$ by Lemma 35.17. Since $A$ is a valuation ring we conclude that $A = (A'')_{m''}$ and hence $x^{-1} \in A$. \(\square\)

**Lemma 49.4.** Let $A \subset K$ be a subring of a field $K$ such that for all $x \in K$ either $x \in A$ or $x^{-1} \in A$ or both. Then $A$ is a valuation ring with fraction field $K$.

**Proof.** If $A$ is not $K$, then $A$ is not a field and there is a nonzero maximal ideal $m$. If $m'$ is a second maximal ideal, then choose $x, y \in A$ with $x \in m$, $y \notin m$, $x \notin m'$, and $y \notin m'$ (see Lemma 14.2). Then neither $x/y \in A$ nor $y/x \in A$ contradicting the assumption of the lemma. Thus we see that $A$ is a local ring. Suppose that $A'$ is a local ring contained in $K$ which dominates $A$. Let $x \in A'$. We have to show
that \( x \in A \). If not, then \( x^{-1} \in A \), and of course \( x^{-1} \in \mathfrak{m}_A \). But then \( x^{-1} \in \mathfrak{m}_{A'} \) which contradicts \( x \notin A' \).

0AS4 **Lemma 49.5.** Let \( I \) be a directed set. Let \((A_i, \varphi_{ij})\) be a system of valuation rings over \( I \). Then \( A = \varinjlim A_i \) is a valuation ring.

**Proof.** It is clear that \( A \) is a domain. Let \( a, b \in A \). Lemma 49.4 tells us we have to show that either \( a|b \) or \( b|a \) in \( A \). Choose \( i \) so large that there exist \( a_i, b_i \in A_i \) mapping to \( a, b \). Then Lemma 49.3 applied to \( a_i, b_i \) in \( A_i \) implies the result for \( a, b \) in \( A \). \( \square \)

052L **Lemma 49.6.** Let \( K \subset L \) be an extension of fields. If \( B \subset L \) is a valuation ring, then \( A = K \cap B \) is a valuation ring.

**Proof.** We can replace \( L \) by the fraction field \( F \) of \( B \) and \( K \) by \( K \cap F \). Then the lemma follows from a combination of Lemmas 49.3 and 49.4. \( \square \)

0AAV **Lemma 49.7.** Let \( K \subset L \) be an algebraic extension of fields. If \( B \subset L \) is a valuation ring with fraction field \( L \) and not a field, then \( A = K \cap B \) is a valuation ring and not a field.

**Proof.** By Lemma 49.6 the ring \( A \) is a valuation ring. If \( A \) is a field, then \( A = K \). Then \( A = K \subset B \) is an integral extension, hence there are no proper inclusions among the primes of \( B \) (Lemma 35.20). This contradicts the assumption that \( B \) is a local domain and not a field. \( \square \)

088Y **Lemma 49.8.** Let \( A \) be a valuation ring. For any prime ideal \( p \subset A \) the quotient \( A/p \) is a valuation ring. The same is true for the localization \( A_p \) and in fact any localization of \( A \).

**Proof.** Use the characterization of valuation rings given in Lemma 49.4. \( \square \)

088Z **Lemma 49.9.** Let \( A' \) be a valuation ring with residue field \( K \). Let \( A \) be a valuation ring with fraction field \( K \). Then \( C = \{ \lambda \in A' \mid \lambda \mod \mathfrak{m}_{A'} \in A \} \) is a valuation ring.

**Proof.** Note that \( \mathfrak{m}_{A'} \subset C \) and \( C/\mathfrak{m}_{A'} = A \). In particular, the fraction field of \( C \) is equal to the fraction field of \( A' \). We will use the criterion of Lemma 49.4 to prove the lemma. Let \( x \) be an element of the fraction field of \( C \). By the lemma we may assume \( x \in A' \). If \( x \in \mathfrak{m}_{A'} \), then we see \( x \in C \). If not, then \( x \) is a unit of \( A' \) and we also have \( x^{-1} \in A' \). Hence either \( x \) or \( x^{-1} \) maps to an element of \( A \) by the lemma again. \( \square \)

00IC **Lemma 49.10.** Let \( A \) be a valuation ring. Then \( A \) is a normal domain.

**Proof.** Suppose \( x \) is in the field of fractions of \( A \) and integral over \( A \), say \( x^{d+1} + \sum_{i \leq d} a_i x^i = 0 \). By Lemma 49.4 either \( x \in A \) (and we’re done) or \( x^{-1} \in A \). In the second case we see that \( x = -\sum a_i x^{i-d} \in A \) as well. \( \square \)

090P **Lemma 49.11.** Let \( A \) be a normal domain with fraction field \( K \).

(1) For every \( x \in K \), \( x \notin A \) there exists a valuation ring \( A \subset V \subset K \) with fraction field \( K \) such that \( x \notin V \).

(2) If \( A \) is local, we can moreover choose \( V \) which dominates \( A \).

In other words, \( A \) is the intersection of all valuation rings in \( K \) containing \( A \) and if \( A \) is local, then \( A \) is the intersection of all valuation rings in \( K \) dominating \( A \).
Proof. Suppose \( x \in K, x \notin A \). Consider \( B = A[x^{-1}] \). Then \( x \notin B \). Namely, if \( x = a_0 + a_1 x^{-1} + \ldots + a_d x^{-d} \) then \( x^{d+1} - a_0 x^{d} - \ldots - a_d = 0 \) and \( x \) is integral over \( A \) in contradiction with the fact that \( A \) is normal. Thus \( x^{−1} \) is not a unit in \( B \). Thus \( V(x^{−1}) \subset \text{Spec}(B) \) is not empty (Lemma 49.2), and we can choose a prime \( p \subset B \) with \( x^{−1} \in p \). Choose a valuation ring \( V \subset K \) dominating \( B_p \) (Lemma 49.12). Then \( x \notin V \) as \( x^{−1} \in m_V \).

If \( A \) is local, then we claim that \( x^{−1}B + m_A B \neq B \). Namely, if \( 1 = (a_0 + a_1 x^{−1} + \ldots + a_d x^{−d})x^{−1} + a'_0 + \ldots + a'_d x^{−d} \) with \( a_i \in A \) and \( a'_i \in m_A \), then we’d get

\[
(1 - a'_0)x^{d+1} - (a_0 + a'_1)x^{d} - \ldots - a_d = 0
\]

Since \( a'_0 \in m_A \) we see that \( 1 - a'_0 \) is a unit in \( A \) and we conclude that \( x \) would be integral over \( A \), a contradiction as before. Then choose the prime \( p \supset x^{−1}B + m_A B \) we find \( V \) dominating \( A \). □

An totally ordered abelian group is a pair \( (\Gamma, \geq) \) consisting of an abelian group \( \Gamma \) endowed with a total ordering \( \geq \) such that \( \gamma \geq \gamma' \Rightarrow \gamma + \gamma'' \geq \gamma' + \gamma'' \) for all \( \gamma, \gamma', \gamma'' \in \Gamma \).

Lemma 49.12. Let \( A \) be a valuation ring with field of fractions \( K \). Set \( \Gamma = K^*/A^* \) (with group law written additively). For \( \gamma, \gamma' \in \Gamma \) define \( \gamma \geq \gamma' \) if and only if \( \gamma - \gamma' \) is in the image of \( A - \{0\} \to \Gamma \). Then \( (\Gamma, \geq) \) is a totally ordered abelian group.

Proof. Omitted, but follows easily from Lemma 49.3. Note that in case \( A = K \) we obtain the zero group \( \Gamma = \{0\} \) endowed with its unique total ordering. □

Definition 49.13. Let \( A \) be a valuation ring.

1. The totally ordered abelian group \( (\Gamma, \geq) \) of Lemma 49.12 is called the value group of the valuation ring \( A \).
2. The map \( v: A - \{0\} \to \Gamma \) and also \( v: K^* \to \Gamma \) is called the valuation associated to \( A \).
3. The valuation ring \( A \) is called a discrete valuation ring if \( \Gamma \cong \mathbb{Z} \).

Note that if \( \Gamma \cong \mathbb{Z} \) then there is a unique such isomorphism such that \( 1 \geq 0 \). If the isomorphism is chosen in this way, then the ordering becomes the usual ordering of the integers.

Lemma 49.14. Let \( A \) be a valuation ring. The valuation \( v: A - \{0\} \to \Gamma_{\geq 0} \) has the following properties:

1. \( v(a) = 0 \Leftrightarrow a \in A^* \),
2. \( v(ab) = v(a) + v(b) \),
3. \( v(a + b) \geq \min(v(a), v(b)) \).

Proof. Omitted. □

Lemma 49.15. Let \( A \) be a ring. The following are equivalent

1. \( A \) is a valuation ring,
2. \( A \) is a local domain and every finitely generated ideal of \( A \) is principal.

Proof. Assume \( A \) is a valuation ring and let \( f_1, \ldots, f_n \in A \). Choose \( i \) such that \( v(f_i) \) is minimal among \( v(f_j) \). Then \( (f_i) = (f_1, \ldots, f_n) \). Conversely, assume \( A \) is a local domain and every finitely generated ideal of \( A \) is principal. Pick \( f, g \in A \) and write \( (f, g) = (h) \). Then \( f = ah \) and \( g = bh \) and \( h = cf + dg \) for some \( a, b, c, d \in A \).
Thus $ac + bd = 1$ and we see that either $a$ or $b$ is a unit, i.e., either $g/f$ or $f/g$ is an element of $A$. This shows $A$ is a valuation ring by Lemma 49.4. □

Lemma 49.16. Let $(\Gamma, \geq)$ be a totally ordered abelian group. Let $K$ be a field. Let $v : K^* \to \Gamma$ be a homomorphism of abelian groups such that $v(a + b) \geq \min(v(a), v(b))$ for $a, b \in K$ with $a, b, a + b$ not zero. Then

$$A = \{x \in K \mid x = 0 \text{ or } v(x) \geq 0\}$$

is a valuation ring with value group $\text{Im}(v) \subset \Gamma$, with maximal ideal

$$m = \{x \in K \mid x = 0 \text{ or } v(x) > 0\}$$

and with group of units

$$A^* = \{x \in K^* \mid v(x) = 0\}.$$

Proof. Omitted. □

Let $(\Gamma, \geq)$ be a totally ordered abelian group. An ideal of $\Gamma$ is a subset $I \subset \Gamma$ such that all elements of $I$ are $\geq 0$ and $\gamma \in I$, $\gamma' \geq \gamma$ implies $\gamma' \in I$. We say that such an ideal is prime if $\gamma + \gamma' \in I$, $\gamma \gamma' \geq \gamma \Rightarrow \gamma \in I$ or $\gamma' \in I$.

Lemma 49.17. Let $A$ be a valuation ring. Ideals in $A$ correspond $1 \to 1$ with ideals of $\Gamma$. This bijection is inclusion preserving, and maps prime ideals to prime ideals.

Proof. Omitted. □

Lemma 49.18. A valuation ring is Noetherian if and only if it is a discrete valuation ring or a field.

Proof. Suppose $A$ is a discrete valuation ring with valuation $v : A \setminus \{0\} \to \mathbb{Z}$ normalized so that $\text{Im}(v) \subset \mathbb{Z}_{\geq 0}$. By Lemma 49.17 the ideals of $A$ are the subsets $I_n = \{0\} \cup v^{-1}(\mathbb{Z}_{\geq n})$. It is clear that any element $x \in A$ with $v(x) = n$ generates $I_n$. Hence $A$ is a PID so certainly Noetherian.

Suppose $A$ is a Noetherian valuation ring with value group $\Gamma$. By Lemma 49.17 we see the ascending chain condition holds for ideals in $\Gamma$. We may assume $A$ is not a field, i.e., there is a $\gamma \in \Gamma$ with $\gamma > 0$. Applying the ascending chain condition to the subsets $\gamma + \Gamma_{\geq 0}$ with $\gamma > 0$ we see there exists a smallest element $\gamma_0$ which is bigger than 0. Let $\gamma \in \Gamma$ be an element $\gamma > 0$. Consider the sequence of elements $\gamma, \gamma - \gamma_0, \gamma - 2\gamma_0, \text{ etc.}$ By the ascending chain condition these cannot all be $> 0$. Let $\gamma - n\gamma_0$ be the last one $\geq 0$. By minimality of $\gamma_0$ we see that $0 = \gamma - n\gamma_0$. Hence $\Gamma$ is a cyclic group as desired. □

50. More Noetherian rings

Lemma 50.1. Let $R$ be a Noetherian ring. Any finite $R$-module is of finite presentation. Any submodule of a finite $R$-module is finite. The ascending chain condition holds for $R$-submodules of a finite $R$-module.

Proof. We first show that any submodule $N$ of a finite $R$-module $M$ is finite. We do this by induction on the number of generators of $M$. If this number is 1, then $N = J/I \subset M = R/I$ for some ideals $I \subset J \subset R$. Thus the definition of Noetherian implies the result. If the number of generators of $M$ is greater than 1, then we can find a short exact sequence $0 \to M' \to M \to M'' \to 0$ where $M'$ and $M''$ have fewer generators. Note that setting $N' = M' \cap N$ and $N'' = \text{Im}(N \to M'')$ gives
a similar short exact sequence for $N$. Hence the result follows from the induction hypothesis since the number of generators of $N$ is at most the number of generators of $N'$ plus the number of generators of $N''$.

To show that $M$ is finitely presented just apply the previous result to the kernel of a presentation $R^n \to M$.

It is well known and easy to prove that the ascending chain condition for $R$-submodules of $M$ is equivalent to the condition that every submodule of $M$ is a finite $R$-module. We omit the proof.

\textbf{Lemma 50.2 (Artin-Rees).} Suppose that $R$ is Noetherian, $I \subset R$ an ideal. Let $N \subset M$ be finite $R$-modules. There exists a constant $c > 0$ such that $I^n M \cap N = I^{n-c}(I^c M \cap N)$ for all $n \geq c$.

\textbf{Proof.} Consider the ring $S = R \oplus I \oplus I^2 \oplus \ldots = \bigoplus_{n \geq 0} I^n$. Convention: $I^0 = R$. Multiplication maps $I^n \times I^m$ into $I^{n+m}$ by multiplication in $R$. Note that if $I = (f_1, \ldots, f_t)$ then $S$ is a quotient of the Noetherian ring $R[X_1, \ldots, X_t]$. The map just sends the monomial $X_1^{n_1} \cdots X_t^{n_t}$ to $f_1^{n_1} \cdots f_t^{n_t}$. This $S$ is Noetherian. Similarly, consider the module $M \oplus I M \oplus I^2 M \oplus \ldots = \bigoplus_{n \geq 0} I^n M$. This is a finitely generated $S$-module. Namely, if $x_1, \ldots, x_r$ generate $M$ over $R$, then they also generate $\bigoplus_{n \geq 0} I^n M$ over $S$. Next, consider the submodule $\bigoplus_{n \geq 0} I^n M \cap N$. This is an $S$-submodule, as is easily verified. By Lemma 50.1 it is finitely generated as an $S$-module, say by $\xi_j \in \bigoplus_{n \geq 0} I^n M \cap N$, $j = 1, \ldots, s$. We may assume by decomposing each $\xi_j$ into its homogeneous pieces that each $\xi_j \in I^{d_j} M \cap N$ for some $d_j$. Set $c = \max\{d_j\}$. Then for all $n \geq c$ every element in $I^n M \cap N$ is of the form $\sum h_j \xi_j$ with $h_j \in I^{n-d_j}$. The lemma now follows from this and the trivial observation that $I^{n-d_j}(I^{d_j} M \cap N) \subset I^{n-c}(I^c M \cap N)$.

\textbf{Lemma 50.3.} Suppose that $0 \to K \to M \xrightarrow{f} N$ is an exact sequence of finitely generated modules over a Noetherian ring $R$. Let $I \subset R$ be an ideal. Then there exists a $c$ such that 

\[
f^{-1}(I^n N) = K + I^{n-c}f^{-1}(I^c N) \text{ and } f(M) \cap I^n N \subset f(I^{n-c} M)
\]

for all $n \geq c$.

\textbf{Proof.} Apply Lemma 50.2 to $\text{Im}(f) \subset N$ and note that $f : I^{n-c} M \to I^{n-c} f(M)$ is surjective.

\textbf{Lemma 50.4 (Krull’s intersection theorem).} Let $R$ be a Noetherian local ring. Let $I \subset R$ be a proper ideal. Let $M$ be a finite $R$-module. Then $\bigcap_{n \geq 0} I^n M = 0$.

\textbf{Proof.} Let $N = \bigcap_{n \geq 0} I^n M$. Then $N = I^n M \cap N$ for all $n \geq 0$. By the Artin-Rees Lemma 50.2 we see that $N = I^n M \cap N \subset I N$ for some suitably large $n$. By Nakayama’s Lemma 19.1 we see that $N = 0$.

\textbf{Lemma 50.5.} Let $R$ be a Noetherian ring. Let $I \subset R$ be an ideal. Let $M$ be a finite $R$-module. Let $N = \bigcap_{n} I^n M$.

1. For every prime $\mathfrak{p}$, $I \subset \mathfrak{p}$ there exists a $f \in R$, $f \not\in \mathfrak{p}$ such that $N_f = 0$.

2. If $I$ is contained in the Jacobson radical of $R$, then $N = 0$. 
Proof. Proof of (1). Let $x_1, \ldots, x_n$ be generators for the module $N$, see Lemma 50.1. For every prime $p$, $I \subset p$ we see that the image of $N$ in the localization $M_p$ is zero, by Lemma 50.4. Hence we can find $g_i \in R$, $g_i \notin p$ such that $x_i$ maps to zero in $N_{g_i}$. Thus $N_{g_1g_2\ldots g_n} = 0$.

Part (2) follows from (1) and Lemma 22.1.

Remark 50.6. Lemma 50.4 in particular implies that $\bigcap_n I^n = (0)$ when $I \subset R$ is a non-unit ideal in a Noetherian local ring $R$. More generally, let $R$ be a Noetherian ring and $I \subset R$ an ideal. Suppose that $f \in \bigcap_{n \in \mathbb{N}} I^n$. Then Lemma 50.5 says that for every prime ideal $I \subset p$ there exists a $g \in R$, $g \notin p$ such that $f$ maps to zero in $R_g$. In algebraic geometry we express this by saying that “$f$ is zero in an open neighbourhood of the closed set $V(I)$ of $\text{Spec}(R)$”.

Lemma 50.7 (Artin-Tate). Let $R$ be a Noetherian ring. Let $S$ be a finitely generated $R$-algebra. If $T \subset S$ is an $R$-subalgebra such that $S$ is finitely generated as a $T$-module, then $T$ is a finite type over $R$.

Proof. Choose elements $x_1, \ldots, x_n \in S$ which generate $S$ as an $R$-algebra. Choose $y_1, \ldots, y_m$ in $S$ which generate $S$ as a $T$-module. Thus there exist $a_{ij} \in T$ such that $x_i = \sum a_{ij}y_j$. There also exist $b_{ijk} \in T$ such that $y_iy_j = \sum b_{ijk}y_k$. Let $T' \subset T$ be the sub $R$-algebra generated by $a_{ij}$ and $b_{ijk}$. This is a finitely generated $R$-algebra, hence Noetherian. Consider the algebra $S' = T'[y_1, \ldots, y_m]/(Y_iY_j - \sum b_{ijk}Y_k)$. Note that $S'$ is finite over $T'$, namely as a $T'$-module it is generated by the classes of $1, Y_1, \ldots, Y_m$. Consider the $T'$-algebra homomorphism $S' \to S$ which maps $Y_i$ to $y_i$. Because $a_{ij} \in T'$ we see that $x_j$ is in the image of this map. Thus $S' \to S$ is surjective. Therefore $S$ is finite over $T'$ as well. Since $T'$ is Noetherian and we conclude that $T \subset S$ is finite over $T'$ and we win.

51. Length

Definition 51.1. Let $R$ be a ring. For any $R$-module $M$ we define the length of $M$ over $R$ by the formula

$$\text{length}_R(M) = \sup\{n \mid \exists 0 = M_0 \subset M_1 \subset \ldots \subset M_n = M, \ M_i \neq M_{i+1}\}.$$  

In other words it is the supremum of the lengths of chains of submodules. There is an obvious notion of when a chain of submodules is a refinement of another. This gives a partial ordering on the collection of all chains of submodules, with the smallest chain having the shape $0 = M_0 \subset M_1 = M$ if $M$ is not zero. We note the obvious fact that if the length of $M$ is finite, then every chain can be refined to a maximal chain. But it is not as obvious that all maximal chains have the same length (as we will see later).

Lemma 51.2. Let $R$ be a ring. Let $M$ be an $R$-module. If $\text{length}_R(M) < \infty$ then $M$ is a finite $R$-module.

Proof. Omitted.

Lemma 51.3. If $0 \to M' \to M \to M'' \to 0$ is a short exact sequence of modules over $R$ then the length of $M$ is the sum of the lengths of $M'$ and $M''$. 

Proof. Given filtrations of $M'$ and $M''$ of lengths $n', n''$ it is easy to make a corresponding filtration of $M$ of length $n' + n''$. Thus we see that $\text{length}_R M \geq \text{length}_R M' + \text{length}_R M''$. Conversely, given a filtration $M_0 \subset M_1 \subset \ldots \subset M_n$ of $M$ consider the induced filtrations $M'_i = M_i \cap M'$ and $M''_i = \text{Im}(M_i \to M'')$. Let $n'$ (resp. $n''$) be the number of steps in the filtration $\{M'_i\}$ (resp. $\{M''_i\}$). If $M'_i = M'_{i+1}$ and $M''_i = M''_{i+1}$ then $M_i = M_{i+1}$. Hence we conclude that $n' + n'' \geq n$. Combined with the earlier result we win. □

Lemma 51.4. Let $R$ be a local ring with maximal ideal $\mathfrak{m}$. Let $M$ be an $R$-module.

1. If $M$ is a finite module and $\mathfrak{m}^n M \neq 0$ for all $n \geq 0$, then $\text{length}_R(M) = \infty$.
2. If $M$ has finite length then $\mathfrak{m}^n M = 0$ for some $n$.

Proof. Assume $\mathfrak{m}^n M \neq 0$ for all $n \geq 0$. Choose $x \in M$ and $f_1, \ldots, f_n \in \mathfrak{m}$ such that $f_1 f_2 \ldots f_n x \neq 0$. By Nakayama’s Lemma 19.1 the first $n$ steps in the filtration $0 \subset Rf_1 \subset Rf_1 \ldots \subset Rf_1 \ldots f_{n-1} x \subset \ldots \subset Rx \subset M$

are distinct. This can also be seen directly. For example, if $Rf_1 x = Rf_1 f_2 x$, then $f_1 x = g f_1 f_2 x$ for some $g$, hence $(1 - gf_2)f_1 x = 0$ hence $f_1 x = 0$ as $1 - gf_2$ is a unit which is a contradiction with the choice of $x$ and $f_1, \ldots, f_n$. Hence the length is infinite, i.e., (1) holds. Combine (1) and Lemma 51.2 to see (2). □

Lemma 51.5. Let $R \to S$ be a ring map. Let $M$ be an $S$-module. We always have $\text{length}_R(M) \geq \text{length}_S(M)$. If $R \to S$ is surjective then equality holds.

Proof. A filtration of $M$ by $S$-submodules gives rise a filtration of $M$ by $R$-submodules. This proves the inequality. And if $R \to S$ is surjective, then any $R$-submodule of $M$ is automatically an $S$-submodule. Hence equality in this case. □

Lemma 51.6. Let $R$ be a ring with maximal ideal $\mathfrak{m}$. Suppose that $M$ is an $R$-module with $\mathfrak{m} M = 0$. Then the length of $M$ as an $R$-module agrees with the dimension of $M$ as a $R/\mathfrak{m}$ vector space. The length is finite if and only if $M$ is a finite $R$-module.

Proof. The first part is a special case of Lemma 51.5. Thus the length is finite if and only if $M$ has a finite basis as a $R/\mathfrak{m}$-vector space if and only if $M$ has a finite set of generators as an $R$-module. □

Lemma 51.7. Let $R$ be a ring. Let $M$ be an $R$-module. Let $S \subset R$ be a multiplicative subset. Then $\text{length}_R(M) \geq \text{length}_{S^{-1}R}(S^{-1}M)$.

Proof. Any submodule $N' \subset S^{-1}M$ is of the form $S^{-1}N$ for some $R$-submodule $N \subset M$, by Lemma 9.15. The lemma follows. □

Lemma 51.8. Let $R$ be a ring with finitely generated maximal ideal $\mathfrak{m}$. (For example $R$ Noetherian.) Suppose that $M$ is a finite $R$-module with $\mathfrak{m}^n M = 0$ for some $n$. Then $\text{length}_R(M) < \infty$.

Proof. Consider the filtration $0 = \mathfrak{m}^n M \subset \mathfrak{m}^{n-1} M \subset \ldots \subset \mathfrak{m} M \subset M$. All of the subquotients are finitely generated $R$-modules to which Lemma 51.6 applies. We conclude by additivity, see Lemma 51.3. □

Definition 51.9. Let $R$ be a ring. Let $M$ be an $R$-module. We say $M$ is simple if $M \neq 0$ and every submodule of $M$ is either equal to $M$ or to 0.
Lemma 51.10. Let $R$ be a ring. Let $M$ be an $R$-module. The following are equivalent:

1. $M$ is simple,
2. $\text{length}_R(M) = 1$, and
3. $M \cong R/m$ for some maximal ideal $m \subset R$.

Proof. Let $m$ be a maximal ideal of $R$. By Lemma 51.6 the module $R/m$ has length 1. The equivalence of the first two assertions is tautological. Suppose that $M$ is simple. Choose $x \in M$, $x \neq 0$. As $M$ is simple we have $M = Rx$. Let $I \subset R$ be the annihilator of $x$, i.e., $I = \{ f \in R \mid fx = 0 \}$. The map $R/I \to M$, $f \mod I \mapsto fx$ is an isomorphism, hence $R/I$ is a simple $R$-module. Since $R/I \neq 0$ we see $I \neq R$. Let $I \subset m$ be a maximal ideal containing $I$. If $I \neq m$, then $m/I \subset R/I$ is a nontrivial submodule contradicting the simplicity of $R/I$. Hence we see $I = m$ as desired. □

Lemma 51.11. Let $R$ be a ring. Let $M$ be a finite length $R$-module. Choose any maximal chain of submodules

$$0 = M_0 \subset M_1 \subset M_2 \subset \ldots \subset M_n = M$$

with $M_i \neq M_{i-1}$, $i = 1, \ldots, n$. Then

1. $n = \text{length}_R(M)$,
2. each $M_i/M_{i-1}$ is simple,
3. each $M_i/M_{i-1}$ is of the form $R/m_i$ for some maximal ideal $m_i$,
4. given a maximal ideal $m \subset R$ we have

$$\# \{ i \mid m_i = m \} = \text{length}_{R_m}(M_m).$$

Proof. If $M_i/M_{i-1}$ is not simple then we can refine the filtration and the filtration is not maximal. Thus we see that $M_i/M_{i-1}$ is simple. By Lemma 51.10 the modules $M_i/M_{i-1}$ have length 1 and are of the form $R/m_i$ for some maximal ideals $m_i$. By additivity of length, Lemma 51.3 we see $n = \text{length}_R(M)$. Since localization is exact, we see that

$$0 = (M_0)_m \subset (M_1)_m \subset (M_2)_m \subset \ldots \subset (M_n)_m = M_m$$

is a filtration of $M$ with successive quotients $(M_i/M_{i-1})_m$. Thus the last statement follows directly from the fact that given maximal ideals $m$, $m'$ of $R$ we have

$$(R/m')_m \cong \begin{cases} 0 & \text{if } m \neq m', \\ R_m/mR_m & \text{if } m = m' \end{cases}$$

This we leave to the reader. □

Lemma 51.12. Let $A$ be a local ring with maximal ideal $m$. Let $B$ be a semi-local ring with maximal ideals $m_i$, $i = 1, \ldots, n$. Suppose that $A \to B$ is a homomorphism such that each $m_i$ lies over $m$ and such that

$$[\kappa(m_i) : \kappa(m)] < \infty.$$ 

Let $M$ be a $B$-module of finite length. Then

$$\text{length}_A(M) = \sum_{i=1}^n [\kappa(m_i) : \kappa(m)] \text{length}_{B_{m_i}}(M_{m_i}),$$

in particular $\text{length}_A(M) < \infty$. 

Proof. Choose a maximal chain
\[ 0 = M_0 \subseteq M_1 \subseteq M_2 \subseteq \ldots \subseteq M_n = M \]
by $B$-submodules as in Lemma 51.11. Then each quotient $M_i/M_{i-1}$ is isomorphic to $\kappa(m_{j(i)})$ for some $j(i) \in \{1, \ldots, n\}$. Moreover $\text{length}_A(\kappa(m_i)) = [\kappa(m_i) : \kappa(m)]$ by Lemma 51.6. The lemma follows by additivity of lengths (Lemma 51.3). \hfill \Box

Lemma 51.13. Let $A \to B$ be a flat local homomorphism of local rings. Then for any $A$-module $M$ we have
\[ \text{length}_A(M) \text{length}_B(B/\mathfrak{m}_A B) = \text{length}_B(M \otimes_A B). \]
In particular, if $\text{length}_B(B/\mathfrak{m}_A B) < \infty$ then $M$ has finite length if and only if $M \otimes_A B$ has finite length.

Proof. The ring map $A \to B$ is faithfully flat by Lemma 38.17. Hence if $0 = M_0 \subseteq M_1 \subseteq \ldots \subseteq M_n = M$ is a chain of length $n$ in $M$, then the corresponding chain $0 = M_0 \otimes_A B \subseteq M_1 \otimes_A B \subseteq \ldots \subseteq M_n \otimes_A B = M \otimes_A B$ has length $n$ also. This proves $\text{length}_A(M) = \infty \Rightarrow \text{length}_B(M \otimes_A B) = \infty$. \hfill \Box

Lemma 51.14. Let $A \to B \to C$ be flat local homomorphisms of local rings. Then
\[ \text{length}_B(B/\mathfrak{m}_A B) \text{length}_C(C/\mathfrak{m}_B C) = \text{length}_C(C/\mathfrak{m}_A C) \]
Proof. Follows from Lemma 51.13 applied to the ring map $B \to C$ and the $B$-module $M = B/\mathfrak{m}_A B$. \hfill \Box

52. Artinian rings

Artinian rings, and especially local Artinian rings, play an important role in algebraic geometry, for example in deformation theory.

Definition 52.1. A ring $R$ is Artinian if it satisfies the descending chain condition for ideals.

Lemma 52.2. Suppose $R$ is a finite dimensional algebra over a field. Then $R$ is Artinian.

Proof. The descending chain condition for ideals obviously holds. \hfill \Box

Lemma 52.3. If $R$ is Artinian then $R$ has only finitely many maximal ideals.

Proof. Suppose that $\mathfrak{m}_i$, $i = 1, 2, 3, \ldots$ are pairwise distinct maximal ideals. Then $\mathfrak{m}_1 \supset \mathfrak{m}_2 \supset \mathfrak{m}_3 \supset \ldots$ is an infinite descending sequence (because by the Chinese remainder theorem all the maps $R \to \oplus_{i=1}^n R/\mathfrak{m}_i$ are surjective). \hfill \Box

Lemma 52.4. Let $R$ be Artinian. The Jacobson radical of $R$ is a nilpotent ideal.

Proof. Let $I \subseteq R$ be the Jacobson radical. Note that $I \supset I^2 \supset I^3 \supset \ldots$ is a descending sequence. Thus $I^n = I^{n+1}$ for some $n$. Set $J = \{ x \in R \mid xI^n = 0 \}$. We have to show $J = R$. If not, choose an ideal $J' \neq J$, $J \subset J'$ minimal (possible by the Artinian property). Then $J' = J + Rx$ for some $x \in R$. By NAK, Lemma 19.1 we have $JI' \subset J$. Hence $xI^{n+1} 
subset xI \cdot I^n \subset J \cdot I^n = 0$. Since $I^{n+1} = I^n$ we conclude $x \in J$. Contradiction. \hfill \Box
Lemma 52.5. Any ring with finitely many maximal ideals and locally nilpotent Jacobson radical is the product of its localizations at its maximal ideals. Also, all primes are maximal.

Proof. Let $R$ be a ring with finitely many maximal ideals $m_1, \ldots, m_n$. Let $I = \bigcap_{i=1}^n m_i$ be the Jacobson radical of $R$. Assume $I$ is locally nilpotent. Let $p$ be a prime ideal of $R$. Since every prime contains every nilpotent element of $R$, we see $p \supset m_1 \cap \ldots \cap m_n$. Since $m_1 \cap \ldots \cap m_n \supset m_1 \ldots m_n$, we conclude $p \supset m_1 \ldots m_n$. Hence $p \supset m_i$ for some $i$, and so $p = m_i$. By the Chinese remainder theorem (Lemma 14.4) we have $R/I \cong \bigoplus R/m_i$ which is a product of fields. Hence by Lemma 31.6 there are idempotents $e_i$, $i = 1, \ldots, n$ with $e_i \mod m_j = \delta_{ij}$. Hence $R = \prod R e_i$, and each $Re_i$ is a ring with exactly one maximal ideal. □

Lemma 52.6. A ring $R$ is Artinian if and only if it has finite length as a module over itself. Any such ring $R$ is both Artinian and Noetherian, any prime ideal of $R$ is a maximal ideal, and $R$ is equal to the (finite) product of its localizations at its maximal ideals.

Proof. If $R$ has finite length over itself then it satisfies both the ascending chain condition and the descending chain condition for ideals. Hence it is both Noetherian and Artinian. Any Artinian ring is equal to product of its localizations at maximal ideals by Lemmas 52.3, 52.4, and 52.5.

Suppose that $R$ is Artinian. We will show $R$ has finite length over itself. It suffices to exhibit a chain of submodules whose successive quotients have finite length. By what we said above we may assume that $R$ is local, with maximal ideal $m$. By Lemma 52.4 we have $m^n = 0$ for some $n$. Consider the sequence $0 = m^n \subset m^{n-1} \subset \ldots \subset m \subset R$. By Lemma 51.6 the length of each subquotient $m^i/m^{i+1}$ is the dimension of this as a vector space over $\mathbb{k}(m)$. This has to be finite since otherwise we would have an infinite descending chain of sub vector spaces which would correspond to an infinite descending chain of ideals in $R$. □

53. Homomorphisms essentially of finite type

Definition 53.1. Let $R \to S$ be a ring map.

1. We say that $R \to S$ is essentially of finite type if $S$ is the localization of an $R$-algebra of finite type.
2. We say that $R \to S$ is essentially of finite presentation if $S$ is the localization of an $R$-algebra of finite presentation.

Lemma 53.2. The class of ring maps which are essentially of finite type is preserved under composition. Similarly for essentially of finite presentation.

Proof. Omitted. □

Lemma 53.3. The class of ring maps which are essentially of finite type is preserved by base change. Similarly for essentially of finite presentation.

Proof. Omitted. □

Lemma 53.4. Let $R \to S$ be a ring map. Assume $S$ is an Artinian local ring with maximal ideal $m$. Then
(1) $R \to S$ is finite if and only if $R \to S/m$ is finite,
(2) $R \to S$ is of finite type if and only if $R \to S/m$ is of finite type.
(3) $R \to S$ is essentially of finite type if and only if the composition $R \to S/m$ is essentially of finite type.

**Proof.** If $R \to S$ is finite, then $R \to S/m$ is finite by Lemma 7.3. Conversely, assume $R \to S/m$ is finite. As $S$ has finite length over itself (Lemma 52.6) we can choose a filtration

$$0 \subset I_1 \subset \ldots \subset I_n = S$$

by ideals such that $I_i/I_{i-1} \cong S/m$ as $S$-modules. Thus $S$ has a filtration by $R$-submodules $I_i$ such that each successive quotient is a finite $R$-module. Thus $S$ is a finite $R$-module by Lemma 53.3.

If $R \to S$ is of finite type, then $R \to S/m$ is of finite type by Lemma 6.2. Conversely, assume that $R \to S/m$ is of finite type. Choose $f_1, \ldots, f_n \in S$ which map to generators of $S/m$. Then $A = R[x_1, \ldots, x_n] \to S$, $x_i \mapsto f_i$ is a ring map such that $A \to S/m$ is surjective (in particular finite). Hence $A \to S$ is finite by part (1) and we see that $R \to S$ is of finite type by Lemma 6.2.

If $R \to S$ is essentially of finite type, then $R \to S/m$ is essentially of finite type by Lemma 53.2. Conversely, assume that $R \to S/m$ is essentially of finite type. Suppose $S/m$ is the localization of $R[x_1, \ldots, x_n]/I$. Choose $f_1, \ldots, f_n \in S$ whose congruence classes modulo $m$ correspond to the congruence classes of $x_1, \ldots, x_n$ modulo $I$. Consider the map $R[x_1, \ldots, x_n] \to S$, $x_i \mapsto f_i$ with kernel $J$. Set $A = R[x_1, \ldots, x_n]/J \subset S$ and $p = A \cap m$. Note that $A/p \subset S/m$ is equal to the image of $R[x_1, \ldots, x_n]/I$ in $S/m$. Hence $\kappa(p) = S/m$. Thus $A_p \to S$ is finite by part (1). We conclude that $S$ is essentially of finite type by Lemma 53.2. □

The following lemma can be proven using properness of projective space instead of the algebraic argument we give here.

**Lemma 53.5.** Let $\varphi : R \to S$ be essentially of finite type with $R$ and $S$ local (but not necessarily $\varphi$ local). Then there exists an $n$ and a maximal ideal $m \subset R[x_1, \ldots, x_n]$ lying over $m_R$ such that $S$ is a localization of a quotient of $R[x_1, \ldots, x_n]_m$.

**Proof.** We can write $S$ as a localization of a quotient of $R[x_1, \ldots, x_n]$. Hence it suffices to prove the lemma in case $S = R[x_1, \ldots, x_n]_q$ for some prime $q \subset R[x_1, \ldots, x_n]$. If $q + m_R R[x_1, \ldots, x_n] \neq R[x_1, \ldots, x_n]$ then we can find a maximal ideal $m$ as in the statement of the lemma with $q \subset m$ and the result is clear.

Choose a valuation ring $A \subset \kappa(q)$ which dominates the image of $R \to \kappa(q)$ (Lemma 49.2). If the image $\lambda_i \in \kappa(q)$ of $x_i$ is contained in $A$, then $q$ is contained in the inverse image of $m_A$ via $R[x_1, \ldots, x_n] \to A$ which means we are back in the preceding case. Hence there exists an $i$ such that $\lambda_i^{-1} \in A$ and such that $\lambda_j/\lambda_i \in A$ for all $j = 1, \ldots, n$ (because the value group of $A$ is totally ordered, see Lemma 49.12). Then we consider the map

$$R[y_0, y_1, \ldots, y_i, \ldots, y_n] \to R[x_1, \ldots, x_n]_q, \quad y_0 \mapsto 1/x_i, \quad y_j \mapsto x_j/x_i$$

Let $q' \subset R[y_0, \ldots, y_i, \ldots, y_n]$ be the inverse image of $q$. Since $y_0 \notin q'$ it is easy to see that the displayed arrow defines an isomorphism on localizations. On the other hand, the result of the first paragraph applies to $R[y_0, \ldots, \hat{y}_i, \ldots, y_n]$ because $y_j$ maps to an element of $A$. This finishes the proof. □
54. K-groups

Let $R$ be a ring. We will introduce two abelian groups associated to $R$. The first of the two is denoted $K'_0(R)$ and has the following properties:

1. For every finite $R$-module $M$ there is given an element $[M]$ in $K'_0(R)$,
2. for every short exact sequence $0 \to M' \to M \to M'' \to 0$ of finite $R$-modules we have the relation $[M] = [M'] + [M'']$,
3. the group $K'_0(R)$ is generated by the elements $[M]$, and
4. all relations in $K'_0(R)$ among the generators $[M]$ are $\mathbb{Z}$-linear combinations of the relations coming from exact sequences as above.

The actual construction is a bit more annoying since one has to take care that the collection of all finitely generated $R$-modules is a proper class. However, this problem can be overcome by taking as set of generators of the group $K'_0(R)$ the elements $[R^n/K]$ where $n$ ranges over all integers and $K$ ranges over all submodules $K \subset R^n$. The generators for the subgroup of relations imposed on these elements will be the relations coming from short exact sequences whose terms are of the form $R^n/K$. The element $[M]$ is defined by choosing $n$ and $K$ such that $M \cong R^n/K$ and putting $[M] = [R^n/K]$. Details left to the reader.

Lemma 54.1. If $R$ is an Artinian local ring then the length function defines a natural abelian group homomorphism $\text{length}_R : K'_0(R) \to \mathbb{Z}$.

Proof. The length of any finite $R$-module is finite, because it is the quotient of $R^n$ which has finite length by Lemma 52.6. And the length function is additive, see Lemma 51.3. □

The second of the two is denoted $K_0(R)$ and has the following properties:

1. For every finite projective $R$-module $M$ there is given an element $[M]$ in $K_0(R)$,
2. for every short exact sequence $0 \to M' \to M \to M'' \to 0$ of finite projective $R$-modules we have the relation $[M] = [M'] + [M'']$,
3. the group $K_0(R)$ is generated by the elements $[M]$, and
4. all relations in $K_0(R)$ are $\mathbb{Z}$-linear combinations of the relations coming from exact sequences as above.

The construction of this group is done as above.

We note that there is an obvious map $K_0(R) \to K'_0(R)$ which is not an isomorphism in general.

Example 54.2. Note that if $R = k$ is a field then we clearly have $K_0(k) = K'_0(k) \cong \mathbb{Z}$ with the isomorphism given by the dimension function (which is also the length function).

Example 54.3. Let $k$ be a field. Then $K_0(k[x]) = K'_0(k[x]) = \mathbb{Z}$.

Since $R = k[x]$ is a principal ideal domain, any finite projective $R$-module is free. In a short exact sequence of modules

$$0 \to M' \to M \to M'' \to 0$$

we have $\text{rank}(M) = \text{rank}(M') + \text{rank}(M'')$, which gives $K_0(k[x]) = \mathbb{Z}$.

The definition makes sense for any ring but is rarely used unless $R$ is Noetherian.
As for \( K'_0 \), the structure theorem for modules of a PID says that any finitely generated \( R \)-module is of the form \( M = R^r \times R/(d_1) \times \ldots \times R/(d_k) \). Consider the short exact sequence

\[
0 \to (d_i) \to R \to R/(d_i) \to 0
\]

Since the ideal \((d_i)\) is isomorphic to \( R \) as a module (it is free with generator \( d_i \)), in \( K'_0(\mathbb{Z}) \) we have \([d_i] = [R]\). Then \([R/(d_i)] = [(d_i)] - [R] = 0\). From this it follows that any torsion part “disappears” in \( K'_0 \). Again the rank of the free part determines that \( K'_0(k[x]) = \mathbb{Z} \), and the canonical homomorphism from \( K_0 \) to \( K'_0 \) is an isomorphism.

**Example 54.4.** Let \( k \) be a field. Let \( R = \{ f \in k[x] \mid f(0) = f(1) \} \), compare Example 26.4. In this case \( K_0(R) \cong k^* \oplus \mathbb{Z} \), but \( K'_0(R) = \mathbb{Z} \).

**Lemma 54.5.** Let \( R = R_1 \times R_2 \). Then \( K_0(R) = K_0(R_1) \times K_0(R_2) \) and \( K'_0(R) = K'_0(R_1) \times K'_0(R_2) \).

**Proof.** Omitted.

**Lemma 54.6.** Let \( R \) be an Artinian local ring. The map \( \text{length}_R : K'_0(R) \to \mathbb{Z} \) of Lemma 54.1 is an isomorphism.

**Proof.** Omitted.

**Lemma 54.7.** Let \( R \) be a local ring. Every finite projective \( R \)-module is finite free. The map \( \text{rank}_R : K_0(R) \to \mathbb{Z} \) defined by \([M] \to \text{rank}_R(M)\) is well defined and an isomorphism.

**Proof.** Let \( P \) be a finite projective \( R \)-module. The \( n \) generators of \( P \) give a surjection \( R^n \to P \), and since \( P \) is projective it follows that \( R^n \cong P \oplus Q \) for some projective module \( Q \).

If \( m \subset R \) is the maximal ideal, then \( P/m \) and \( Q/m \) are \( R/m \)-vector spaces, with \( P/m \oplus Q/m \cong (R/m)^n \). Say that \( \dim P = p \), \( \dim Q = q \), so \( p + q = n \).

Choose elements \( a_1, \ldots, a_p \) in \( P \) and \( b_1, \ldots, b_q \) in \( Q \) lying above bases for \( P/m \) and \( Q/m \). The homomorphism \( R^n \to P \oplus Q \cong R^n \) given by \((r_1, \ldots, r_n) \to r_1a_1 + \ldots + r_pa_p + r_{p+1}b_1 + \ldots + r_qb_q\) is a matrix \( A \) which is invertible over \( R/m \). Let \( B \) be a matrix over \( R \) lying over the inverse of \( A \) in \( R/m \). \( AB = I + M \), where \( M \) is a matrix whose entries all lie in \( m \). Thus \( \det AB = 1 + x \), for \( x \in m \), so \( AB \) is invertible, so \( A \) is invertible.

The homomorphism \( R^p \to P \) given by \((r_1, \ldots, r_p) \to r_1a_1 + \ldots + r_pa_p\) inherits injectivity and surjectivity from \( A \). Hence, \( P \cong R^p \).

Next we show that the rank of a finite projective module over \( R \) is well defined: if \( P \cong R^\alpha \cong R^\beta \), then \( \alpha = \beta \). This is immediate in the vector space case, and so it is true in the general module case as well, by dividing out the maximal ideal on both sides. If \( 0 \to R^\alpha \to R^\beta \to R^\gamma \to 0 \) is exact, the sequence splits, so \( R^\beta \cong R^\alpha \oplus R^\gamma \), so \( \beta = \alpha + \gamma \).

So far we have seen that the map \( \text{rank}_R : K_0(R) \to \mathbb{Z} \) is a well-defined homomorphism. It is surjective because \( \text{rank}_R[R] = 1 \). It is injective because the element of \( K_0(R) \) with rank \( \pm \alpha \) is uniquely \( \pm [R^\alpha] \).
Lemma 54.8. Let \( R \) be a local Artinian ring. There is a commutative diagram

\[
\begin{array}{ccc}
K_0(R) & \longrightarrow & K'_0(R) \\
rank_R \downarrow & & \downarrow length_R \\
\mathbb{Z} & \xrightarrow{\length_R} & \mathbb{Z}
\end{array}
\]

where the vertical maps are isomorphisms by Lemmas 54.6 and 54.7.

Proof. By induction on the rank of \( M \). Suppose \( [M] \in K_0(R) \). Then \( M \) is a finite projective \( R \)-module over a local ring, so \( M \) is free; \( M \cong R^n \) for some \( n \). The claim is that \( \rank(M)\length_R(R) = \length_R(M) \), or equivalently that \( \nlength_R(R) = \length_R(R^n) \) for all \( n \geq 1 \). When \( n = 1 \), this is clearly true. Suppose that \( (n-1)\length_R(R) = \length_R(R^{n-1}) \). Then since there is a split short exact sequence

\[
0 \to R \to R^n \to R^{n-1} \to 0
\]

by Lemma 51.3 we have

\[
\length_R(R^n) = \length_R(R) + \length_R(R^{n-1}) = \length_R(R) + (n-1)\length_R(R) = n\length_R(R)
\]

as desired. \( \square \)

55. Graded rings

A graded ring will be for us a ring \( S \) endowed with a direct sum decomposition \( S = \bigoplus_{d \geq 0} S_d \) such that \( S_d \cdot S_e \subset S_{d+e} \). Note that we do not allow nonzero elements in negative degrees. The irrelevant ideal is the ideal \( S_+ = \bigoplus_{d > 0} S_d \). A graded module will be an \( S \)-module \( M \) endowed with a direct sum decomposition \( M = \bigoplus_{n \in \mathbb{Z}} M_n \) such that \( S_d \cdot M_e \subset M_{d+e} \). Note that for modules we do allow nonzero elements in negative degrees. We think of \( S \) as a graded \( S \)-module by setting \( S_{-k} = (0) \) for \( k > 0 \). An element \( x \) (resp. \( f \)) of \( M \) (resp. \( S \)) is called homogeneous if \( x \in M_d \) (resp. \( f \in S_d \)) for some \( d \). A map of graded \( S \)-modules is a map of \( S \)-modules \( \varphi : M \to M' \) such that \( \varphi(M_d) \subset M'_d \). We do not allow maps to shift degrees. Let us denote \( \GrHom_0(M, N) \) the \( S_0 \)-module of homomorphisms of graded modules from \( M \) to \( N \).

At this point there are the notions of graded ideal, graded quotient ring, graded submodule, graded quotient module, graded tensor product, etc. We leave it to the reader to find the relevant definitions, and lemmas. For example: A short exact sequence of graded modules is short exact in every degree.

Given a graded ring \( S \), a graded \( S \)-module \( M \) and \( n \in \mathbb{Z} \) we denote \( M(n) \) the graded \( S \)-module with \( M(n)_d = M_{n+d} \). This is called the twist of \( M \) by \( n \). In particular we get modules \( S(n), n \in \mathbb{Z} \) which will play an important role in the study of projective schemes. There are some obvious functorial isomorphisms such as \( (M \oplus N)(n) = M(n) \oplus N(n), (M \otimes S N)(n) = M \otimes S N(n) = M(n) \otimes S N \). In addition we can define a graded \( S \)-module structure on the \( S_0 \)-module

\[
\GrHom(M, N) = \bigoplus_{n \in \mathbb{Z}} \GrHom_0(M, N), \quad \GrHom_0(M, N) = \GrHom_0(M, N(n)).
\]

We omit the definition of the multiplication.
Lemma 55.1. Let $S$ be a graded ring. Let $M$ be a graded $S$-module.

1. If $S_+ M = M$ and $M$ is finite, then $M = 0$.
2. If $N, N' \subset M$ are graded submodules, $M = N + S_+ N'$, and $N'$ is finite, then $M = N$.
3. If $N \rightarrow M$ is a map of graded modules, $N/S_+ N \rightarrow M/S_+ M$ is surjective, and $M$ is finite, then $N \rightarrow M$ is surjective.
4. If $x_1, \ldots, x_n \in M$ are homogeneous and generate $M/S_+ M$ and $M$ is finite, then $x_1, \ldots, x_n$ generate $M$.

Proof. Proof of (1). Choose generators $y_1, \ldots, y_r$ of $M$ over $S$. We may assume that $x_i$ is homogeneous of degree $d_i$. After renumbering we may assume $d_0 = \min(d_i)$. Then the condition that $S_+ M = M$ implies $y_r = 0$. Hence $M = 0$ by induction on $r$. Part (2) follows by applying (1) to $M/N$. Part (3) follows by applying (2) to the submodules $\text{Im}(N \rightarrow M)$ and $M$. Part (4) follows by applying (3) to the module map $\bigoplus S(-d_i) \rightarrow M$, $(s_1, \ldots, s_n) \mapsto \sum s_i x_i$. □

Let $S$ be a graded ring. Let $d \geq 1$ be an integer. We set $S^{(d)} = \bigoplus_{n \geq 0} S_{nd}$. We think of $S^{(d)}$ as a graded ring with degree $n$ summand $(S^{(d)})_n = S_{nd}$. Given a graded $S$-module $M$ we can similarly consider $M^{(d)} = \bigoplus_{n \in \mathbb{Z}} M_{nd}$ which is a graded $S^{(d)}$-module.

Lemma 55.2. Let $S$ be a graded ring, which is finitely generated over $S_0$. Then for all sufficiently divisible $d$ the algebra $S^{(d)}$ is generated in degree 1 over $S_0$.

Proof. Say $S$ is generated by $f_1, \ldots, f_r \in S$ over $S_0$. After replacing $f_i$ by their homogeneous parts, we may assume $f_i$ is homogeneous of degree $d_i > 0$. Then any element of $S_n$ is a linear combination with coefficients in $S_0$ of monomials $f_1^{e_1} \cdots f_r^{e_r}$ with $\sum e_i d_i = n$. Let $m$ be a multiple of $\text{lcm}(d_i)$. For any $N \geq r$ if

$$\sum e_i d_i = Nm$$

then for some $i$ we have $e_i \geq m/d_i$ by an elementary argument. Hence every monomial of degree $Nm$ is a product of monomials of degree $m$, namely $f_1^{m/d_1}$, and a monomial of degree $(N-1)m$. It follows that any monomial of degree $Nm$ with $n \geq 2$ is a product of monomials of degree $rm$. Thus $S^{(rm)}$ is generated in degree 1 over $S_0$. □

Lemma 55.3. Let $R \rightarrow S$ be a homomorphism of graded rings. Let $S' \subset S$ be the integral closure of $R$ in $S$. Then

$$S' = \bigoplus_{d \geq 0} S' \cap S_d,$$

i.e., $S'$ is a graded $R$-subalgebra of $S$.

Proof. We have to show the following: If $s = s_n + s_{n+1} + \cdots + s_m \in S'$, then each homogeneous part $s_j \in S'$. We will prove this by induction on $m - n$ over all homomorphisms $R \rightarrow S$ of graded rings. First note that it is immediate that $s_0$ is integral over $R_0$ (hence over $R$) as there is a ring map $S \rightarrow S_0$ compatible with the ring map $R \rightarrow R_0$. Thus, after replacing $s$ by $s - s_0$, we may assume $n > 0$. Consider the extension of graded rings $R[t, t^{-1}] \rightarrow S[t, t^{-1}]$ where $t$ has degree 0.
There is a commutative diagram

\[
\begin{array}{ccc}
S[t, t^{-1}] & \xrightarrow{s \mapsto \deg(s) s} & S[t, t^{-1}] \\
\uparrow & & \uparrow \\
R[t, t^{-1}] & \xrightarrow{r \mapsto \deg(r) r} & R[t, t^{-1}]
\end{array}
\]

where the horizontal maps are ring automorphisms. Hence the integral closure \(C\) of \(S[t, t^{-1}]\) over \(R[t, t^{-1}]\) maps into itself. Thus we see that

\[t^m(s_n + s_{n+1} + \ldots + s_m) - (t^m s_n + t^{m+1} s_{n+1} + \ldots + t^m s_m) \in C\]

which implies by induction hypothesis that each \((t^m - t^i)s_i \in C\) for \(i = n, \ldots, m-1\). Note that for any ring \(A\) and \(m > i \geq n > 0\) we have \(A[t, t^{-1}]/(t^m - t^i - 1) \cong A[t]/(t^m - t^i - 1)\) \(\supset A\) because \(t(t^m - t^i - 1) = 1\) in \(A[t]/(t^m - t^i - 1)\). Since \(t^m - t^i\) maps to 1 we see the image of \(s_i\) in the ring \(S[t]/(t^m - t^i - 1)\) is integral over \(R[t]/(t^m - t^i - 1)\) for \(i = n, \ldots, m-1\). Since \(R \to R[t]/(t^m - t^i - 1)\) is finite we see that \(s_i\) is integral over \(R\) by transitivity, see Lemma 56.1. Finally, we also conclude that \(s_m = s - \sum_{i=n, \ldots, m-1} s_i\) is integral over \(R\).

\[
\text{\textbullet } 56. \text{ Proj of a graded ring}
\]

\textbf{00JM} Let \(S\) be a graded ring. A \textit{homogeneous ideal} is simply an ideal \(I \subseteq S\) which is also a graded submodule of \(S\). Equivalently, it is an ideal generated by homogeneous elements. Equivalently, if \(f \in I\) and

\[f = f_0 + f_1 + \ldots + f_n\]

is the decomposition of \(f\) into homogeneous parts in \(S\) then \(f_i \in I\) for each \(i\). To check that a homogeneous ideal \(p\) is prime it suffices to check that if \(ab \in p\) with \(a, b\) homogeneous then either \(a \in p\) or \(b \in p\).

\textbf{00JN Definition} 56.1. Let \(S\) be a graded ring. We define \(\text{Proj}(S)\) to be the set of homogeneous prime ideals \(p\) of \(S\) such that \(S_+ \nsubseteq p\). The set \(\text{Proj}(S)\) is a subset of \(\text{Spec}(S)\) and we endow it with the induced topology. The topological space \(\text{Proj}(S)\) is called the \textit{homogeneous spectrum} of the graded ring \(S\).

Note that by construction there is a continuous map

\[\text{Proj}(S) \rightarrow \text{Spec}(S_0)\]

Let \(S = \oplus_{d \geq 0} S_d\) be a graded ring. Let \(f \in S_d\) and assume that \(d \geq 1\). We define \(S_f\) to be the subring of \(S_f\) consisting of elements of the form \(r/f^n\) with \(r\) homogeneous and \(\deg(r) = nd\). If \(M\) is a graded \(S\)-module, then we define the \(S_f\)-module \(M_f\) as the submodule of \(M_f\) consisting of elements of the form \(x/f^n\) with \(x\) homogeneous of degree \(nd\).

\textbf{00JO Lemma} 56.2. Let \(S\) be a \(\mathbb{Z}\)-graded ring containing a homogeneous invertible \textit{element} of positive degree. Then the set \(G \subset \text{Spec}(S)\) of \(\mathbb{Z}\)-graded primes of \(S\) (with induced topology) maps homeomorphically to \(\text{Spec}(S_0)\).

\textbf{Proof.} First we show that the map is a bijection by constructing an inverse. Let \(f \in S_d, d > 0\) be invertible in \(S\). If \(p_0\) is a prime of \(S_0\), then \(p_0 S\) is a \(\mathbb{Z}\)-graded ideal of \(S\) such that \(p_0 S \cap S_0 = p_0\). And if \(ab \in p_0 S\) with \(a, b\) homogeneous, then \(a^d b^d / f^{\deg(a) + \deg(b)} \in p_0\). Thus either \(a^d / f^{\deg(a)} \in p_0\) or \(b^d / f^{\deg(b)} \in p_0\), in other
words either \(a^d \in \mathfrak{p}_0S\) or \(b^d \in \mathfrak{p}_0S\). It follows that \(\sqrt{\mathfrak{p}_0S}\) is a \(\mathbf{Z}\)-graded prime ideal of \(S\) whose intersection with \(S_0\) is \(\mathfrak{p}_0\).

To show that the map is a homeomorphism we show that the image of \(G \cap D(g)\) is open. If \(g = \sum g_i\) with \(g_i \in S_i\), then by the above \(G \cap D(g)\) maps onto the set \(\bigcup D(g^d_i/f^i)\) which is open. \(\square\)

For \(f \in S\) homogeneous of degree \(\geq 0\) we define
\[
D_+(f) = \{ \mathfrak{p} \in \text{Proj}(S) \mid f \not\in \mathfrak{p} \}.
\]

Finally, for a homogeneous ideal \(I \subset S\) we define
\[
V_+(I) = \{ \mathfrak{p} \in \text{Proj}(S) \mid I \subset \mathfrak{p} \}.
\]

We will use more generally the notation \(V_+(E)\) for any set \(E\) of homogeneous elements \(E \subset S\).

**Lemma 56.3** (Topology on Proj). Let \(S = \oplus_{d \geq 0} S_d\) be a graded ring.

1. The sets \(D_+(f)\) are open in \(\text{Proj}(S)\).
2. We have \(D_+(ff') = D_+(f) \cap D_+(f')\).
3. Let \(g = g_0 + \ldots + g_m\) be an element of \(S\) with \(g_i \in S_i\). Then
\[
D(g) \cap \text{Proj}(S) = (D(g_0) \cap \text{Proj}(S)) \cup \bigcup_{i \geq 1} D_+(g_i).
\]
4. Let \(g_0 \in S_0\) be a homogeneous element of degree \(0\). Then
\[
D(g_0) \cap \text{Proj}(S) = \bigcup_{f \in S_d, d \geq 1} D_+(g_0f).
\]
5. The open sets \(D_+(f)\) form a basis for the topology of \(\text{Proj}(S)\).
6. Let \(f \in S\) be homogeneous of positive degree. The ring \(S_f\) has a natural \(\mathbf{Z}\)-grading. The ring maps \(S \to S_f \leftarrow S(f)\) induce homeomorphisms
\[
D_+(f) \leftarrow \{ \mathbf{Z}\text{-graded primes of } S_f \} \to \text{Spec}(S(f)).
\]
7. There exists an \(S\) such that \(\text{Proj}(S)\) is not quasi-compact.
8. The sets \(V_+(I)\) are closed.
9. Any closed subset \(T \subset \text{Proj}(S)\) is of the form \(V_+(I)\) for some homogeneous ideal \(I \subset S\).
10. For any graded ideal \(I \subset S\) we have \(V_+(I) = \emptyset\) if and only if \(S_+ \subset \sqrt{I}\).

**Proof.** Since \(D_+(f) = \text{Proj}(S) \cap D(f)\), these sets are open. Similarly the sets \(V_+(I) = \text{Proj}(S) \cap V(E)\) are closed.

Suppose that \(T \subset \text{Proj}(S)\) is closed. Then we can write \(T = \text{Proj}(S) \cap V(J)\) for some ideal \(J \subset S\). By definition of a homogeneous ideal if \(g \in J, g = g_0 + \ldots + g_m\) with \(g_d \in S_d\) then \(g_d \in \mathfrak{p}\) for all \(\mathfrak{p} \in T\). Thus, letting \(I \subset S\) be the ideal generated by the homogeneous parts of the elements of \(J\) we have \(T = V_+(I)\).

The formula for \(\text{Proj}(S) \cap D(g)\), with \(g \in S\) is direct from the definitions. Consider the formula for \(\text{Proj}(S) \cap D(g_0)\). The inclusion of the right hand side in the left hand side is obvious. For the other inclusion, suppose \(g_0 \not\in \mathfrak{p}\) with \(\mathfrak{p} \in \text{Proj}(S)\). If all \(g_0f \in \mathfrak{p}\) for all homogeneous \(f\) of positive degree, then we see that \(S_+ \subset \mathfrak{p}\) which is a contradiction. This gives the other inclusion.

The collection of opens \(D(g) \cap \text{Proj}(S)\) forms a basis for the topology since the standard opens \(D(g) \subset \text{Spec}(S)\) form a basis for the topology on \(\text{Spec}(S)\). By the
for some \( p \in S_f \) which are \( \mathbb{Z} \)-graded ideals (i.e., generated by homogeneous elements). Hence we have to show that the set of \( \mathbb{Z} \)-graded prime ideals of \( S_f \) maps homeomorphically to \( \text{Spec}(S_f) \). This follows from Lemma \ref{lemma:graded_primes}. Let \( S = \mathbb{Z}[X_1, X_2, X_3, \ldots] \) with grading such that each \( X_i \) has degree 1. Then it is easy to see that

\[
\text{Proj}(S) = \bigcup_{i=1}^{\infty} D_+(X_i)
\]
does not have a finite refinement.

Let \( I \subset S \) be a graded ideal. If \( \sqrt{I} \supset S_+ \) then \( V_+(I) = \emptyset \) since every prime \( p \in \text{Proj}(S) \) does not contain \( S_+ \) by definition. Conversely, suppose that \( S_+ \not\subset \sqrt{I} \). Then we can find an element \( f \in S_+ \) such that \( f \) is not nilpotent modulo \( I \). Clearly this means that one of the homogeneous parts of \( f \) is not nilpotent modulo \( I \), in other words we may (and do) assume that \( f \) is homogeneous. This implies that \( IS_+ \neq 0 \), in other words that \( (S/I)_f \) is not zero. Hence \( (S/I)_f \neq 0 \) since it is a ring which maps into \( (S/I)_f \). Pick a prime \( q \subset (S/I)_f \). This corresponds to a graded prime of \( S/I \), not containing the irrelevant ideal \( (S/I)_+ \). And this in turn corresponds to a graded prime ideal \( p \) of \( S \), containing \( I \) but not containing \( S_+ \) as desired.

\[\square\]

**Example 56.4.** Let \( R \) be a ring. If \( S = R[X] \) with \( \deg(X) = 1 \), then the natural map \( \text{Proj}(S) \to \text{Spec}(R) \) is a bijection and in fact a homeomorphism. Namely, suppose \( p \in \text{Proj}(S) \). Since \( S_+ \not\subset p \) we see that \( X \not\in p \). Thus if \( aX^n \in p \) with \( a \in R \) and \( n > 0 \), then \( a \in p \). It follows that \( p = p_0 \) with \( p_0 = p \cap R \).

If \( p \in \text{Proj}(S) \), then we define \( S_{(p)} \) to be the ring whose elements are fractions \( r/f \) where \( r, f \in S \) are homogeneous elements of the same degree such that \( f \not\in p \). As usual we say \( r/f = r'/f' \) if and only if there exists some \( f'' \in S \) homogeneous, \( f'' \not\in p \) such that \( f''(r'f' - rf) = 0 \). Given a graded \( S \)-module \( M \) we let \( M_{(p)} \) be the \( S_{(p)} \)-module whose elements are fractions \( x/f \) with \( x \in M \) and \( f \in S \) homogeneous of the same degree such that \( f \not\in p \). We say \( x/f = x'/f' \) if and only if there exists some \( f'' \in S \) homogeneous, \( f'' \not\in p \) such that \( f''(x f' - x'f) = 0 \).

**Lemma 56.5.** Let \( S \) be a graded ring. Let \( M \) be a graded \( S \)-module. Let \( p \) be an element of \( \text{Proj}(S) \). Let \( f \in S \) be a homogeneous element of positive degree such that \( f \not\in p \), i.e., \( p \in D_+(f) \). Let \( p' \subset S(f) \) be the element of \( \text{Spec}(S_{(f)}) \) corresponding to \( p \) as in Lemma \ref{lemma:spec_proj}. Then \( S_{(p)} = (S(f))_{p'} \) and compatibly \( M_{(p)} = (M(f))_{p'} \).

**Proof.** We define a map \( \psi : M_{(p)} \to (M(f))_{p'} \). Let \( x/g \in M_{(p)} \). We set \( \psi(x/g) = (xg^{\deg(f)}/f^{\deg(x)})/(g^{\deg(f)}/f^{\deg(g)}) \).

This makes sense since \( \deg(x) = \deg(g) \) and since \( g^{\deg(f)} / f^{\deg(g)} \not\in p' \). We omit the verification that \( \psi \) is well defined, a module map and an isomorphism. Hint: the inverse sends \( (x/f^{m})/(g/f^{n}) \) to \( (xf^{m})/(gf^{n}) \).

Here is a graded variant of Lemma \ref{lemma:birational}.
Lemma 56.6. Suppose $S$ is a graded ring, $p_i$, $i = 1, \ldots, r$ homogeneous prime ideals and $I \subset S$ a graded ideal. Assume $I \not\subset p_i$ for all $i$. Then there exists a homogeneous element $x \in I$ of positive degree such that $x \not\subset p_i$ for all $i$.

Proof. We may assume there are no inclusions among the $p_i$. The result is true for $r = 1$. Suppose the result holds for $r - 1$. Pick $x \in I$ homogeneous of positive degree such that $x \not\subset p_i$ for all $i = 1, \ldots, r - 1$. If $x \not\subset p_r$ we are done. So assume $x \in p_r$. If $Ip_1 \ldots p_{r-1} \subset p_r$, then $I \subset p_r$, a contradiction. Pick $y \in Ip_1 \ldots p_{r-1}$ homogeneous and $y \not\subset p_r$. Then $x^{\deg(y)} + y^{\deg(x)}$ works.

Lemma 56.7. Let $S$ be a graded ring. Let $p \subset S$ be a prime. Let $q$ be the homogeneous ideal of $S$ generated by the homogeneous elements of $p$. Then $q$ is a prime ideal of $S$.

Proof. Suppose $f, g \in S$ are such that $fg \in q$. Let $f_d$ (resp. $g_e$) be the homogeneous part of $f$ (resp. $g$) of degree $d$ (resp. $e$). Assume $d, e$ are maxima such that $f_d \neq 0$ and $g_e \neq 0$. By assumption we can write $fg = \sum a_if_i$ with $f_i \in p$ homogeneous. Say $\deg(f_i) = d_i$. Then $f_dg_e = \sum a'_i f_i$ with $a'_i$ to homogeneous part of degree $d + e - d_i$ of $a_i$ (or $0$ if $d + e - d_i < 0$). Hence $f_d \in p$ or $g_e \in p$. Hence $f_d \in q$ or $g_e \in q$. In the first case replace $f$ by $f - f_d$, in the second case replace $g$ by $g - g_e$. Then still $fg \in q$ but the discrete invariant $d + e$ has been decreased. Thus we may continue in this fashion until either $f$ or $g$ is zero. This clearly shows that $fg \in q$ implies either $f \in q$ or $g \in q$ as desired.

Lemma 56.8. Let $S$ be a graded ring.

1. Any minimal prime of $S$ is a homogeneous ideal of $S$.
2. Given a homogeneous ideal $I \subset S$ any minimal prime over $I$ is homogeneous.

Proof. The first assertion holds because the prime $q$ constructed in Lemma 56.7 satisfies $q \subset p$. The second because we may consider $S/I$ and apply the first part.

Lemma 56.9. Let $R$ be a ring. Let $S$ be a graded $R$-algebra. Let $f \in S_n$ be homogeneous. Assume that $S$ is of finite type over $R$. Then

1. the ring $S(f)$ is of finite type over $R$, and
2. for any finite graded $S$-module $M$ the module $M(f)$ is a finite $S(f)$-module.

Proof. Choose $f_1, \ldots, f_n \in S$ which generate $S$ as an $R$-algebra. We may assume that each $f_i$ is homogeneous (by decomposing each $f_i$ into its homogeneous components). An element of $S(f)$ is a sum of the form

$$\sum e_\deg(f) = \sum e_i \deg(f_i) \lambda_{e_1 \ldots e_n} f_1^{e_1} \ldots f_n^{e_n} / f^e$$

with $\lambda_{e_1 \ldots e_n} \in R$. Thus $S(f)$ is generated as an $R$-algebra by the $f_1^{e_1} \ldots f_n^{e_n} / f^e$ with the property that $e_\deg(f) = \sum e_i \deg(f_i)$. If $e_i \geq \deg(f)$ then we can write this as

$$f_1^{e_1} \ldots f_n^{e_n} / f^e = f_d^{\deg(f)} f_d^{\deg(f)} \sum_{i} e_i = f_d^{\deg(f)} \sum_{i} f_1^{e_i - \deg(f)} \ldots f_n^{e_n} / f^{e - \deg(f)}$$

Thus we only need the elements $f_d^{\deg(f)} / f^{\deg(f)}$ as well as the elements $f_1^{e_1} \ldots f_n^{e_n} / f^e$ with $e_\deg(f) = \sum e_i \deg(f_i)$ and $e_i < \deg(f)$. This is a finite list and we see that (1) is true.
To see (2) suppose that $M$ is generated by homogeneous elements $x_1, \ldots, x_m$. Then arguing as above we find that $M(f)$ is generated as an $S(f)$-module by the finite list of elements of the form $f_1^{e_1} \cdots f_n^{e_n}x_j^{e^*}$ with $e \deg(f) = \sum e_i \deg(f_i) + \deg(x_j)$ and $e_i < \deg(f)$. □

**Lemma 56.10.** Let $R$ be a ring. Let $R'$ be a finite type $R$-algebra, and let $M$ be a finite $R'$-module. There exists a graded $R$-algebra $S$, a graded $S$-module $N$ and an element $f \in S$ homogeneous of degree $1$ such that

1. $R' \cong S(f)$ and $M \cong N(f)$ (as modules),
2. $S_0 = R$ and $S$ is generated by finitely many elements of degree $1$ over $R$, and
3. $N$ is a finite $S$-module.

**Proof.** We may write $R' = R[x_1, \ldots, x_n]/I$ for some ideal $I$. For an element $g \in R[x_1, \ldots, x_n]$ denote $\bar{g} \in R[X_0, \ldots, X_n]$ the element homogeneous of minimal degree such that $g = \bar{g}(1, x_1, \ldots, x_n)$. Let $\tilde{I} \subset R[X_0, \ldots, X_n]$ generated by all elements $\bar{g}, g \in I$. Set $S = R[X_0, \ldots, X_n]/\tilde{I}$ and denote $f$ the image of $X_0$ in $S$. By construction we have an isomorphism

$$S(f) \rightarrow R', \quad x_i/X_0 \mapsto x_i.$$

To do the same thing with the module $M$ we choose a presentation

$$M = (R')^{\oplus r}/\sum_{j \in J} R'k_j$$

with $k_j = (k_{1j}, \ldots, k_{rj})$. Let $d_{ij} = \deg(k_{ij})$. Set $d_j = \max\{d_{ij}\}$. Set $K_{ij} = X_0^{d_{ij}} - d_{ij}k_{ij}$ which is homogeneous of degree $d_j$. With this notation we set

$$N = \text{Coker} \left( \bigoplus_{j \in J} S(-d_j) \xrightarrow{(K_{ij})} S^{\oplus r} \right)$$

which works. Some details omitted. □

# 57. Noetherian graded rings

**Lemma 57.1.** Let $S$ be a graded ring. A set of homogeneous elements $f_i \in S_+$ generates $S$ as an algebra over $S_0$ if and only if they generate $S_+$ as an ideal of $S$.

**Proof.** If the $f_i$ generate $S$ as an algebra over $S_0$ then every element in $S_+$ is a polynomial without constant term in the $f_i$ and hence $S_+$ is generated by the $f_i$ as an ideal. Conversely, suppose that $S_+ = \sum Sf_i$. We will prove that any element $f$ of $S$ can be written as a polynomial in the $f_i$ with coefficients in $S_0$. It suffices to do this for homogeneous elements. Say $f$ has degree $d$. Then we may perform induction on $d$. The case $d = 0$ is immediate. If $d > 0$ then $f \in S_+$ hence we can write $f = \sum g_if_i$ for some $g_i \in S$. As $S$ is graded we can replace $g_i$ by its homogeneous component of degree $d - \deg(f_i)$. By induction we see that each $g_i$ is a polynomial in the $f_i$ and we win. □

**Lemma 57.2.** A graded ring $S$ is Noetherian if and only if $S_0$ is Noetherian and $S_+$ is finitely generated as an ideal of $S$. 

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**COMMUTATIVE ALGEBRA 129**
Proof. It is clear that if $S$ is Noetherian then $S_0 = S/S_+$ is Noetherian and $S_+$ is finitely generated. Conversely, assume $S_0$ is Noetherian and $S_+$ finitely generated as an ideal of $S$. Pick generators $S_+ = (f_1, \ldots, f_n)$. By decomposing the $f_i$ into homogeneous pieces we may assume each $f_i$ is homogeneous. By Lemma 57.1, we see that $S_0[X_1, \ldots, X_n] \to S$ sending $X_i$ to $f_i$ is surjective. Thus $S$ is Noetherian by Lemma 30.1.

Definition 57.3. Let $A$ be an abelian group. We say that a function $f : n \mapsto f(n) \in A$ defined for all sufficient large integers $n$ is a numerical polynomial if there exists $r \geq 0$, elements $a_0, \ldots, a_r \in A$ such that

$$f(n) = \sum_{i=0}^r \binom{n}{i} a_i$$

for all $n \gg 0$.

The reason for using the binomial coefficients is the elementary fact that any polynomial $P \in \mathbb{Q}[T]$ all of whose values at integer points are integers, is equal to a sum $P(T) = \sum a_i \binom{T}{i}$ with $a_i \in \mathbb{Z}$. Note that in particular the expressions $\binom{T}{i+1}$ are of this form.

Lemma 57.4. If $A \to A'$ is a homomorphism of abelian groups and if $f : n \mapsto f(n) \in A$ is a numerical polynomial, then so is the composition.

Proof. This is immediate from the definitions.

Lemma 57.5. Suppose that $f : n \mapsto f(n) \in A$ is defined for all $n$ sufficiently large and suppose that $n \mapsto f(n) - f(n-1)$ is a numerical polynomial. Then $f$ is a numerical polynomial.

Proof. Let $f(n) - f(n-1) = \sum_{i=0}^r \binom{n}{i} a_i$ for all $n \gg 0$. Set $g(n) = f(n) - \sum_{i=0}^r \binom{n+1}{i+1} a_i$. Then $g(n) - g(n-1) = 0$ for all $n \gg 0$. Hence $g$ is eventually constant, say equal to $a_{-1}$. We leave it to the reader to show that $a_{-1} + \sum_{i=0}^r \binom{n+1}{i+1} a_i$ has the required shape (see remark above the lemma).

Lemma 57.6. If $M$ is a finitely generated graded $S$-module, and if $S$ is finitely generated over $S_0$, then each $M_n$ is a finite $S_0$-module.

Proof. Suppose the generators of $M$ are $m_i$ and the generators of $S$ are $f_i$. By taking homogeneous components we may assume that the $m_i$ and the $f_i$ are homogeneous and we may assume $f_i \in S_+$. In this case it is clear that each $M_n$ is generated over $S_0$ by the “monomials” $\prod f_i^{m_j}$ whose degree is $n$.

Proposition 57.7. Suppose that $S$ is a Noetherian graded ring and $M$ a finite graded $S$-module. Consider the function

$$\mathbb{Z} \to K'_0(S_0), \quad n \mapsto [M_n]$$

see Lemma 57.6. If $S_+$ is generated by elements of degree 1, then this function is a numerical polynomial.

Proof. We prove this by induction on the minimal number of generators of $S_1$. If this number is 0, then $M_n = 0$ for all $n \gg 0$ and the result holds. To prove the induction step, let $x \in S_1$ be one of a minimal set of generators, such that the induction hypothesis applies to the graded ring $S/(x)$.
First we show the result holds if \( x \) is nilpotent on \( M \). This we do by induction on the minimal integer \( r \) such that \( x^r M = 0 \). If \( r = 1 \), then \( M \) is a module over \( S/xS \) and the result holds (by the other induction hypothesis). If \( r > 1 \), then we can find a short exact sequence \( 0 \to M' \to M \to M'' \to 0 \) such that the integers \( r', r'' \) are strictly smaller than \( r \). Thus we know the result for \( M'' \) and \( M' \). Hence we get the result for \( M \) because of the relation \([M_d] = [M'_d] + [M''_d]\) in \( K'_0(S_0) \).

If \( x \) is not nilpotent on \( M \), let \( M' \subset M \) be the largest submodule on which \( x \) is nilpotent. Consider the exact sequence \( 0 \to M' \to M \to M/M' \to 0 \) we see again it suffices to prove the result for \( M/M' \). In other words we may assume that multiplication by \( x \) is injective.

Let \( \overline{M} = M/xM \). Note that the map \( x : M \to M \) is not a map of graded \( S \)-modules, since it does not map \( M_d \) into \( M_d \). Namely, for each \( d \) we have the following short exact sequence

\[
0 \to M_d \xrightarrow{x} M_{d+1} \to \overline{M}_{d+1} \to 0
\]

This proves that \([M_{d+1}] - [M_d] = [\overline{M}_{d+1}]\). Hence we win by Lemma 57.5. \( \square \)

02CD Remark 57.8. If \( S \) is still Noetherian but \( S \) is not generated in degree 1, then the function associated to a graded \( S \)-module is a periodic polynomial (i.e., it is a numerical polynomial on the congruence classes of integers modulo \( n \) for some \( n \)).

00K2 Example 57.9. Suppose that \( S = k[X_1, \ldots, X_d] \). By Example 54.2 we may identify \( K_0(k) = K'_0(k) = \mathbb{Z} \). Hence any finitely generated graded \( k[X_1, \ldots, X_d] \)-module gives rise to a numerical polynomial \( n \mapsto \dim_k(M_n) \).

00K3 Lemma 57.10. Let \( k \) be a field. Suppose that \( I \subset k[X_1, \ldots, X_d] \) is a nonzero graded ideal. Let \( M = k[X_1, \ldots, X_d]/I \). Then the numerical polynomial \( n \mapsto \dim_k(M_n) \) (see Example 57.9) has degree \( < d - 1 \) (or is zero if \( d = 1 \)).

Proof. The numerical polynomial associated to the graded module \( k[X_1, \ldots, X_d] \) is \( n \mapsto \binom{n-1+d}{d-1} \). For any nonzero homogeneous \( f \in I \) of degree \( e \) and any degree \( n \geq e \) we have \( I_n \supset f \cdot k[X_1, \ldots, X_d]_{n-e} \) and hence \( \dim_k(I_n) \geq \binom{n-1+e}{d-1} \). Hence \( \dim_k(M_n) \leq \binom{n-1+d}{d-1} - \binom{n-1+e}{d-1} \). We win because the last expression has degree \( < d - 1 \) (or is zero if \( d = 1 \)). \( \square \)

58. Noetherian local rings

00K4 In all of this section \((R, m, \kappa)\) is a Noetherian local ring. We develop some theory on Hilbert functions of modules in this section. Let \( M \) be a finite \( R \)-module. We define the Hilbert function of \( M \) to be the function \( \varphi_M : n \mapsto \text{length}_R(m^nM/m^{n+1}M) \) defined for all integers \( n \geq 0 \). Another important invariant is the function \( \chi_M : n \mapsto \text{length}_R(M/m^{n+1}M) \) defined for all integers \( n \geq 0 \). Note that we have by Lemma 51.3 that

\[
\chi_M(n) = \sum_{i=0}^{n} \varphi_M(i).
\]

There is a variant of this construction which uses an ideal of definition.

07DU Definition 58.1. Let \((R, m)\) be a local Noetherian ring. An ideal \( I \subset R \) such that \( \sqrt{I} = m \) is called an ideal of definition of \( R \).
Suppose that $I \subset R$ be an ideal of definition. Because $R$ is Noetherian this means that $m^r \subset I$ for some $r$, see Lemma 31.5. Hence any finite $R$-module annihilated by a power of $I$ has a finite length, see Lemma 51.8. Thus it makes sense to define

$$\varphi_{I,M}(n) = \text{length}_R(I^nM/I^{n+1}M) \quad \text{and} \quad \chi_{I,M}(n) = \text{length}_R(M/I^{n+1}M)$$

for all $n \geq 0$. Again we have that

$$\chi_{I,M}(n) = \sum_{i=0}^{n} \varphi_{I,M}(i).$$

00K5 Lemma 58.2. Suppose that $M' \subset M$ are finite $R$-modules with finite length quotient. Then there exists a constants $c_1, c_2$ such that for all $n \geq c_2$ we have

$$c_1 + \chi_{I,M'}(n-c_2) \leq \chi_{I,M}(n) \leq c_1 + \chi_{I,M'}(n)$$

Proof. Since $M/M'$ has finite length there is a $c_2 \geq 0$ such that $I^{c_2}M \subset M'$. Let $c_1 = \text{length}_R(M/M')$. For $n \geq c_2$ we have

$$\chi_{I,M}(n) = \text{length}_R(M/I^{n+1}M) = c_1 + \text{length}_R(M'/I^{n+1}M) \leq c_1 + \chi_{I,M'}(n)$$

On the other hand, since $I^{c_2}M \subset M'$, we have $I^nM \subset I^{n-c_2}M'$ for $n \geq c_2$. Thus for $n \geq c_2$ we get

$$\chi_{I,M}(n) = \text{length}_R(M/I^{n+1}M) = c_1 + \text{length}_R(M'/I^{n+1}M) \geq c_1 + \chi_{I,M'}(n-c_2)$$

which finishes the proof. □

00K6 Lemma 58.3. Suppose that $0 \to M' \to M \to M'' \to 0$ is a short exact sequence of finite $R$-modules. Then there exists a submodule $N \subset M'$ with finite colength $l$ and $c \geq 0$ such that

$$\chi_{I,M}(n) = \chi_{I,M''}(n) + \chi_{I,N}(n-c) + l$$

and

$$\varphi_{I,M}(n) = \varphi_{I,M''}(n) + \varphi_{I,N}(n-c)$$

for all $n \geq c$.

Proof. Note that $M/I^nM \to M''/I^nM''$ is surjective with kernel $M'/M' \cap I^nM$. By the Artin-Rees Lemma 50.2 there exists a constant $c$ such that $M' \cap I^nM = I^{n-c}(M' \cap I^cM)$. Denote $N = M' \cap I^cM$. Note that $I^cM' \subset N \subset M'$. Hence

$$\text{length}_R(M'/M' \cap I^nM) = \text{length}_R(M'/N) + \text{length}_R(N/I^{n-c}N)$$

for $n \geq c$. From the short exact sequence

$$0 \to M'/M' \cap I^nM \to M/I^nM \to M''/I^nM'' \to 0$$

and additivity of lengths (Lemma 51.3) we obtain the equality

$$\chi_{I,M}(n-1) = \chi_{I,M''}(n-1) + \chi_{I,N}(n-c-1) + \text{length}_R(M'/N)$$

for $n \geq c$. We have $\varphi_{I,M}(n) = \chi_{I,M}(n) - \chi_{I,M}(n-1)$ and similarly for the modules $M''$ and $N$. Hence we get $\varphi_{I,M}(n) = \varphi_{I,M''}(n) + \varphi_{I,N}(n-c)$ for $n \geq c$. □
Lemma 58.4. Suppose that $I$, $I'$ are two ideals of definition for the Noetherian local ring $R$. Let $M$ be a finite $R$-module. There exists a constant $a$ such that $\chi_{I,M}(n) \leq \chi_{I',M}(an)$ for $n \geq 1$.

Proof. There exists an integer $c$ such that $(I')^c \subset I$. Hence we get a surjection $M/(I')^{(n+1)} \to M/I^{n+1}M$. Whence the result with $a = c + 1$. □

Lemma 58.5. Let $R$ be a Noetherian local ring. Let $M$ be a finite $R$-module. Let $I \subset R$ be an ideal of definition. The Hilbert function $\varphi_{I,M}$ and the function $\chi_{I,M}$ are numerical polynomials.

Proof. Consider the graded ring $S = R/I \oplus I/I^2 \oplus I^2/I^3 \oplus \ldots = \bigoplus_{d \geq 0} I^d/I^{d+1}$. Consider the graded $S$-module $N = M/IM \oplus IM/I^2M \oplus \ldots = \bigoplus_{d \geq 0} I^dM/I^{d+1}M$. This pair $(S, N)$ satisfies the hypotheses of Proposition 57.7. Hence the result for $\varphi_{I,M}$ follows from that proposition and Lemma 54.1. The result for $\chi_{I,M}$ follows from this and Lemma 57.5. □

Lemma 58.6. Let $R$ be a Noetherian local ring. Let $M$ be a finite $R$-module. The Hilbert polynomial of $M$ over $R$ is the element $P(t) \in \mathbb{Q}[t]$ such that $P(n) = \varphi_M(n)$ for $n \gg 0$.

By Proposition 58.5 we see that the Hilbert polynomial exists.

Lemma 58.7. Let $R$ be a Noetherian local ring. Let $M$ be a finite $R$-module.

1. The degree of the numerical polynomial $\varphi_{I,M}$ is independent of the ideal of definition $I$.
2. The degree of the numerical polynomial $\chi_{I,M}$ is independent of the ideal of definition $I$.

Proof. Part (2) follows immediately from Lemma 58.4. Part (1) follows from (2) because $\varphi_{I,M}(n) = \chi_{I,M}(n) - \chi_{I,M}(n-1)$ for $n \geq 1$. □

Definition 58.8. Let $R$ be a local Noetherian ring and $M$ a finite $R$-module. We denote $d(M)$ the element of $\{-\infty, 0, 1, 2, \ldots\}$ defined as follows:

1. If $M = 0$ we set $d(M) = -\infty$.
2. If $M \neq 0$ then $d(M)$ is the degree of the numerical polynomial $\chi_M$.

If $m^nM \neq 0$ for all $n$, then we see that $d(M)$ is the degree +1 of the Hilbert polynomial of $M$.

Lemma 58.9. Let $R$ be a Noetherian local ring. Let $I \subset R$ be an ideal of definition. Let $M'$ be a finite $R$-module which does not have finite length. If $M' \subset M$ is a submodule with finite colength, then $\chi_{I,M} - \chi_{I,M'}$ is a polynomial of degree $< 0$ of definition.

Proof. Follows from Lemma 58.2 by elementary calculus. □

Lemma 58.10. Let $R$ be a Noetherian local ring. Let $I \subset R$ be an ideal of definition. Let $0 \to M' \to M \to M'' \to 0$ be a short exact sequence of finite $R$-modules. Then

1. $\chi_{I,M} - \chi_{I,M'}$ is a polynomial of degree $< \deg(\chi_{I,M'})$;
2. $\max\{\deg(\chi_{I,M'}), \deg(\chi_{I,M'})\} = \deg(\chi_{I,M})$, and
3. $\max\{d(M'), d(M'')\} = d(M)$.
Proof. We first prove (1). Let \( N \subset M' \) be as in Lemma \[58.3\] By Lemma \[58.9\] the numerical polynomial \( \chi_{I,M'} - \chi_{I,N} \) has degree < the common degree of \( \chi_{I,M'} \) and \( \chi_{I,N} \). By Lemma \[58.3\] the difference
\[
\chi_{I,M}(n) - \chi_{I,M''}(n) - \chi_{I,N}(n - c)
\]
is constant for \( n \gg 0 \). By elementary calculus the difference \( \chi_{I,N}(n) - \chi_{I,N}(n - c) \) has degree < the degree of \( \chi_{I,N} \) which is bigger than zero (see above). Putting everything together we obtain (1).

Note that the leading coefficients of \( \chi_{I,M'} \) and \( \chi_{I,M''} \) are nonnegative. Thus the degree of \( \chi_{I,M'} + \chi_{I,M''} \) is equal to the maximum of the degrees. Thus if \( M' \) does not have finite length, then (2) follows from (1). If \( M' \) does have finite length, then \( I^n M \to I^n M'' \) is an isomorphism for all \( n \gg 0 \) by Artin-Rees (Lemma \[50.2\]). Thus \( M/I^n M \to M''/I^n M'' \) is a surjection with kernel \( M' \) for \( n \gg 0 \) and we see that \( \chi_{I,M}(n) - \chi_{I,M''}(n) = \text{length}(M') \) for all \( n \gg 0 \). Thus (2) holds in this case also.

Proof of (3). This follows from (2) except if one of \( M, M', \) or \( M'' \) is zero. We omit the proof in these special cases. \( \square \)

59. Dimension

**Definition 59.1.** The Krull dimension of the ring \( R \) is the Krull dimension of the topological space \( \text{Spec}(R) \), see Topology, Definition \[10.1\]. In other words it is the supremum of the integers \( n \geq 0 \) such that there exists a chain of prime ideals of length \( n \):
\[
p_0 \subset p_1 \subset \ldots \subset p_n, \quad p_i \neq p_{i+1}.
\]

**Definition 59.2.** The height of a prime ideal \( p \) of a ring \( R \) is the dimension of the local ring \( R_p \).

**Lemma 59.3.** The Krull dimension of \( R \) is the supremum of the heights of its (maximal) primes.

**Proof.** This is so because we can always add a maximal ideal at the end of a chain of prime ideals. \( \square \)

**Lemma 59.4.** A Noetherian ring of dimension 0 is Artinian. Conversely, any Artinian ring is Noetherian of dimension zero.

**Proof.** By Lemma \[30.3\] the space \( \text{Spec}(R) \) is Noetherian. By Topology, Lemma \[9.2\] we see that \( \text{Spec}(R) \) has finitely many irreducible components, say \( \text{Spec}(R) = Z_1 \cup \ldots \cup Z_r \). According to Lemma \[25.1\] each \( Z_i = V(p_i) \) with \( p_i \) a minimal ideal. Since the dimension is 0 these \( p_i \) are also maximal. Thus \( \text{Spec}(R) \) is the discrete topological space with elements \( p_i \). All elements \( f \) of the Jacobson radical \( I = \bigcap p_i \) are nilpotent since otherwise \( R_f \) would not be the zero ring and we would have another prime. Since \( I \) is finitely generated we conclude that \( I \) is nilpotent, Lemma \[31.5\]. By Lemma \[52.5\] \( R \) is the product of its local rings. By Lemma \[51.8\] each of these has finite length over \( R \). Hence we conclude that \( R \) is Artinian by Lemma \[52.6\].

If \( R \) is Artinian then by Lemma \[52.6\] it is Noetherian. All of its primes are maximal by a combination of Lemmas \[52.3\], \[52.4\] and \[52.5\]. \( \square \)
In the following we will use the invariant \( d(-) \) defined in Definition \ref{def:invariant}. Here is a warm up lemma.

**Lemma 59.5.** Let \( R \) be a Noetherian local ring. Then \( \dim(R) = 0 \iff d(R) = 0 \).

**Proof.** This is because \( d(R) = 0 \) if and only if \( R \) has finite length as an \( R \)-module. See Lemma \ref{lem:length}. \( \square \)

**Proposition 59.6.** Let \( R \) be a ring. The following are equivalent:

1. \( R \) is Artinian,
2. \( R \) is Noetherian and \( \dim(R) = 0 \),
3. \( R \) has finite length as a module over itself,
4. \( R \) is a finite product of Artinian local rings,
5. \( R \) is Noetherian and \( \Spec(R) \) is a finite discrete topological space,
6. \( R \) is a finite product of Noetherian local rings of dimension \( 0 \),
7. \( R \) is a finite product of Noetherian local rings \( R_i \) with \( d(R_i) = 0 \),
8. \( R \) is a finite product of Noetherian local rings \( R_i \) whose maximal ideals are nilpotent,
9. \( R \) is Noetherian, has finitely many maximal ideals and its Jacobson radical ideal is nilpotent, and
10. \( R \) is Noetherian and there are no strict inclusions among its primes.

**Proof.** This is a combination of Lemmas \ref{lem:artinian}, \ref{lem:artinian}, \ref{lem:artinian}, and \ref{lem:artinian}.

**Lemma 59.7.** Let \( R \) be a local Noetherian ring. The following are equivalent:

1. \( \dim(R) = 1 \),
2. \( d(R) = 1 \),
3. there exists an \( x \in \mathfrak{m}, x \not= \mathfrak{p} \) such that \( V(x) = \{ \mathfrak{m} \} \),
4. there exists an \( x \in \mathfrak{m}, x \not= \mathfrak{p} \) such that \( \mathfrak{m} = (x) \), and
5. there exists an ideal of definition generated by 1 element, and no ideal of definition is generated by 0 elements.

**Proof.** First, assume that \( \dim(R) = 1 \). Let \( \mathfrak{p}_i \) be the minimal primes of \( R \). Because the dimension is 1 the only other prime of \( R \) is \( \mathfrak{m} \). According to Lemma \ref{lem:artinian} there are finitely many. Hence we can find \( x \in \mathfrak{m}, x \not= \mathfrak{p}_i \), see Lemma \ref{lem:artinian}. Thus the only prime containing \( x \) is \( \mathfrak{m} \) and hence (4).

If \( \mathfrak{m} = (x) \) then \( \mathfrak{m} = (x) \) by Lemma \ref{lem:artinian} and hence (4). The converse is clear as well. The equivalence of (1) and (5) follows from directly the definitions.

Assume (3). Let \( I = (x) \) be an ideal of definition. Note that \( I^n/I^{n+1} \) is a quotient of \( R/I \) via multiplication by \( x^n \) and hence \( \text{length}_R(I^n/I^{n+1}) \) is bounded. Thus \( d(R) = 0 \) or \( d(R) = 1 \), but \( d(R) = 0 \) is excluded by the assumption that 0 is not an ideal of definition.

Assume (2). To get a contradiction, assume there exist primes \( \mathfrak{p} \subset \mathfrak{q} \subset \mathfrak{m} \), with both inclusions strict. Pick some ideal of definition \( I \subset R \). We will repeatedly use Lemma \ref{lem:artinian}. First of all it implies, via the exact sequence \( 0 \to \mathfrak{p} \to R \to R/\mathfrak{p} \to 0 \), that \( d(R/\mathfrak{p}) \leq 1 \). But it clearly cannot be zero. Pick \( x \in \mathfrak{q}, x \not= \mathfrak{p} \). Consider the short exact sequence

\[ 0 \to R/\mathfrak{p} \to R/\mathfrak{p} \to R/(xR + \mathfrak{p}) \to 0. \]
This implies that \( \chi_{I,R/p} - \chi_{I,R/p} - \chi_{I,R/(xR+p)} = -\chi_{I,R/(xR+p)} \) has degree < 1. In other words, \( d(R/(xR+p)) = 0 \), and hence \( \dim(R/(xR+p)) = 0 \), by Lemma \[59.5\]. But \( R/(xR+p) \) has the distinct primes \( q/(xR+p) \) and \( m/(xR+p) \) which gives the desired contradiction. \( \square \)

**Proposition 59.8.** Let \( R \) be a local Noetherian ring. Let \( d \geq 0 \) be an integer. The following are equivalent:

1. \( \dim(R) = d \),
2. \( d(R) = d \),
3. there exists an ideal of definition generated by \( d \) elements, and no ideal of definition is generated by fewer than \( d \) elements.

**Proof.** This proof is really just the same as the proof of Lemma \[59.7\]. We will prove the proposition by induction on \( d \). By Lemmas \[59.5\] and \[59.7\] we may assume that \( d > 1 \). Denote the minimal number of generators for an ideal of definition of \( R \) by \( d'(R) \). We will prove the inequalities \( \dim(R) \geq d'(R) \geq d(R) \geq \dim(R) \), and hence they are all equal.

First, assume that \( \dim(R) = d \). Let \( p_i \) be the minimal primes of \( R \). According to Lemma \[30.6\] there are finitely many. Hence we can find \( x \in m, x \notin p_i \), see Lemma \[14.2\]. Note that every maximal chain of primes starts with some \( p_i \), hence the dimension of \( R/xR \) is at most \( d - 1 \). By induction there are \( x_2, \ldots, x_d \) which generate an ideal of definition in \( R/xR \). Hence \( R \) has an ideal of definition generated by \( (at \, most) \, d \) elements.

Assume \( d'(R) = d \). Let \( I = (x_1, \ldots, x_d) \) be an ideal of definition. Note that \( I_n/I^{n+1} \) is a quotient of a direct sum of \( \binom{d+n}{d-1} \) copies \( R/I \) via multiplication by all degree \( n \) monomials in \( x_1, \ldots, x_n \). Hence \( \text{length}_{R}(I_n/I^{n+1}) \) is bounded by a polynomial of degree \( d - 1 \). Thus \( d(R) \leq d \).

Assume \( d(R) = d \). Consider a chain of primes \( p \subset q_2 \subset \ldots \subset q_e = m \), with all inclusions strict, and \( e \geq 2 \). Pick some ideal of definition \( I \subset R \). We will repeatedly use Lemma \[58.10\]. First of all it implies, via the exact sequence \( 0 \to p \to R \to R/p \to 0 \), that \( d(R/p) \leq d \). But it clearly cannot be zero. Pick \( x \in q, x \notin p \). Consider the short exact sequence \( 0 \to R/p \to R/p \to R/(xR+p) \to 0 \).

This implies that \( \chi_{I,R/p} - \chi_{I,R/p} - \chi_{I,R/(xR+p)} = -\chi_{I,R/(xR+p)} \) has degree < \( d \). In other words, \( d(R/(xR+p)) = 0 \), and hence \( \dim(R/(xR+p)) \leq d - 1 \), by induction. Now \( R/(xR+p) \) has the chain of prime ideals \( q/(xR+p) \subset q_2/(xR+p) \subset \ldots \subset q_e/(xR+p) \) which gives \( e - 1 \leq d - 1 \). Since we started with an arbitrary chain of primes this proves that \( d(R) \leq d(R) \).

Reading back the reader will see we proved the circular inequalities as desired. \( \square \)

Let \( (R, m) \) be a Noetherian local ring. From the above it is clear that \( m \) cannot be generated by fewer than \( \dim(R) \) variables. By Nakayama’s Lemma \[19.1\] the minimal number of generators of \( m \) equals \( \dim_{m}(m) m/m^2 \). Hence we have the following fundamental inequality

\[ \dim(R) \leq \dim_{m}(m) m/m^2. \]

It turns out that the rings where equality holds have a lot of good properties. They are called regular local rings.
Definition 59.9. Let \((R, \mathfrak{m})\) be a Noetherian local ring of dimension \(d\).

1. A system of parameters of \(R\) is a sequence of elements \(x_1, \ldots, x_d \in \mathfrak{m}\) which generates an ideal of definition of \(R\),
2. if there exist \(x_1, \ldots, x_d \in \mathfrak{m}\) such that \(\mathfrak{m} = (x_1, \ldots, x_d)\) then we call \(R\) a regular local ring and \(x_1, \ldots, x_d\) a regular system of parameters.

The following lemmas are clear from the proofs of the lemmas and proposition above, but we spell them out so we have convenient references.

Lemma 59.10. Let \(R\) be a Noetherian ring. Let \(x \in R\).

1. If \(p\) is minimal over \((x)\) then the height of \(p\) is \(0\) or \(1\).
2. If \(p, q \in \text{Spec}(R)\) and \(q\) is minimal over \((p, x)\), then there is no prime strictly between \(p\) and \(q\).

Proof. Proof of (1). If \(p\) is minimal over \(x\), then the only prime ideal of \(R_p\) containing \(x\) is the maximal ideal \(pR_p\). This is true because the primes of \(R_p\) correspond 1-to-1 with the primes of \(R\) contained in \(p\), see Lemma 16.5. Hence Lemma 59.7 shows \(\dim(R_p) = 1\) if \(x\) is not nilpotent in \(R_p\). Of course, if \(x\) is nilpotent in \(R_p\), the argument gives that \(pR_p\) is the only prime ideal and we see that the height is 0.

Proof of (2). By part (1) we see that \(q/p\) is a prime of height \(1\) or \(0\) in \(R/p\). This immediately implies there cannot be a prime strictly between \(p\) and \(q\).

Lemma 59.11. Let \(R\) be a Noetherian ring. Let \(f_1, \ldots, f_r \in R\).

1. If \(p\) is minimal over \((f_1, \ldots, f_r)\) then the height of \(p\) is \(\leq r\).
2. If \(p, q \in \text{Spec}(R)\) and \(q\) is minimal over \((p, f_1, \ldots, f_r)\), then every chain of primes between \(p\) and \(q\) has length at most \(r\).

Proof. Proof of (1). If \(p\) is minimal over \(f_1, \ldots, f_r\), then the only prime ideal of \(R_p\) containing \(f_1, \ldots, f_r\) is the maximal ideal \(pR_p\). This is true because the primes of \(R_p\) correspond 1-to-1 with the primes of \(R\) contained in \(p\), see Lemma 16.5. Hence Proposition 59.8 shows \(\dim(R_p) \leq r\).

Proof of (2). By part (1) we see that \(q/p\) is a prime of height \(\leq r\). This immediately implies the statement about chains of primes between \(p\) and \(q\).

Lemma 59.12. Suppose that \(R\) is a Noetherian local ring and \(x \in \mathfrak{m}\) an element of its maximal ideal. Then \(\dim R \leq \dim R/\mathfrak{m}R + 1\). If \(x\) is not contained in any of the minimal primes of \(R\) then equality holds. (For example if \(x\) is a nonzerodivisor.)

Proof. If \(x_1, \ldots, x_{\dim R/\mathfrak{m}R} \in R\) map to elements of \(R/\mathfrak{m}R\) which generate an ideal of definition for \(R/\mathfrak{m}R\), then \(x, x_1, \ldots, x_{\dim R/\mathfrak{m}R}\) generate an ideal of definition for \(R\). Hence the inequality by Proposition 59.8. On the other hand, if \(x\) is not contained in any minimal prime of \(R\), then the chains of primes in \(R/\mathfrak{m}R\) all give rise to chains in \(R\) which are at least one step away from being maximal.

Lemma 59.13. Let \((R, \mathfrak{m})\) be a Noetherian local ring. Suppose \(x_1, \ldots, x_d \in \mathfrak{m}\) generate an ideal of definition and \(d = \dim(R)\). Then \(\dim(R/(x_1, \ldots, x_i)) = d - i\) for all \(i = 1, \ldots, d\).

Proof. Follows either from the proof of Proposition 59.8 or by using induction on \(d\) and Lemma 59.12.
02IF We can use the results on dimension to prove certain rings have infinite spectra and to produce more Jacobson rings.

**Lemma 60.1.** Let \( R \) be a Noetherian local domain of dimension \( \geq 2 \). A nonempty open subset \( U \subset \text{Spec}(R) \) is infinite.

**Proof.** To get a contradiction, assume that \( U \subset \text{Spec}(R) \) is finite. In this case \((0) \in U \) and \( \{(0)\} \) is an open subset of \( U \) (because the complement of \( \{(0)\} \) is the union of the closures of the other points). Thus we may assume \( U = \{(0)\} \).

Let \( m \subset R \) be the maximal ideal. We can find an \( x \in m, x \neq 0 \) such that \( V(x) \cup U = \text{Spec}(R) \). In other words we see that \( D(x) = \{(0)\} \).

This implies that \( \dim(R/(y)) = \dim(R) - 1 \) and \( \dim(R/(y,x)) = \dim(R) - 2 \), see Lemma 59.13. Hence there exists a prime \( p \) containing \( y \) but not \( x \). This contradicts the fact that \( D(x) = \{(0)\} \).

The rings \( k[[t]] \) where \( k \) is a field, or the ring of \( p \)-adic numbers are Noetherian rings of dimension 1 with finitely many primes. This is the maximum dimension for which this can happen.

**Lemma 60.2.** A Noetherian ring with finitely many primes has dimension \( \leq 1 \).

**Proof.** Let \( R \) be a Noetherian ring with finitely many primes. If \( R \) is a local domain, then the lemma follows from Lemma 60.1. If \( R \) is a domain, then \( R_m \) has dimension \( \leq 1 \) for all maximal ideals \( m \) by the local case. Hence \( \dim(R) \leq 1 \) by Lemma 59.3. If \( R \) is general, then \( \dim(R/q) \leq 1 \) for every minimal prime \( q \) of \( R \). Since every prime contains a minimal prime (Lemma 16.2), this implies \( \dim(R) \leq 1 \).

**Lemma 60.3.** Let \( S \) be a nonzero finite type algebra over a field \( k \). Then \( \dim(S) = 0 \) if and only if \( S \) has finitely many primes.

**Proof.** Recall that \( \text{Spec}(S) \) is sober, Noetherian, and Jacobson, see Lemmas 25.2, 30.5, 34.2, and 34.4. If it has dimension 0, then every point defines an irreducible component and there are only a finite number of irreducible components (Topology, Lemma 18.2). Conversely, if \( \text{Spec}(S) \) is finite, then it is discrete by Topology, Lemma 18.3 and hence the dimension is 0.

**Lemma 60.4.** Noetherian Jacobson rings.

1. Any Noetherian domain \( R \) of dimension 1 with infinitely many primes is Jacobson.
2. Any Noetherian ring such that every prime \( \mathfrak{p} \) is either maximal or contained in infinitely many prime ideals is Jacobson.

**Proof.** Part (1) is a reformulation of Lemma 34.6. Let \( R \) be a Noetherian ring such that every non-maximal prime \( \mathfrak{p} \) is contained in infinitely many prime ideals. Assume \( \text{Spec}(R) \) is not Jacobson to get a contradiction. By Lemmas 25.1 and 30.3 we see that \( \text{Spec}(R) \) is a sober, Noetherian topological space. By Topology, Lemma 18.3 we see that there exists a non-maximal ideal
Let \( p \subset R \) such that \( \{p\} \) is a locally closed subset of \( \text{Spec}(R) \). In other words, \( p \) is not maximal and \( \{p\} \) is an open subset of \( V(p) \). Consider a prime \( q \subset R \) with \( p \subset q \). Recall that the topology on the spectrum of \( (R/p)_q = R_q/pR_q \) is induced from that of \( \text{Spec}(R) \), see Lemmas \[16.5, 16.7\]. Hence we see that \( \{0\} \) is a locally closed subset of \( \text{Spec}((R/p)_q) \). By Lemma \[16.1\] we conclude that \( \dim((R/p)_q) = 1 \). Since this holds for every \( q \supset p \) we conclude that \( \dim(R/p) = 1 \). At this point we use the assumption that \( p \) is contained in infinitely many primes to see that \( \text{Spec}(R/p) \) is infinite. Hence by part (1) of the lemma we see that \( V(p) \cong \text{Spec}(R/p) \) is the closure of its closed points. This is the desired contradiction since it means that \( \{p\} \subset V(p) \) cannot be open. \( \square \)

### 61. Support and dimension of modules

**Lemma 61.1.** Let \( R \) be a Noetherian ring, and let \( M \) be a finite \( R \)-module. There exists a filtration by \( R \)-submodules

\[
0 = M_0 \subset M_1 \subset \ldots \subset M_n = M
\]

such that each quotient \( M_i/M_{i-1} \) is isomorphic to \( R/p_i \) for some prime ideal \( p_i \) of \( R \).

**Proof.** By Lemma \[5.4\] it suffices to do the case \( M = R/I \) for some ideal \( I \). Consider the set \( S \) of ideals \( J \) such that the lemma does not hold for the module \( R/J \), and order it by inclusion. To arrive at a contradiction, assume that \( S \) is not empty. Because \( R \) is Noetherian, \( S \) has a maximal element \( J \). By definition of \( S \), the ideal \( J \) cannot be prime. Pick \( a, b \in R \) such that \( ab \in J \), but neither \( a \in J \) nor \( b \in J \). Consider the filtration \( 0 \subset aR/(aR \cap J) \subset R/J \). Note that \( aR/(aR \cap J) \) is a quotient of \( R/(J + abR) \) and the second quotient equals \( R/(ab + J) \). Hence by maximality of \( J \), each of these has a filtration as above and hence so does \( R/J \). Contradiction. \( \square \)

**Lemma 61.2.** Let \( R, M, M_i, p_i \) as in Lemma \[61.1\]. Then \( \text{Supp}(M) = \bigcup V(p_i) \) and in particular \( p_i \in \text{Supp}(M) \).

**Proof.** This follows from Lemmas \[39.5, 39.9\]. \( \square \)

**Lemma 61.3.** Suppose that \( R \) is a Noetherian local ring with maximal ideal \( m \). Let \( M \) be a nonzero finite \( R \)-module. Then \( \text{Supp}(M) = \{m\} \) if and only if \( M \) has finite length over \( R \).

**Proof.** Assume that \( \text{Supp}(M) = \{m\} \). It suffices to show that all the primes \( p_i \) in the filtration of Lemma \[61.1\] are the maximal ideal. This is clear by Lemma \[61.2\]. Suppose that \( M \) has finite length over \( R \). Then \( m^nM = 0 \) by Lemma \[51.4\]. Since some element of \( m \) maps to a unit in \( R_p \) for any prime \( p \neq m \) in \( R \) we see \( M_p = 0 \). \( \square \)

**Lemma 61.4.** Let \( R \) be a Noetherian ring. Let \( I \subset R \) be an ideal. Let \( M \) be a finite \( R \)-module. Then \( I^nM = 0 \) for some \( n \geq 0 \) if and only if \( \text{Supp}(M) \subset V(I) \).

**Proof.** It is clear that \( I^nM = 0 \) for some \( n \geq 0 \) implies \( \text{Supp}(M) \subset V(I) \). Suppose that \( \text{Supp}(M) \subset V(I) \). Choose a filtration \( 0 = M_0 \subset M_1 \subset \ldots \subset M_n = M \) as in Lemma \[61.1\]. Each of the primes \( p_i \) is contained in \( V(I) \) by Lemma \[61.2\]. Hence \( I \subset p_i \) and \( I \) annihilates \( M_i/M_{i-1} \). Hence \( I^n \) annihilates \( M \). \( \square \)
Lemma 61.5. Let $R$, $M$, $M_i$, $p_i$ as in Lemma 61.1. The minimal elements of the set $\{p_i\}$ are the minimal elements of $\text{Supp}(M)$. The number of times a minimal prime $p$ occurs is
\[
\# \{i \mid p_i = p\} = \text{length}_{R_p} M_p.
\]

Proof. The first statement follows because $\text{Supp}(M) = \bigcup V(p_i)$, see Lemma 61.2. Let $p \in \text{Supp}(M)$ be minimal. The support of $M_p$ is the set consisting of the maximal ideal $pR_p$. Hence by Lemma 61.3 the length of $M_p$ is finite and $> 0$. Next we note that $M_p$ has a filtration with subquotients $(R/p_i)_p = R_p/p_i R_p$. These are zero if $p_i \not\subset p$ and equal to $\kappa(p)$ if $p_i \subset p$ because by minimality of $p$ we have $p_i = p$ in this case. The result follows since $\kappa(p)$ has length 1.

Lemma 61.6. Let $R$ be a Noetherian local ring. Let $M$ be a finite $R$-module. Then $d(M) = \dim(\text{Supp}(M))$.

Proof. Let $M_i$, $p_i$ be as in Lemma 61.1. By Lemma 68.10 we obtain the equality $d(M) = \max\{d(R/p_i)\}$. By Proposition 59.8 we have $d(R/p_i) = \dim(R/p_i)$, trivially $\dim(R/p_i) = \dim V(p_i)$. Since all minimal primes of $\text{Supp}(M)$ occur among the $p_i$ (Lemma 61.5) we win.

Lemma 61.7. Let $R$ be a Noetherian ring. Let $0 \to M' \to M \to M'' \to 0$ be a short exact sequence of finite $R$-modules. Then $\max\{\dim(\text{Supp}(M')), \dim(\text{Supp}(M''))\} = \dim(\text{Supp}(M))$.

Proof. If $R$ is local, this follows immediately from Lemmas 61.6 and 58.10. A more elementary argument, which works also if $R$ is not local, is to use that $\text{Supp}(M')$, $\text{Supp}(M'')$, and $\text{Supp}(M)$ are closed (Lemma 39.5) and that $\text{Supp}(M) = \text{Supp}(M') \cup \text{Supp}(M'')$ (Lemma 39.9).

62. Associated primes

Here is the standard definition. For non-Noetherian rings and non-finite modules it may be more appropriate to use the definition in Section 65.

Definition 62.1. Let $R$ be a ring. Let $M$ be an $R$-module. A prime $p$ of $R$ is associated to $M$ if there exists an element $m \in M$ whose annihilator is $p$. The set of all such primes is denoted $\text{Ass}_R(M)$ or $\text{Ass}(M)$.

Lemma 62.2. Let $R$ be a ring. Let $M$ be an $R$-module. Then $\text{Ass}(M) \subseteq \text{Supp}(M)$.

Proof. If $m \in M$ has annihilator $p$, then in particular no element of $R \setminus p$ annihilates $m$. Hence $m$ is a nonzero element of $M_p$, i.e., $p \in \text{Supp}(M)$.

Lemma 62.3. Let $R$ be a ring. Let $0 \to M' \to M \to M'' \to 0$ be a short exact sequence of $R$-modules. Then $\text{Ass}(M') \subseteq \text{Ass}(M)$ and $\text{Ass}(M) \subseteq \text{Ass}(M') \cup \text{Ass}(M'')$.

Proof. Omitted.

Lemma 62.4. Let $R$ be a ring, and $M$ an $R$-module. Suppose there exists a filtration by $R$-submodules
\[
0 = M_0 \subset M_1 \subset \ldots \subset M_n = M
\]
such that each quotient $M_i/M_{i-1}$ is isomorphic to $R/p_i$ for some prime ideal $p_i$ of $R$. Then $\text{Ass}(M) \subseteq \{p_1, \ldots, p_n\}$.
Proof. By induction on the length $n$ of the filtration $\{M_i\}$. Pick $m \in M$ whose annihilator is a prime $p$. If $m \in M_{n-1}$ we are done by induction. If not, then $m$ maps to a nonzero element of $M/M_{n-1} \cong R/p_n$. Hence we have $p \subset p_n$. If equality does not hold, then we can find $f \in p_n$, $f \notin p$. In this case the annihilator of $fm$ is still $p$ and $fm \in M_{n-1}$. Thus we win by induction. $\square$

**Lemma 62.5.** Let $R$ be a Noetherian ring. Let $M$ be a finite $R$-module. Then $\text{Ass}(M)$ is finite.

**Proof.** Immediate from Lemma 62.4 and Lemma 61.1. $\square$

**Proposition 62.6.** Let $R$ be a Noetherian ring. Let $M$ be a finite $R$-module. The following sets of primes are the same:

1. The minimal primes in the support of $M$.
2. The minimal primes in $\text{Ass}(M)$.
3. For any filtration $0 = M_0 \subset M_1 \subset \ldots \subset M_{n-1} \subset M_n = M$ with $M_i/M_{i-1} \cong R/p_i$, the minimal primes of the set $\{p_i\}$.

**Proof.** Choose a filtration as in (3). In Lemma 61.5 we have seen that the sets in (1) and (3) are equal.

Let $p$ be a minimal element of the set $\{p_i\}$. Let $i$ be minimal such that $p = p_i$. Pick $m \in M_i$, $m \notin M_{i-1}$. The annihilator of $m$ is contained in $p_i = p$ and contains $p_1p_2\ldots p_i$. By our choice of $i$ and $p$ we have $p_j \not\subset p$ for $j < i$ and hence we have $p_1p_2\ldots p_{i-1} \not\subset p_i$. Pick $f \in p_1p_2\ldots p_{i-1}$, $f \notin p$. Then $fm$ has annihilator $p$. In this way we see that $p$ is an associated prime of $M$. By Lemma 62.2 we have $\text{Ass}(M) \subset \text{Supp}(M)$ and hence $p$ is minimal in $\text{Ass}(M)$. Thus the set of primes in (1) is contained in the set of primes of (2).

Let $p$ be a minimal element of $\text{Ass}(M)$. Since $\text{Ass}(M) \subset \text{Supp}(M)$ there is a minimal element $q$ of $\text{Supp}(M)$ with $q \subset p$. We have just shown that $q \in \text{Ass}(M)$. Hence $q = p$ by minimality of $p$. Thus the set of primes in (2) is contained in the set of primes of (1). $\square$

**Lemma 62.7.** Let $R$ be a Noetherian ring. Let $M$ be an $R$-module. Then

$$M = (0) \iff \text{Ass}(M) = \emptyset.$$ 

**Proof.** If $M = (0)$, then $\text{Ass}(M) = \emptyset$ by definition. If $M \neq 0$, pick any nonzero finitely generated submodule $M' \subset M$, for example a submodule generated by a single nonzero element. By Lemma 39.2 we see that $\text{Supp}(M')$ is nonempty. By Proposition 62.6 this implies that $\text{Ass}(M')$ is nonempty. By Lemma 62.3 this implies $\text{Ass}(M) \neq \emptyset$. $\square$

**Lemma 62.8.** Let $R$ be a Noetherian ring. Let $M$ be an $R$-module. Any $p \in \text{Supp}(M)$ which is minimal among the elements of $\text{Supp}(M)$ is an element of $\text{Ass}(M)$.

**Proof.** If $M$ is a finite $R$-module, then this is a consequence of Proposition 62.6. In general write $M = \bigcup M_\lambda$ as the union of its finite submodules, and use that $\text{Supp}(M) = \bigcup \text{Supp}(M_\lambda)$ and $\text{Ass}(M) = \bigcup \text{Ass}(M_\lambda)$. $\square$

**Lemma 62.9.** Let $R$ be a Noetherian ring. Let $M$ be an $R$-module. The union $\bigcup_{q \in \text{Ass}(M)} q$ is the set of elements of $R$ which are zerodivisors on $M$. 

**Proof.** Any element in any associated prime clearly is a zerodivisor on $M$. Conversely, suppose $x \in R$ is a zerodivisor on $M$. Consider the submodule $N = \{m \in M \mid xm = 0\}$. Since $N$ is not zero it has an associated prime $q$ by Lemma 62.7. Then $x \in q$ and $q$ is an associated prime of $M$ by Lemma 62.3. □

**Lemma 62.10.** Let $R$ be a Noetherian local ring, $M$ a finite $R$-module, and $f \in m$ an element of the maximal ideal of $R$. Then

$$\dim(\text{Supp}(M/fM)) \leq \dim(\text{Supp}(M)) \leq \dim(\text{Supp}(M/fM)) + 1$$

If $f$ is not in any of the minimal primes of the support of $M$ (for example if $f$ is a nonzerodivisor on $M$), then equality holds for the right inequality.

**Proof.** (The parenthetical statement follows from Lemma 62.9.) The first inequality follows from $\text{Supp}(M/fM) \subset \text{Supp}(M)$, see Lemma 39.9. For the second inequality, note that $\text{Supp}(M/fM) = \text{Supp}(M) \cap V(f)$, see Lemma 39.9. It follows, for example by Lemma 61.2 and elementary properties of dimension, that it suffices to show $\dim V(p) \leq \dim(V(p) \cap V(f)) + 1$ for primes $p$ of $R$. This is a consequence of Lemma 59.12. Finally, if $f$ is not contained in any minimal prime of the support of $M$, then the chains of primes in $\text{Supp}(M/fM)$ all give rise to chains in $\text{Supp}(M)$ which are at least one step away from being maximal. □

**Lemma 62.11.** Let $\varphi : R \to S$ be a ring map. Let $M$ be an $S$-module. Then $\text{Spec}(\varphi)(\text{Ass}_S(M)) \subset \text{Ass}_R(M)$.

**Proof.** If $q \in \text{Ass}_S(M)$, then there exists an $m$ in $M$ such that the annihilator of $m$ in $S$ is $q$. Then the annihilator of $m$ in $R$ is $q \cap R$. □

**Remark 62.12.** Let $\varphi : R \to S$ be a ring map. Let $M$ be an $S$-module. Then it is not always the case that $\text{Spec}(\varphi)(\text{Ass}_S(M)) \supset \text{Ass}_R(M)$. For example, consider the ring map $R = k \to S = k[x_1, x_2, x_3, \ldots]/(x_1^2)$ and $M = S$. Then $\text{Ass}_R(M)$ is not empty, but $\text{Ass}_S(S)$ is empty.

**Lemma 62.13.** Let $\varphi : R \to S$ be a ring map. Let $M$ be an $S$-module. If $S$ is Noetherian, then $\text{Spec}(\varphi)(\text{Ass}_S(M)) = \text{Ass}_R(M)$.

**Proof.** We have already seen in Lemma 62.11 that $\text{Spec}(\varphi)(\text{Ass}_S(M)) \subset \text{Ass}_R(M)$. For the converse, choose a prime $p \in \text{Ass}_R(M)$. Let $m \in M$ be an element such that the annihilator of $m$ in $R$ is $p$. Let $I = \{g \in S \mid gm = 0\}$ be the annihilator of $m$ in $S$. Then $R/p \subset S/I$ is injective. Combining Lemmas 29.6 and 29.7 we see that there is a prime $q \subset S$ minimal over $I$ mapping to $p$. By Proposition 62.6 we see that $q$ is an associated prime of $S/I$, hence $q$ is an associated prime of $M$ by Lemma 62.3 and we win. □

**Lemma 62.14.** Let $R$ be a ring. Let $I$ be an ideal. Let $M$ be an $R/I$-module. Via the canonical injection $\text{Spec}(R/I) \to \text{Spec}(R)$ we have $\text{Ass}_{R/I}(M) = \text{Ass}_R(M)$.

**Proof.** Omitted. □

**Lemma 62.15.** Let $R$ be a ring. Let $M$ be an $R$-module. Let $p \subset R$ be a prime.

1. If $p \in \text{Ass}(M)$ then $pR_p \in \text{Ass}(M_p)$.
2. If $p$ is finitely generated then the converse holds as well.
Proof. If \( p \in \text{Ass}(M) \) there exists an element \( m \in M \) whose annihilator is \( p \). As localization is exact (Proposition \( \ref{9.12} \)) we see that the annihilator of \( m/1 \) in \( M_p \) is \( pR_p \) hence (1) holds. Assume \( pR_p \in \text{Ass}(M_p) \) and \( p = (f_1, \ldots, f_n) \). Let \( m/g \) be an element of \( M_p \) whose annihilator is \( pR_p \). This implies that the annihilator of \( m \) is contained in \( p \). As \( f_i m/g = 0 \) in \( M_p \) we see there exists a \( g_i \in R \), \( g_i \notin p \) such that \( g_1 \ldots g_n m = 0 \). Combined we see the annihilator of \( g_1 \ldots g_n m \) is \( p \). Hence \( p \in \text{Ass}(M) \). \[ \square \]

05BZ Lemma 62.16. Let \( R \) be a ring. Let \( M \) be an \( R \)-module. Let \( S \subset R \) be a multiplicative subset. Via the canonical injection \( \text{Spec}(S^{-1}R) \to \text{Spec}(R) \) we have

1. \( \text{Ass}_R(S^{-1}M) = \text{Ass}_{S^{-1}R}(S^{-1}M) \),
2. \( \text{Ass}_R(M) \cap \text{Spec}(S^{-1}R) \subset \text{Ass}_R(S^{-1}M) \), and
3. if \( R \) is Noetherian this inclusion is an equality.

Proof. The first equality follows, since if \( m \in S^{-1}M \), then the annihilator of \( m \) in \( R \) is the intersection of the annihilator of \( m \) in \( S^{-1}R \) with \( R \). The displayed inclusion and equality in the Noetherian case follows from Lemma 62.15 since for \( p \in R \), \( S \cap p = \emptyset \) we have \( M_p = (S^{-1}M)_{S^{-1}p} \). \[ \square \]

05C0 Lemma 62.17. Let \( R \) be a ring. Let \( M \) be an \( R \)-module. Let \( S \subset R \) be a multiplicative subset. Assume that every \( s \in S \) is a nonzerodivisor on \( M \). Then \( \text{Ass}_R(M) = \text{Ass}_R(S^{-1}M) \).

Proof. As \( M \subset S^{-1}M \) by assumption we get the inclusion \( \text{Ass}(M) = \text{Ass}(S^{-1}M) \) from Lemma 62.3 Conversely, suppose that \( n/s \in S^{-1}M \) is an element whose annihilator is a prime ideal \( p \). Then the annihilator of \( n \in M \) is also \( p \). \[ \square \]

00LL Lemma 62.18. Let \( R \) be a Noetherian local ring with maximal ideal \( m \). Let \( I \subset m \) be an ideal. Let \( M \) be a finite \( R \)-module. The following are equivalent:

1. There exists an \( x \in I \) which is not a zerodivisor on \( M \).
2. We have \( I \nsubseteq q \) for all \( q \in \text{Ass}(M) \).

Proof. If there exists a nonzerodivisor \( x \) in \( I \), then \( x \) clearly cannot be in any associated prime of \( M \). Conversely, suppose \( I \nsubseteq q \) for all \( q \in \text{Ass}(M) \). In this case we can choose \( x \in I \), \( x \notin q \) for all \( q \in \text{Ass}(M) \) by Lemmas 62.5 and 14.2. By Lemma 62.9 the element \( x \) is not a zerodivisor on \( M \). \[ \square \]

0311 Lemma 62.19. Let \( R \) be a ring. Let \( M \) be an \( R \)-module. If \( R \) is Noetherian the map

\[
M \to \prod_{p \in \text{Ass}(M)} M_p
\]

is injective.

Proof. Let \( x \in M \) be an element of the kernel of the map. Then if \( p \) is an associated prime of \( Rx \subset M \) we see on the one hand that \( p \in \text{Ass}(M) \) (Lemma 62.3) and on the other hand that \( (Rx)_p \subset M_p \) is not zero. This contradiction shows that \( \text{Ass}(Rx) = \emptyset \). Hence \( Rx = 0 \) by Lemma 62.7. \[ \square \]
63. Symbolic powers

**Definition 63.1.** Let $R$ be a ring. Let $p$ be a prime ideal. For $n \geq 0$ the $n$th symbolic power of $p$ is the ideal $p^{(n)} = \ker(R \to R/p^n R_p)$.

Note that $p^n \subset p^{(n)}$ but equality does not always hold.

**Lemma 63.2.** Let $R$ be a Noetherian ring. Let $p$ be a prime ideal. Let $n > 0$. Then $\text{Ass}(R/p^{(n)}) = \{p\}$.

**Proof.** If $q$ is an associated prime of $R/p^{(n)}$ then clearly $p \subset q$. On the other hand, any element $x \in R$, $x \notin p$ is a nonzerodivisor on $R/p^{(n)}$. Namely, if $y \in R$ and $xy \in p^{(n)} = R \cap p^n R_p$ then $y \in p^n R_p$, hence $y \in p^{(n)}$. Hence the lemma follows. $\square$

**Lemma 63.3.** Let $R \to S$ be flat ring map. Let $p \subset R$ be a prime such that $q = pS$ is a prime of $S$. Then $p^{(n)} S = q^{(n)}$.

**Proof.** Since $p^{(n)} = \ker(R \to R/p^n R_p)$ we see using flatness that $p^{(n)} S$ is the kernel of the map $S \to S_p/p^n S_p$. On the other hand $q^{(n)}$ is the kernel of the map $S \to S_q/q^n S_q = S_q/p^n S_q$. Hence it suffices to show that

$$S_p/p^n S_p \to S_q/p^n S_q$$

is injective. Observe that the right hand module is the localization of the left hand module by elements $f \in S, f \notin q$. Thus it suffices to show these elements are nonzerodivisors on $S_p/p^n S_p$. By flatness, the module $S_p/p^n S_p$ has a finite filtration whose subquotients are

$$p^{i+1} S_p/p^i R_p/p^{i+1} R_p \otimes R_p S_p \cong V \otimes_{\kappa(p)} (S/q)_p$$

where $V$ is a $\kappa(p)$ vector space. Thus $f$ acts invertibly as desired. $\square$

64. Relative assassin

**Definition 63.4.** Let $R \to S$ be a ring map. Let $N$ be an $S$-module. In this situation we can introduce the following sets of primes $q$ of $S$:

1. $A$: with $p = R \cap q$ we have that $q \in \text{Ass}_S(N \otimes_R \kappa(p))$,
2. $A'$: with $p = R \cap q$ we have that $q$ is in the image of $\text{Ass}_S(N \otimes_R \kappa(p))$ under the canonical map $\text{Spec}(S \otimes_R \kappa(p)) \to \text{Spec}(S)$,
3. $A_{fin}$: with $p = R \cap q$ we have that $q \in \text{Ass}_S(N/pN)$,
4. $A'_{fin}$: for some prime $p' \subset R$ we have $q \in \text{Ass}_S(N/p'N)$,
5. $B$: for some $R$-module $M$ we have $q \in \text{Ass}_S(N \otimes_R M)$, and
6. $B_{fin}$: for some finite $R$-module $M$ we have $q \in \text{Ass}_S(N \otimes_R M)$.

Let us determine some of the relations between these sets.
Proof. Some of the arguments in the proof will be repeated in the proofs of later lemmas which are more precise than this one (because they deal with a given module $M$ or a given prime $p$ and not with the collection of all of them).

Proof of (1). Let $p$ be a prime of $R$. Then we have

$$\text{Ass}_S(N \otimes_R \kappa(p)) = \text{Ass}_{S/pS}(N \otimes_R \kappa(p)) = \text{Ass}_{S\otimes_R \kappa(p)}(N \otimes_R \kappa(p))$$

the first equality by Lemma 62.14 and the second by Lemma 62.16 part (1). This proves that $A = A'$. The inclusion $A_{fin} \subset A'_{fin}$ is clear.

Proof of (2). Each of the inclusions is immediate from the definitions except perhaps $A_{fin} \subset A$ which follows from Lemma 62.16 and the fact that we require $p = R \cap q$ in the formulation of $A_{fin}$.

Proof of (3). The equality $A = A_{fin}$ follows from Lemma 62.16 part (3) if $S$ is Noetherian. Let $q = (g_1, \ldots, g_m)$ be a finitely generated prime ideal of $S$. Say $z \in N \otimes_R M$ is an element whose annihilator is $q$. We may pick a finite submodule $M' \subset M$ such that $z$ is the image of $z' \in N \otimes_R M'$. Then $\text{Ann}_S(z') \subset q = \text{Ann}_S(z)$. Since $N \otimes_R -$ commutes with colimits and since $M$ is the directed colimit of finite $R$-modules we can find $M' \subset M'' \subset M$ such that the image $z'' \in N \otimes_R M''$ is annihilated by $g_1, \ldots, g_m$. Hence $\text{Ann}_S(z'') = q$. This proves that $B = B_{fin}$ if $S$ is Noetherian.

Proof of (4). If $N$ is flat, then the functor $N \otimes_R -$ is exact. In particular, if $M' \subset M$, then $N \otimes_R M' \subset N \otimes_R M$. Hence if $z \in N \otimes_R M$ is an element whose annihilator $q = \text{Ann}_S(z)$ is a prime, then we can pick any finite $R$-submodule $M' \subset M$ such that $z \in N \otimes_R M'$ and we see that the annihilator of $z$ as an element of $N \otimes_R M'$ is equal to $q$. Hence $B = B_{fin}$. Let $p'$ be a prime of $R$ and let $q$ be a prime of $S$ which is an associated prime of $N/p'N$. This implies that $p'S \subset q$. As $N$ is flat over $R$ we see that $N/p'N$ is flat over the integral domain $R/p'$. Hence every nonzero element of $R/p'$ is a nonzerodivisor on $N/p'$. Hence none of these elements can map to an element of $q$ and we conclude that $p' = R \cap q$. Hence $A_{fin} = A'_{fin}$. Finally, by Lemma 62.17 we see that $\text{Ass}_S(N/p'N) = \text{Ass}_S(N \otimes_R \kappa(p'))$, i.e., $A'_{fin} = A$.

Proof of (5). We only need to prove $A'_{fin} = B_{fin}$ as the other equalities have been proved in (4). To see this let $M$ be a finite $R$-module. By Lemma 61.3 there exists a filtration by $R$-submodules

$$0 = M_0 \subset M_1 \subset \ldots \subset M_n = M$$

such that each quotient $M_i/M_{i-1}$ is isomorphic to $R/p_i$ for some prime ideal $p_i$ of $R$. Since $N$ is flat we obtain a filtration by $S$-submodules

$$0 = N \otimes_R M_0 \subset N \otimes_R M_1 \subset \ldots \subset N \otimes_R M_n = N \otimes_R M$$

such that each subquotient is isomorphic to $N/p_iN$. By Lemma 62.3 we conclude that $\text{Ass}_S(N \otimes_R M) \subset \bigcup \text{Ass}_S(N/p_iN)$. Hence we see that $B_{fin} \subset A'_{fin}$. Since the other inclusion is part of (2) we win. $\square$

We define the relative assassin of $N$ over $S/R$ to be the set $A = A'$ above. As a motivation we point out that it depends only on the fibre modules $N \otimes_R \kappa(p)$ over the fibre rings. As in the case of the assassin of a module we warn the reader that this notion makes most sense when the fibre rings $S \otimes_R \kappa(p)$ are Noetherian, for example if $R \to S$ is of finite type.
Definition 64.2. Let \( R \to S \) be a ring map. Let \( N \) be an \( S \)-module. The \textit{relative assassin of} \( N \) over \( S/R \) is the set
\[
\text{Ass}_{S/R}(N) = \{ q \subseteq S \mid q \in \text{Ass}_S(N \otimes_R \kappa(p)) \text{ with } p = R \cap q \}.
\]

This is the set named \( A \) in Lemma 64.1.

The spirit of the next few results is that they are about the relative assassin, even though this may not be apparent.

Lemma 64.3. Let \( R \to S \) be a ring map. Let \( M \) be an \( R \)-module, and let \( N \) be an \( S \)-module. If \( N \) is flat as \( R \)-module, then
\[
\text{Ass}_S(M \otimes_R N) \supseteq \bigcup_{p \in \text{Ass}_R(M)} \text{Ass}_S(N/pN)
\]
and if \( R \) is Noetherian then we have equality.

Proof. If \( p \in \text{Ass}_R(M) \) then there exists an injection \( R/p \to M \). As \( N \) is flat over \( R \) we obtain an injection \( R/p \otimes_R N \to M \otimes_R N \). Since \( R/p \otimes_R N = N/pN \) we conclude that \( \text{Ass}_S(N/pN) \subseteq \text{Ass}_S(M \otimes_R N) \), see Lemma 62.3. Hence the right hand side is contained in the left hand side.

Write \( M = \bigcup M_\lambda \) as the union of its finitely generated \( R \)-submodules. Then also \( N \otimes_R M = \bigcup N \otimes_R M_\lambda \) (as \( N \) is \( R \)-flat). By definition of associated primes we see that \( \text{Ass}_S(N \otimes_R M) = \bigcup \text{Ass}_S(N \otimes_R M_\lambda) \) and \( \text{Ass}_R(M) = \bigcup \text{Ass}(M_\lambda) \). Hence we may assume \( M \) is finitely generated.

Let \( q \in \text{Ass}_S(M \otimes_R N) \), and assume \( R \) is Noetherian and \( M \) is a finite \( R \)-module. To finish the proof we have to show that \( q \) is an element of the right hand side. First we observe that \( qS_q \in \text{Ass}_{S_q}((M \otimes_R N)_q) \), see Lemma 62.15. Let \( p \) be the corresponding prime of \( R \). Note that
\[
(M \otimes_R N)_q = M \otimes_R N_q = M_p \otimes_{R_p} N_q.
\]

If \( pR_q \not\subseteq \text{Ass}_{R_q}(M_q) \) then there exists an element \( x \in pR_q \) which is a nonzerodivisor in \( M_q \) (see Lemma 62.18). Since \( N_q \) is flat over \( R_q \) we see that the image of \( x \) in \( qS_q \) is a nonzerodivisor on \( (M \otimes_R N)_q \). This is a contradiction with the assumption that \( qS_q \in \text{Ass}_S((M \otimes_R N)_q) \). Hence we conclude that \( p \) is one of the associated primes of \( M \).

Continuing the argument we choose a filtration
\[
0 = M_0 \subset M_1 \subset \ldots \subset M_n = M
\]
such that each quotient \( M_i/M_{i-1} \) is isomorphic to \( R/p_i \) for some prime ideal \( p_i \) of \( R \), see Lemma 61.1 (By Lemma 62.4 we have \( p_i = p \) for at least one \( i \)). This gives a filtration
\[
0 = M_0 \otimes_R N \subset M_1 \otimes_R N \subset \ldots \subset M_n \otimes_R N = M \otimes_R N
\]
with subquotients isomorphic to \( N/p_i N \). If \( p_i \neq p \) then \( q \) cannot be associated to the module \( N/p_i N \) by the result of the preceding paragraph (as \( \text{Ass}_R(R/p_i) = \{ p_i \} \)). Hence we conclude that \( q \) is associated to \( N/pN \) as desired. \( \square \)

Lemma 64.4. Let \( R \to S \) be a ring map. Let \( N \) be an \( S \)-module. Assume \( N \) is flat as an \( R \)-module and \( R \) is a domain with fraction field \( K \). Then
\[
\text{Ass}_S(N) = \text{Ass}_S(N \otimes_R K) = \text{Ass}_{S \otimes_R K}(N \otimes_R K)
\]
via the canonical inclusion \( \text{Spec}(S \otimes_R K) \subseteq \text{Spec}(S) \).
Proof. Note that $S \otimes_R K = (R \setminus \{0\})^{-1} S$ and $N \otimes_R K = (R \setminus \{0\})^{-1} N$. For any nonzero $x \in R$ multiplication by $x$ on $N$ is injective as $N$ is flat over $R$. Hence the lemma follows from Lemma 62.17 combined with Lemma 62.16 part (1). □

**Lemma 64.5.** Let $R \to S$ be a ring map. Let $M$ be an $R$-module, and let $N$ be an $S$-module. Assume $N$ is flat as $R$-module. Then

$$\text{Ass}_S(M \otimes_R N) \supset \bigcup_{p \in \text{Ass}_R(M)} \text{Ass}_{S\otimes_R \kappa(p)}(N \otimes_R \kappa(p))$$

where we use Remark 16.8 to think of the spectra of fibre rings as subsets of $\text{Spec}(S)$. If $R$ is Noetherian then this inclusion is an equality.

**Proof.** This is equivalent to Lemma 64.3 by Lemmas 62.14, 38.7, and 64.4. □

**Remark 64.6.** Let $R \to S$ be a ring map. Let $N$ be an $S$-module. Let $p$ be a prime of $R$. Then

$$\text{Ass}_S(N \otimes_R \kappa(p)) = \text{Ass}_{S/pS}(N \otimes_R \kappa(p)) = \text{Ass}_{S\otimes_R \kappa(p)}(N \otimes_R \kappa(p)).$$

The first equality by Lemma 62.14 and the second by Lemma 62.16 part (1).

65. Weakly associated primes

This is a variant on the notion of an associated prime that is useful for non-Noetherian ring and non-finite modules.

**Definition 65.1.** Let $R$ be a ring. Let $M$ be an $R$-module. A prime $p$ of $R$ is weakly associated to $M$ if there exists an element $m \in M$ such that $p$ is minimal among the prime ideals containing the annihilator $\text{Ann}(m) = \{f \in R \mid fm = 0\}$.

The set of all such primes is denoted $\text{WeakAss}_R(M)$ or $\text{WeakAss}(M)$.

Thus an associated prime is a weakly associated prime. Here is a characterization in terms of the localization at the prime.

**Lemma 65.2.** Let $R$ be a ring. Let $M$ be an $R$-module. Let $p$ be a prime of $R$. The following are equivalent:

1. $p$ is weakly associated to $M$,
2. $pR_p$ is weakly associated to $M_p$, and
3. $M_p$ contains an element whose annihilator has radical equal to $pR_p$.

**Proof.** Assume (1). Then there exists an element $m \in M$ such that $p$ is minimal among the primes containing the annihilator $I = \{x \in R \mid xm = 0\}$ of $m$. As localization is exact, the annihilator of $m$ in $M_p$ is $I_p$. Hence $pR_p$ is a minimal prime of $R_p$ containing the annihilator $I_p$ of $m$ in $M_p$. This implies (2) holds, and also (3) as it implies that $\sqrt{I_p} = pR_p$.

Applying the implication (1) $\Rightarrow$ (3) to $M_p$ over $R_p$ we see that (2) $\Rightarrow$ (3).

Finally, assume (3). This means there exists an element $m/f \in M_p$ whose annihilator has radical equal to $pR_p$. Then the annihilator $I = \{x \in R \mid xm = 0\}$ of $m$ in $M$ is such that $\sqrt{I_p} = pR_p$. Clearly this means that $p$ contains $I$ and is minimal among the primes containing $I$, i.e., (1) holds.

**Lemma 65.3.** For a reduced ring the weakly associated primes of the ring are the minimal primes.
Proof. Let \((R, m)\) be a reduced local ring. Suppose \(x \in R\) is an element whose annihilator has radical \(m\). If \(m \neq 0\), then \(x\) cannot be a unit, so \(x \notin m\). Then in particular \(x^{1+n} = 0\) for some \(n \geq 0\). Hence \(x = 0\). Which contradicts the assumption that the annihilator of \(x\) is contained in \(m\). Thus we see that \(m = 0\), i.e., \(R\) is a field. By Lemma 65.2 this implies the statement of the lemma. \(\square\)

**Lemma 65.4.** Let \(R\) be a ring. Let \(0 \to M' \to M \to M'' \to 0\) be a short exact sequence of \(R\)-modules. Then \(\text{WeakAss}(M') \subset \text{WeakAss}(M)\) and \(\text{WeakAss}(M) \subset \text{WeakAss}(M') \cup \text{WeakAss}(M'')\).

Proof. We will use the characterization of weakly associated primes of Lemma 65.2. Let \(p\) be a prime of \(R\). As localization is exact we obtain the short exact sequence \(0 \to M'_p \to M_p \to M''_p \to 0\). Suppose that \(m \in M_p\) is an element whose annihilator has radical \(pR_p\). Then either the image \(m\) of \(m\) in \(M''_p\) is zero and \(m \in M'_p\), or the annihilator of \(m\) is \(pR_p\). This proves that \(\text{WeakAss}(M) \subset \text{WeakAss}(M') \cup \text{WeakAss}(M'')\). The inclusion \(\text{WeakAss}(M') \subset \text{WeakAss}(M)\) is immediate from the definitions. \(\square\)

**Lemma 65.5.** Let \(R\) be a ring. Let \(M\) be an \(R\)-module. Then

\[
M = (0) \iff \text{WeakAss}(M) = \emptyset
\]

Proof. If \(M = (0)\) then \(\text{WeakAss}(M) = \emptyset\) by definition. Conversely, suppose that \(M \neq 0\). Pick a nonzero element \(m \in M\). Write \(I = \{x \in R \mid xm = 0\}\) the annihilator of \(m\). Then \(R/I \subset M\). Hence \(\text{WeakAss}(R/I) \subset \text{WeakAss}(M)\) by Lemma 65.4. But as \(I \neq R\) we have \(V(I) = \text{Spec}(R/I)\) contains a minimal prime, see Lemmas 16.2 and 16.7 and we win. \(\square\)

**Lemma 65.6.** Let \(R\) be a ring. Let \(M\) be an \(R\)-module. Then

\[
\text{Ass}(M) \subset \text{WeakAss}(M) \subset \text{Supp}(M).
\]

Proof. The first inclusion is immediate from the definitions. If \(p \in \text{WeakAss}(M)\), then by Lemma 65.2 we have \(M_p \neq 0\), hence \(p \in \text{Supp}(M)\). \(\square\)

**Lemma 65.7.** Let \(R\) be a ring. Let \(M\) be an \(R\)-module. The union \(\bigcup_{q \in \text{WeakAss}(M)} q\) is the set elements of \(R\) which are zerodivisors on \(M\).

Proof. Suppose \(f \in q \subset \text{WeakAss}(M)\). Then there exists an element \(m \in M\) such that \(q\) is minimal over \(I = \{x \in R \mid xm = 0\}\). Hence there exists a \(g \in R\), \(g \notin q\) and \(n \geq 0\) such that \(f^n gm = 0\). Note that \(gm \neq 0\) as \(g \notin I\). If we take \(n\) minimal as above, then \(f(f^{n-1}gm) = 0\) and \(f^{n-1}gm \neq 0\), so \(f\) is a zerodivisor on \(M\). Conversely, suppose \(f \in R\) is a zerodivisor on \(M\). Consider the submodule \(N = \{m \in M \mid fm = 0\}\). Since \(N\) is not zero it has a weakly associated prime \(q\) by Lemma 65.5. Clearly \(f \in q\) and by Lemma 65.4 \(q\) is a weakly associated prime of \(M\). \(\square\)

**Lemma 65.8.** Let \(R\) be a ring. Let \(M\) be an \(R\)-module. Any \(p \in \text{Supp}(M)\) which is minimal among the elements of \(\text{Supp}(M)\) is an element of \(\text{WeakAss}(M)\).

Proof. Note that \(\text{Supp}(M_p) = \{pR_p\} \in \text{Spec}(R_p)\). In particular \(M_p\) is nonzero, and hence \(\text{WeakAss}(M_p) \neq \emptyset\) by Lemma 65.5. Since \(\text{WeakAss}(M_p) \subset \text{Supp}(M_p)\) by Lemma 65.6 we conclude that \(\text{WeakAss}(M_p) = \{pR_p\}\), whence \(p \in \text{WeakAss}(M)\) by Lemma 65.2. \(\square\)
05A **Lemma 65.9.** Let $R$ be a ring. Let $M$ be an $R$-module. Let $p$ be a prime ideal of $R$ which is finitely generated. Then

\[ p \in \text{Ass}(M) \iff p \in \text{WeakAss}(M). \]

In particular, if $R$ is Noetherian, then $\text{Ass}(M) = \text{WeakAss}(M)$.

**Proof.** Write $p = (g_1, \ldots, g_n)$ for some $g_i \in R$. It is enough to prove the implication “$\subset$” as the other implication holds in general, see Lemma 65.6. Assume $p \in \text{WeakAss}(M)$. By Lemma 65.2 there exists an element $m \in M_p$ such that $I = \{x \in R_p \mid xm = 0\}$ has radical $pR_p$. Hence for each $i$ there exists a smallest $e_i > 0$ such that $g_i^{e_i}m = 0$ in $M_p$. If $e_i > 1$ for some $i$, then we can replace $m$ by $g_i^{e_i-1}m \neq 0$ and decrease $\sum e_i$. Hence we may assume that the annihilator of $m \in M_p$ is $(g_1, \ldots, g_n)R_p = pR_p$. By Lemma 62.15 we see that $p \in \text{Ass}(M)$. \(\square\)

05C **Remark 65.10.** Let $\varphi : R \to S$ be a ring map. Let $M$ be an $S$-module. Then it is not always the case that $\text{Spec}(\varphi) (\text{WeakAss}_S(M)) \subset \text{WeakAss}_R(M)$ contrary to the case of associated primes (see Lemma 65.11). An example is to consider the ring map

\[ R = k[x_1, x_2, x_3, \ldots] \to S = k[x_1, x_2, x_3, \ldots, y_1, y_2, y_3, \ldots]/(x_1y_1, x_2y_2, x_3y_3, \ldots) \]

and $M = S$. In this case $q = \sum x_iS$ is a minimal prime of $S$, hence a weakly associated prime of $M = S$ (see Lemma 65.8). But on the other hand, for any nonzero element of $S$ the annihilator in $R$ is finitely generated, and hence does not have radical equal to $R \cap q = (x_1, x_2, x_3, \ldots)$ (details omitted).

05C **Lemma 65.11.** Let $\varphi : R \to S$ be a ring map. Let $M$ be an $S$-module. Then we have $\text{Spec}(\varphi)(\text{WeakAss}_S(M)) \subset \text{WeakAss}_R(M)$.

**Proof.** Let $p$ be an element of $\text{WeakAss}_R(M)$. Then there exists an $m \in M_p$ whose annihilator $I = \{x \in R_p \mid xm = 0\}$ has radical $pR_p$. Consider the annihilator $J = \{x \in S_p \mid xm = 0\}$ of $m$ in $S_p$. As $IS_p \subset J$ we see that any minimal prime $q \subset S_p$ over $J$ lies over $p$. Moreover such a $q$ corresponds to a weakly associated prime of $M$ for example by Lemma 65.2. \(\square\)

05C **Remark 65.12.** Let $\varphi : R \to S$ be a ring map. Let $M$ be an $S$-module. Denote $f : \text{Spec}(S) \to \text{Spec}(R)$ the associated map on spectra. Then we have

\[ f(\text{Ass}_S(M)) \subset \text{Ass}_R(M) \subset \text{WeakAss}_R(M) \subset f(\text{WeakAss}_S(M)) \]

see Lemmas 62.11, 65.11 and 65.6. In general all of the inclusions may be strict, see Remarks 62.12 and 65.10. If $S$ is Noetherian, then all the inclusions are equalities as the outer two are equal by Lemma 65.9.

05E **Lemma 65.13.** Let $\varphi : R \to S$ be a ring map. Let $M$ be an $S$-module. Denote $f : \text{Spec}(S) \to \text{Spec}(R)$ the associated map on spectra. If $\varphi$ is a finite ring map, then

\[ \text{WeakAss}_R(M) = f(\text{WeakAss}_S(M)). \]

**Proof.** One of the inclusions has already been proved, see Remark 65.12. To prove the other assume $q \in \text{WeakAss}_S(M)$ and let $p$ be the corresponding prime of $R$. Let $m \in M$ be an element such that $q$ is a minimal prime over $J = \{g \in S \mid gm = 0\}$. Thus the radical of $JS_q$ is $qS_q$. As $R \to S$ is finite there are finitely many primes $q = q_1, q_2, \ldots, q_l$ over $p$, see Lemma 35.21. Pick $x \in q$ with $x \notin q_i$ for $i > 1$, see Lemma 14.2. By the above there exists an element $y \in S$, $y \notin q$ and an integer
Let \( t > 0 \) such that \( xt^m = 0 \). Thus the element \( ym \in M \) is annihilated by \( x^t \), hence \( ym \) maps to zero in \( M_q, i = 2, \ldots, l \). To be sure, \( ym \) does not map to zero in \( S_q \).

The ring \( S_p \) is semi-local with maximal ideals \( q, S_p \), by going up for finite ring maps, see Lemma 35.22. If \( f \in pR_p \) then some power of \( f \) ends up in \( JS_q \) hence for some \( n > 0 \) we see that \( f^nym \) maps to zero in \( M_q \). As \( ym \) vanishes at the other maximal ideals of \( S_p \) we conclude that \( f^nym \) is zero in \( M_p \), see Lemma 22.1. In this way we see that \( p \) is a minimal prime over the annihilator of \( ym \) in \( R \) and we win. \( \square \)

05C8 \textbf{Lemma 65.14.} Let \( R \) be a ring. Let \( I \) be an ideal. Let \( M \) be an \( R/I \)-module. Via the canonical injection \( \text{Spec}(R/I) \to \text{Spec}(R) \) we have \( \text{WeakAss}_{R/I}(M) = \text{WeakAss}_R(M) \).

**Proof.** Special case of Lemma 65.13. \( \square \)

05C9 \textbf{Lemma 65.15.} Let \( R \) be a ring. Let \( M \) be an \( R \)-module. Let \( S \subset R \) be a multiplicative subset. Via the canonical injection \( \text{Spec}(S^{-1}R) \to \text{Spec}(R) \) we have \( \text{WeakAss}_R(S^{-1}M) = \text{WeakAss}_{S^{-1}R}(S^{-1}M) \) and

\[
\text{WeakAss}(M) \cap \text{Spec}(S^{-1}R) = \text{WeakAss}(S^{-1}M).
\]

**Proof.** Suppose that \( m \in S^{-1}M \). Let \( I = \{ x \in R \mid xmn = 0 \} \) and \( I' = \{ x' \in S^{-1}R \mid x'm = 0 \} \). Then \( I' = S^{-1}I \) and \( I \cap S = \emptyset \) unless \( I = R \) (verifications omitted). Thus primes in \( S^{-1}R \) minimal over \( I' \) correspond bijectively to primes in \( R \) minimal over \( I \) and avoiding \( S \). This proves the equality \( \text{WeakAss}_R(S^{-1}M) = \text{WeakAss}_{S^{-1}R}(S^{-1}M) \). The second equality follows from Lemma 62.15 since for \( p \in R, S \cap p = \emptyset \) we have \( R_p = (S^{-1})_{S^{-1}p} \). \( \square \)

05CA \textbf{Lemma 65.16.} Let \( R \) be a ring. Let \( M \) be an \( R \)-module. Let \( S \subset R \) be a multiplicative subset. Assume that every \( s \in S \) is a nonzerodivisor on \( M \). Then

\[
\text{WeakAss}(M) = \text{WeakAss}(S^{-1}M).
\]

**Proof.** As \( M \subset S^{-1}M \) by assumption we obtain \( \text{WeakAss}(M) \subset \text{WeakAss}(S^{-1}M) \) from Lemma 65.4. Conversely, suppose that \( n/s \in S^{-1}M \) is an element with annihilator \( I \) and \( p \) a prime which is minimal over \( I \). Then the annihilator of \( n \in M \) is \( I \) and \( p \) is a prime minimal over \( I \). \( \square \)

05CB \textbf{Lemma 65.17.} Let \( R \) be a ring. Let \( M \) be an \( R \)-module. The map

\[
M \to \prod_{p \in \text{WeakAss}(M)} M_p
\]

is injective.

**Proof.** Let \( x \in M \) be an element of the kernel of the map. Set \( N = Rx \subset M \). If \( p \) is a weakly associated prime of \( N \) we see on the one hand that \( p \in \text{WeakAss}(M) \) (Lemma 65.4) and on the other hand that \( N_p \subset M_p \) is not zero. This contradiction shows that \( \text{WeakAss}(N) = \emptyset \). Hence \( N = 0 \), i.e., \( x = 0 \) by Lemma 65.5. \( \square \)

05CC \textbf{Lemma 65.18.} Let \( R \to S \) be a ring map. Let \( N \) be an \( S \)-module. Assume \( N \) is flat as an \( R \)-module and \( R \) is a domain with fraction field \( K \). Then

\[
\text{WeakAss}_S(N) = \text{WeakAss}_{S \otimes_R K}(N \otimes_R K)
\]

via the canonical inclusion \( \text{Spec}(S \otimes_R K) \subset \text{Spec}(S) \).
Proof. Let \( S \otimes_R K = (R \setminus \{0\})^{-1}S \) and \( N \otimes_R K = (R \setminus \{0\})^{-1}N \). For any nonzero \( x \in R \) multiplication by \( x \) on \( N \) is injective as \( N \) is flat over \( R \). Hence the lemma follows from Lemma 65.14. \( \square \)

**Lemma 65.19.** Let \( K/k \) be a field extension. Let \( R \) be a \( k \)-algebra. Let \( M \) be an \( R \)-module. Let \( q \subset R \otimes_k K \) be a prime lying over \( p \subset R \). If \( q \) is weakly associated to \( M \otimes_k K \), then \( p \) is weakly associated to \( M \).

**Proof.** Let \( z \in M \otimes_k K \) be an element such that \( q \) is minimal over the annihilator \( J \subset R \otimes_k K \) of \( z \). Choose a finitely generated subextension \( K/l/k \) such that \( z \in M \otimes_k L \). Since \( R \otimes_k L \to R \otimes_k K \) is flat we see that \( J = I(R \otimes_k K) \) where \( I \subset R \otimes_k L \) is the annihilator of \( z \) in the smaller ring (Lemma 65.13). Thus \( q \cap (R \otimes_k L) \) is minimal over \( I \) by going down (Lemma 38.18). In this way we reduce to the case described in the next paragraph.

Assume \( K/k \) is a finitely generated field extension. Let \( x_1, \ldots, x_r \in K \) be a transcendence basis of \( K \) over \( k \), see Fields, Section 26. Set \( L = k(x_1, \ldots, x_r) \). Say \( [K : L] = n \). Then \( R \otimes_k L \to R \otimes_k K \) is a finite ring map. Hence \( q \cap (R \otimes_k L) \) is a weakly associated prime of \( M \otimes_k K \) viewed as a \( R \otimes_k L \)-module by Lemma 65.13. Since \( M \otimes_k K \cong (M \otimes_k L)^{\oplus n} \) as a \( R \otimes_k L \)-module, we see that \( q \cap (R \otimes_k L) \) is a weakly associated prime of \( M \otimes_k L \) (for example by using Lemma 65.4 and induction). In this way we reduce to the case discussed in the next paragraph.

Assume \( K = k(x_1, \ldots, x_r) \) is a purely transcendental field extension. We may replace \( R \) by \( R_p \), \( M \) by \( M_p \) and \( q \) by \( q(R_p \otimes_k K) \). See Lemma 65.15. In this way we reduce to the case discussed in the next paragraph.

Assume \( K = k(x_1, \ldots, x_r) \) is a purely transcendental field extension and \( R \) is local with maximal ideal \( p \). We claim that any \( f \in R \otimes_k K \), \( f \notin p(\otimes_k K) \) is a nonzerodivisor on \( M \otimes_k K \). Namely, let \( z \in M \otimes_k K \) be an element. There is a finite \( R \)-submodule \( M' \subset M \) such that \( z \in M' \otimes_k K \) and such that \( M' \) is minimal with this property: choose a basis \( \{t_a\} \) of \( K \) as a \( k \)-vector space, write \( z = \sum m_a \otimes t_a \) and let \( M' \) be the \( R \)-submodule generated by the \( m_a \). If \( z \in p(M' \otimes_k K) = pM' \otimes_k K \), then \( pM' = M' \) and \( M' = 0 \) by Lemma 19.1 a contradiction. Thus \( z \) has nonzero image in \( M'/pM' \otimes_k K \). But \( R/p \otimes_k K \) is a domain as a localization of \( \mathop{\kappa}(p)[x_1, \ldots, x_n] \). and \( M'/pM' \otimes_k K \) is a free module, hence \( f^n z \neq 0 \). This proves the claim.

Finally, pick \( z \in M \otimes_k K \) such that \( q \) is minimal over the annihilator \( J \subset R \otimes_k K \) of \( z \). For \( f \in p \) there exists an \( n \geq 1 \) and a \( g \in R \otimes_k K \), \( g \notin q \) such that \( g f^n z \in J \), i.e., \( g f^n z = 0 \). (This holds because \( q \) lies over \( p \) and \( q \) is minimal over \( J \).) Above we have seen that \( g \) is a nonzerodivisor hence \( f^n z = 0 \). This means that \( p \) is a weakly associated prime of \( M \otimes_k K \) viewed as an \( R \)-module. Since \( M \otimes_k K \) is a direct sum of copies of \( M \) we conclude that \( p \) is a weakly associated prime of \( M \) as before. \( \square \)

### 66. Embedded primes

**Definition 66.1.** Let \( R \) be a ring. Let \( M \) be an \( R \)-module.

1. The associated primes of \( M \) which are not minimal among the associated primes of \( M \) are called the embedded associated primes of \( M \).
(2) The embedded primes of \( R \) are the embedded associated primes of \( R \) as an \( R \)-module.

Here is a way to get rid of these.

**Lemma 66.2.** Let \( R \) be a Noetherian ring. Let \( M \) be a finite \( R \)-module. Consider the set of \( R \)-submodules
\[
\{ K \subset M \mid \text{Supp}(K) \text{ nowhere dense in Supp}(M) \}.
\]
This set has a maximal element \( K \) and the quotient \( M' = M/K \) has the following properties

1. \( \text{Supp}(M) = \text{Supp}(M') \),
2. \( M' \) has no embedded associated primes,
3. for any \( f \in R \) which is contained in all embedded associated primes of \( M \) we have \( M_f \cong M'_f \).

**Proof.** Let \( q_1, \ldots, q_t \) denote the minimal primes in the support of \( M \). Let \( p_1, \ldots, p_s \) denote the embedded associated primes of \( M \). Then \( \text{Ass}(M) = \{ q_j, p_i \} \). There are finitely many of these, see Lemma 62.5. Set \( I = \prod_{i=1}^{s} p_i \). Then \( I \not\subset q_j \) for any \( j \). Hence by Lemma 14.2 we can find an \( f \in I \) such that \( f \not\in q_j \) for all \( j = 1, \ldots, t \). Set \( M' = \text{Im}(M \to M_f) \). This implies that \( M_f \cong M'_f \). Since \( M' \subset M_f \) we see that \( \text{Ass}(M') \subset \text{Ass}(M_f) = \{ q_j \} \). Thus \( M' \) has no embedded associated primes.

Moreover, the support of \( K = \ker(M \to M') \) is contained in \( V(p_1) \cup \ldots \cup V(p_s) \), because \( \text{Ass}(K) \subset \text{Ass}(M) \) (see Lemma 62.3) and \( \text{Ass}(K) \) contains none of the \( q_i \) by construction. Clearly, \( K \) is in fact the largest submodule of \( M \) whose support is contained in \( V(p_1) \cup \ldots \cup V(p_s) \). This implies that \( K \) is the maximal element of the set displayed in the lemma. \( \square \)

**Lemma 66.3.** Let \( R \) be a Noetherian ring. Let \( M \) be a finite \( R \)-module. For any \( f \in R \) we have \( (M')_f = (M_f)' \) where \( M \to M' \) and \( M_f \to (M_f)' \) are the quotients constructed in Lemma 66.2.

**Proof.** Omitted. \( \square \)

**Lemma 66.4.** Let \( R \) be a Noetherian ring. Let \( M \) be a finite \( R \)-module without embedded associated primes. Let \( I = \{ x \in R \mid xM = 0 \} \). Then the ring \( R/I \) has no embedded primes.

**Proof.** We may replace \( R \) by \( R/I \). Hence we may assume every nonzero element of \( R \) acts nontrivially on \( M \). By Lemma 39.5 this implies that \( \text{Spec}(R) \) equals the support of \( M \). Suppose that \( p \) is an embedded prime of \( R \). Let \( x \in R \) be an element whose annihilator is \( p \). Consider the nonzero module \( N = xM \subset M \). It is annihilated by \( p \). Hence any associated prime \( q \) of \( N \) contains \( p \) and is also an associated prime of \( M \). Then \( q \) would be an embedded associated prime of \( M \) which contradicts the assumption of the lemma. \( \square \)

### 67. Regular sequences

**Definition 67.1.** Let \( R \) be a ring. Let \( M \) be an \( R \)-module. A sequence of elements \( f_1, \ldots, f_r \) of \( R \) is called an \( M \)-regular sequence if the following conditions hold:

1. \( f_i \) is a nonzerodivisor on \( M/(f_1, \ldots, f_{i-1})M \) for each \( i = 1, \ldots, r \), and
(2) the module $M/(f_1, \ldots, f_r)M$ is not zero.

If $I$ is an ideal of $R$ and $f_1, \ldots, f_r \in I$ then we call $f_1, \ldots, f_r$ a $M$-regular sequence in $I$. If $M = R$, we call $f_1, \ldots, f_r$ simply a regular sequence (in $I$).

Please pay attention to the fact that the definition depends on the order of the elements $f_1, \ldots, f_r$ (see examples below). Some papers/books drop the requirement that the module $M/(f_1, \ldots, f_r)M$ is nonzero. This has the advantage that being a regular sequence is preserved under localization. However, we will use this definition mainly to define the depth of a module in case $R$ is local; in that case the $f_i$ are required to be in the maximal ideal – a condition which is not preserved under going from $R$ to a localization $R_\mathfrak{p}$.

**Example 67.2.** Let $k$ be a field. In the ring $k[x, y, z]$ the sequence $x, y(1-x), z(1-x)$ is regular but the sequence $y(1-x), z(1-x), x$ is not.

**Example 67.3.** Let $k$ be a field. Consider the ring $k[x, y, w_0, w_1, w_2, \ldots]/I$ where $I$ is generated by $yw_i, i = 0, 1, 2, \ldots$ and $w_i - xw_{i+1}$, $i = 0, 1, 2, \ldots$. The sequence $x, y$ is regular, but $y$ is a zero-divisor. Moreover, you can localize at the maximal ideal $(x, y, w_1)$ and still get an example.

**Lemma 67.4.** Let $R$ be a local Noetherian ring. Let $M$ be a finite $R$-module. Let $x_1, \ldots, x_c$ be an $M$-regular sequence. Then any permutation of the $x_i$ is a regular sequence as well.

**Proof.** First we do the case $c = 2$. Consider $K \subset M$ the kernel of $x_2 : M \to M$. For any $z \in K$ we know that $z = x_1z'$ for some $z' \in M$ because $x_2$ is a nonzerodivisor on $M/x_1M$. Because $x_1$ is a nonzerodivisor on $M$ we see that $x_2z' = 0$ as well. Hence $x_1 : K \to K$ is surjective. Thus $K = 0$ by Nakayama’s Lemma. Next, consider multiplication by $x_1$ on $M/x_2M$. If $z \in M$ maps to an element $\bar{z} \in M/x_2M$ in the kernel of this map, then $x_1z = x_2\bar{y}$ for some $y \in M$. But then since $x_1, x_2$ is a regular sequence we see that $y = x_1y'$ for some $y' \in M$. Hence $x_1(z - x_2y') = 0$ and hence $z = x_2y'$ and hence $z = 0$ as desired.

For the general case, observe that any permutation is a composition of transpositions of adjacent indices. Hence it suffices to prove that

$$x_1, \ldots, x_{i-2}, x_i, x_{i+1}, \ldots, x_c$$

is an $M$-regular sequence. This follows from the case we just did applied to the module $M/(x_1, \ldots, x_{i-2})$ and the length 2 regular sequence $x_{i-1}, x_i$. □

**Lemma 67.5.** Let $R, S$ be local rings. Let $R \to S$ be a flat local ring homomorphism. Let $x_1, \ldots, x_r$ be a sequence in $R$. Let $M$ be an $R$-module. The following are equivalent

1. $x_1, \ldots, x_r$ is an $M$-regular sequence in $R$, and
2. the images of $x_1, \ldots, x_r$ in $S$ form a $M \otimes_R S$-regular sequence.

**Proof.** This is so because $R \to S$ is faithfully flat by Lemma □

**Lemma 67.6.** Let $R$ be a Noetherian ring. Let $M$ be a finite $R$-module. Let $\mathfrak{p}$ be a prime. Let $x_1, \ldots, x_r$ be a sequence in $R$ whose image in $R_{\mathfrak{p}}$ forms an $M_\mathfrak{p}$-regular sequence. Then there exists a $\mathfrak{q} \subset R$, $\mathfrak{q} \notin \mathfrak{p}$ such that the image of $x_1, \ldots, x_r$ in $R_{\mathfrak{q}}$ forms an $M_{\mathfrak{q}}$-regular sequence.
Proof. Set
\[ K_i = \text{Ker} (x_i : M/(x_1, \ldots, x_{i-1})M \to M/(x_1, \ldots, x_{i-1})M). \]
This is a finite \( R \)-module whose localization at \( \mathfrak{p} \) is zero by assumption. Hence there exists an \( \mathfrak{q} \in R \), \( \mathfrak{q} \not\in \mathfrak{p} \) such that \( (K_i)_{\mathfrak{q}} = 0 \) for all \( i = 1, \ldots, r \). This \( \mathfrak{q} \) works.

**Lemma 67.7.** Let \( A \) be a ring. Let \( I \) be an ideal generated by a regular sequence \( f_1, \ldots, f_n \) in \( A \). Let \( g_1, \ldots, g_m \in A \) be elements whose images \( \overline{g_1}, \ldots, \overline{g_m} \) form a regular sequence in \( A/I \). Then \( f_1, \ldots, f_n, g_1, \ldots, g_m \) is a regular sequence in \( A \).

Proof. This follows immediately from the definitions.

**Lemma 67.8.** Let \( R \) be a ring. Let \( 0 \to M_1 \to M_2 \to M_3 \to 0 \) be a short exact sequence of \( R \)-modules. Let \( f_1, \ldots, f_r \in R \). If \( f_1, \ldots, f_r \) is \( M_1 \)-regular and \( M_3 \)-regular, then \( f_1, \ldots, f_r \) is \( M_2 \)-regular.

Proof. By Lemma 67.7, if \( f_1 : M_1 \to M_2 \) and \( f_1 : M_2 \to M_3 \) are injective, then so is \( f_1 : M_2 \to M_2 \) and we obtain a short exact sequence
\[ 0 \to M_1/f_1M_1 \to M_2/f_1M_2 \to M_3/f_1M_3 \to 0 \]
The lemma follows from this and induction on \( r \). Some details omitted.

**Lemma 67.9.** Let \( R \) be a ring. Let \( M \) be an \( R \)-module. Let \( f_1, \ldots, f_r \in R \) and \( e_1, \ldots, e_r > 0 \) integers. Then \( f_1, \ldots, f_r \) is an \( M \)-regular sequence if and only if \( f_1^{e_1}, \ldots, f_r^{e_r} \) is an \( M \)-regular sequence.

Proof. We will prove this by induction on \( r \). If \( r = 1 \) this follows from the following two easy facts: (a) a power of a nonzerodivisor on \( M \) is a nonzerodivisor on \( M \) and (b) a divisor of a nonzerodivisor on \( M \) is a nonzerodivisor on \( M \). If \( r > 1 \), then by induction applied to \( M/f_1M \) we have that \( f_1, f_2, \ldots, f_r \) is an \( M \)-regular sequence if and only if \( f_1, f_2^{e_2}, \ldots, f_r^{e_r} \) is an \( M \)-regular sequence. Thus it suffices to show, given \( e > 0 \), that \( f_1^{e_1}, f_2, \ldots, f_r \) is an \( M \)-regular sequence if and only if \( f_1, \ldots, f_r \) is an \( M \)-regular sequence. We will prove this by induction on \( e \). The case \( e = 1 \) is trivial. Since \( f_1 \) is a nonzerodivisor under both assumptions (by the case \( r = 1 \)) we have a short exact sequence
\[ 0 \to M/f_1M \xrightarrow{f_1^{e_1}} M/f_1^{e_1}M \to M/f_1^{e_1-1}M \to 0 \]
Suppose that \( f_1, f_2, \ldots, f_r \) is an \( M \)-regular sequence. Then by induction the elements \( f_2, \ldots, f_r \) are \( M/f_1M \) and \( M/f_1^{e_1-1}M \)-regular sequences. By Lemma 67.8 \( f_2, \ldots, f_r \) is \( M/f_1^{e_1}M \)-regular. Hence \( f_1^{e_1}, f_2, \ldots, f_r \) is \( M \)-regular. Conversely, suppose that \( f_1^{e_1}, f_2, \ldots, f_r \) is an \( M \)-regular sequence. Then \( f_2 : M/f_1^{e_1}M \to M/f_1^{e_1}M \) is injective, hence \( f_2 : M/f_1M \to M/f_1M \) is injective, hence by induction(1) \( f_2 : M/f_1^{e_1}M \to M/f_1^{e_1-1}M \) is injective, hence
\[ 0 \to M/(f_1, f_2)M \xrightarrow{f_1^{e_1}} M/(f_1, f_2)^2M \to M/(f_1, f_2)^{e_1-1}M \to 0 \]
is a short exact sequence by Lemma 4.1. This proves the converse for \( r = 2 \). If \( r > 2 \), then we have \( f_3 : M/(f_1, f_2)^2M \to M/(f_1, f_2)^{e_1-1}M \) is injective, hence \( f_3 : M/(f_1, f_2)M \to M/(f_1, f_2)M \) is injective, and so on. Some details omitted.

**Lemma 67.10.** Let \( R \) be a ring. Let \( f_1, \ldots, f_r \in R \) which do not generate the unit ideal. The following are equivalent:

1. any permutation of \( f_1, \ldots, f_r \) is a regular sequence,
(2) any subsequence of $f_1, \ldots, f_r$ (in the given order) is a regular sequence, and
(3) $f_1x_1, \ldots, f_rx_r$ is a regular sequence in the polynomial ring $R[x_1, \ldots, x_r]$.

Proof. It is clear that (1) implies (2). We prove (2) implies (1) by induction on $r$. The case $r = 1$ is trivial. The case $r = 2$ says that if $a, b \in R$ are a regular sequence and $b$ is a nonzerodivisor, then $b, a$ is a regular sequence. This is clear because the kernel of $a : R/(b) \to R/(b)$ is isomorphic to the kernel of $b : R/(a) \to R/(a)$ if both $a$ and $b$ are nonzerodivisors. The case $r > 2$. Assume (2) holds and say we want to prove $f_{\sigma(1)}, \ldots, f_{\sigma(r)}$ is a regular sequence for some permutation $\sigma$. We already know that $f_{\sigma(1)}, \ldots, f_{\sigma(r-1)}$ is a regular sequence by induction. Hence it suffices to show that $f_s$ where $s = \sigma(r)$ is a nonzerodivisor modulo $f_1, \ldots, f_{s-1}, f_r$. If $s = r$, we are done. If $s < r$, then note that $f_s$ and $f_r$ are both nonzerodivisors in the ring $R/(f_1, \ldots, f_s, f_{s+1}, \ldots, f_{r-1})$ (by induction hypothesis again). Since we know $f_s, f_r$ is a regular sequence in that ring we conclude by the case of sequence of length 2 that $f_r, f_s$ is too.

Note that $R[x_1, \ldots, x_r]/(f_1x_1, \ldots, f_rx_r)$ as an $R$-module is a direct sum of the modules

$$R/I_E \cdot x_1^{e_1} \ldots x_r^{e_r}$$

indexed by multi-indices $E = (e_1, \ldots, e_r)$ where $I_E$ is the ideal generated by $f_j$ for $1 \leq j \leq i$ with $e_j > 0$. Hence $f_{i+1}x_i$ is a nonzerodivisor on this if and only if $f_{i+1}$ is a nonzerodivisor on $R/I_E$ for all $E$. Taking $E$ with all positive entries, we see that $f_{i+1}$ is a nonzerodivisor in the ring $R/(f_1, \ldots, f_i)$. Thus (3) implies (2). Conversely, if (2) holds, then any subsequence of $f_1, \ldots, f_i, f_{i+1}$ is a regular sequence by Lemma 67.9, i.e., hence $f_{i+1}$ is a nonzerodivisor on all $R/I_E$. In this way we see that (2) implies (3).

68. Quasi-regular sequences

061M There is a notion of regular sequence which is slightly weaker than that of a regular sequence and easier to use. Let $R$ be a ring and let $f_1, \ldots, f_c \in R$. Set $J = (f_1, \ldots, f_c)$. Let $M$ be an $R$-module. Then there is a canonical map

061N \[
M/JM \cong R/J[X_1, \ldots, X_c] \to \bigoplus_{n \geq 0} J^n M/J^{n+1} M
\]

of graded $R/J[X_1, \ldots, X_c]$-modules defined by the rule

$$\overline{m} \otimes X_1^{e_1} \ldots X_c^{e_c} \mapsto f_1^{e_1} \ldots f_c^{e_c} m \mod J^{e_1 + \ldots + e_c + 1} M.$$  

Note that (68.0.1) is always surjective.

061P **Definition 68.1.** Let $R$ be a ring. Let $M$ be an $R$-module. A sequence of elements $f_1, \ldots, f_c$ of $R$ is called $M$-quasi-regular if (68.0.1) is an isomorphism. If $M = R$, we call $f_1, \ldots, f_c$ simply a quasi-regular sequence.

So if $f_1, \ldots, f_c$ is a quasi-regular sequence, then

$$R/J[X_1, \ldots, X_c] = \bigoplus_{n \geq 0} J^n / J^{n+1}$$

where $J = (f_1, \ldots, f_c)$. It is clear that being a quasi-regular sequence is independent of the order of $f_1, \ldots, f_c$.

00LN **Lemma 68.2.** Let $R$ be a ring.

(1) A regular sequence $f_1, \ldots, f_c$ of $R$ is a quasi-regular sequence.
have to show that given any relation \( \sum_{|I|=n} a_I f^I \in J^{n+1} \) with \( a_I \in R \) we actually have \( a_I \in J \) for all multi-indices \( I \). Since any element of \( J^{n+1} \) is of the form \( \sum_{|I|=n} b_I f^I \) with \( b_I \in J \) we may assume, after replacing \( a_I \) by \( a_I - b_I \), the relation reads \( \sum_{|I|=n} a_I f^I = 0 \). We can rewrite this as

\[
\sum_{e=0}^{n} \left( \sum_{|I'|=n-e} a_{I',e} f^{I'} \right) f^e = 0
\]

Here and below the “primed” multi-indices \( I' \) are required to be of the form \( I' = (i_1, \ldots, i_{c-1}, 0) \). We will show by descending induction on \( l \in \{0, \ldots, n\} \) that if we have a relation

\[
\sum_{e=0}^{n} \left( \sum_{|I'|=n-e} a_{I',e} f^{I'} \right) f^e = 0
\]

then \( a_{I',e} \in J \) for all \( I', e \). Namely, set \( J' = (f_1, \ldots, f_{c-1}) \). Observe that \( \sum_{|I'|=n-l} a_{I',l} f^{I'} \) is mapped into \( (J')^{n-l+1} \) by \( f^l_1 \). By induction hypothesis (for the induction on \( c \)) we see that \( f_{1} a_{I',l} \in J' \). Because \( f_1 \) is not a zero-divisor on \( R/J' \) (as \( f_1, \ldots, f_c \) is a regular sequence) we conclude that \( a_{I',l} \in J' \). This allows us to rewrite the term \( (\sum_{|I'|=n-l} a_{I',l} f^{I'}) f^l_1 \) in the form \( (\sum_{|I'|=n-l+1} f_{c} b_{I',l-1} f^{I'}) f^l_1 \). This gives a new relation of the form

\[
(\sum_{|I'|=n-l+1} (a_{I',l-1} + f_{c} b_{I',l-1}) f^{I'}) f^l_1 + \sum_{e=0}^{l-2} \left( \sum_{|I'|=n-e} a_{I',e} f^{I'} \right) f^e = 0
\]

Now by the induction hypothesis (on \( l \)) this time we see that all \( a_{I',l-1} + f_{c} b_{I',l-1} \in J \) and all \( a_{I',e} \in J \) for \( e \leq l - 2 \). This, combined with \( a_{I',l} \in J' \subset J \) seen above, finishes the proof of the induction step.

The second assertion means that given any formal expression \( F = \sum_{|I|=n} m_{I} X^{I} \), \( m_{l} \in M \) with \( \sum m_{I} f^{I} \in J^{n+1} M \), then all the coefficients \( m_{I} \) are in \( J \). This is proved in exactly the same way as we prove the corresponding result for the first assertion above.

\[065L \textbf{Lemma 68.3.} \textit{Let } R \to R' \textit{ be a flat ring map. Let } M \textit{ be an } R \textit{-module. Suppose that } f_1, \ldots, f_r \in R \textit{ form an } M \textit{-quasi-regular sequence. Then the images of } f_1, \ldots, f_r \textit{ in } R' \textit{ form a } M \otimes_R R' \textit{-quasi-regular sequence.} \]

\[061Q \textbf{Lemma 68.4.} \textit{Let } R \textit{ be a Noetherian ring. Let } M \textit{ be a finite } R \textit{-module. Let } p \textit{ be a prime. Let } x_1, \ldots, x_c \textit{ be a sequence in } R \textit{ whose image in } R_0 \textit{ forms an } M_p \textit{-quasi-regular sequence. Then there exists a } g \in R, g \not\in p \textit{ such that the image of } x_1, \ldots, x_c \textit{ in } R_0 \textit{ forms an } M_g \textit{-quasi-regular sequence.} \]
Proof. Consider the kernel $K$ of the map $[68.0.1]$. As $M/JM \otimes_{R/JR} R/J[X_1, \ldots, X_r]$ is a finite $R/J[X_1, \ldots, X_r]$-module and as $R/J[X_1, \ldots, X_r]$ is Noetherian, we see that $K$ is also a finite $R/J[X_1, \ldots, X_r]$-module. Pick homogeneous generators $k_1, \ldots, k_t \in K$. By assumption for each $i = 1, \ldots, t$ there exists a $g_i \in R$, $g_i \notin p$ such that $g_ik_i = 0$. Hence $g = g_1 \ldots g_t$ works. \hfill \square

Lemma 68.5. Let $R$ be a ring. Let $M$ be an $R$-module. Let $f_1, \ldots, f_c \in R$ be an $M$-quasi-regular sequence. For any $i$ the sequence $\mathcal{J}_{i+1}, \ldots, \mathcal{J}_c$ of $\mathcal{R} = R/(f_1, \ldots, f_i)$ is an $\mathcal{M} = M/(f_1, \ldots, f_i)M$-quasi-regular sequence.

Proof. It suffices to prove this for $i = 1$. Set $\mathcal{J} = (\mathcal{J}_2, \ldots, \mathcal{J}_c) \subset \mathcal{R}$. Then

$$\mathcal{J}^n \mathcal{M}/\mathcal{J}^{n+1} \mathcal{M} = (J^n M + f_1 M)/(J^{n+1} M + f_1 M)$$

$$= J^n M/(J^{n+1} M + J^n M \cap f_1 M).$$

Thus, in order to prove the lemma it suffices to show that $J^{n+1} M + J^n M \cap f_1 M = J^{n+1} M + f_1 J^{n-1} M$ because that will show that $\bigoplus_{n \geq 0} \mathcal{J}^n \mathcal{M}/\mathcal{J}^{n+1} \mathcal{M}$ is the quotient of $\bigoplus_{n \geq 0} J^n M/J^{n+1} M \cong M/JM[X_1, \ldots, X_r]$ by $X_1$. Actually, we have $J^n M \cap f_1 M = f_1 J^{n-1} M$. Namely, if $m \notin J^{n-1} M$, then $f_1 m \notin J^n M$ because $\bigoplus J^n M/J^{n+1} M$ is the polynomial algebra $M/J[X_1, \ldots, X_r]$ by assumption. \hfill \square

Lemma 68.6. Let $(R, m)$ be a local Noetherian ring. Let $M$ be a nonzero finite $R$-module. Let $f_1, \ldots, f_c \in m$ be an $M$-quasi-regular sequence. Then $f_1, \ldots, f_c$ is an $M$-regular sequence.

Proof. Set $J = (f_1, \ldots, f_c)$. Let us show that $f_1$ is a nonzerodivisor on $M$. Suppose $x \in M$ is not zero. By Krull’s intersection theorem there exists an integer $r$ such that $x \in J^r M$ but $x \notin J^{r+1} M$, see Lemma [50.4]. Then $f_1 x \in J^{r+1} M$ is an element whose class in $J^{r+1} M/J^{r+2} M$ is nonzero by the assumed structure of $\bigoplus J^n M/J^{n+1} M$. Whence $f_1 x \neq 0$. Now we can finish the proof by induction on $c$ using Lemma 68.5. \hfill \square

Remark 68.7 (Koszul regular sequences). In the paper [Kab71] the author introduces two more regularity conditions for sequences $x_1, \ldots, x_r$ of elements of a ring $R$. Namely, we say the sequence is Koszul-regular if $H_i(K_\bullet(R, x_\bullet)) = 0$ for $i \geq 1$ where $K_\bullet(R, x_\bullet)$ is the Koszul complex. The sequence is called $H_1$-regular if $H_1(K_\bullet(R, x_\bullet)) = 0$. If $R$ is a local ring (possibly non-Noetherian) and the sequence consists of elements of the maximal ideal, then one has the implications regular $\Rightarrow$ Koszul-regular $\Rightarrow H_1$-regular $\Rightarrow$ quasi-regular. By examples the author shows that these implications cannot be reversed in general. We introduce these notions in more detail in More on Algebra, Section 29.

Remark 68.8. Let $k$ be a field. Consider the ring

$$A = k[x, y, w, z_0, z_1, z_2, \ldots]/(y^2 z_0 - wx, z_0 - y z_1, z_1 - y^2 z_2, \ldots)$$

In this ring $x$ is a nonzerodivisor and the image of $y$ in $A/x A$ gives a quasi-regular sequence. But it is not true that $x, y$ is a quasi-regular sequence in $A$ because $(x, y)/(x, y)^2$ isn’t free of rank two over $A/(x, y)$ due to the fact that $wx = 0$ in $(x, y)/(x, y)^2$ but $w$ isn’t zero in $A/(x, y)$. Hence the analogue of Lemma 67.7 does not hold for quasi-regular sequences.
Lemma 68.9. Let $R$ be a ring. Let $J = (f_1, \ldots, f_r)$ be an ideal of $R$. Let $M$ be an $R$-module. Set $\overline{R} = R/\bigcap_{n \geq 0} J^n$, $\overline{M} = M/\bigcap_{n \geq 0} J^n M$, and denote $\overline{f}_i$ the image of $f_i$ in $\overline{R}$. Then $f_1, \ldots, f_r$ is $M$-quasi-regular if and only if $\overline{f}_1, \ldots, \overline{f}_r$ is $\overline{M}$-quasi-regular.

Proof. This is true because $J^n M/J^{n+1} M \cong \overline{J^n M}/\overline{J^{n+1} M}$. \hfill \square

69. Blow up algebras

Definition 69.1. Let $R$ be a ring. Let $I \subset R$ be an ideal.

1. The blowup algebra, or the Rees algebra, associated to the pair $(R, I)$ is the graded $R$-algebra
   $$\text{Bl}_I(R) = \bigoplus_{n \geq 0} I^n = R \oplus I \oplus I^2 \oplus \ldots$$
   where the summand $I^n$ is placed in degree $n$.

2. Let $a \in I$ be an element. Denote $a^{(1)}$ the element $a$ seen as an element of degree 1 in the Rees algebra. Then the affine blowup algebra $R[a^{(1)}]$ is the algebra $(\text{Bl}_I(R))(a^{(1)})$ constructed in Section 56.

In other words, an element of $R[a^{(1)}]$ is represented by an expression of the form $x/a^n$ with $x \in I^n$. Two representatives $x/a^n$ and $y/a^m$ define the same element if and only if $a^k(a^m x - a^n y) = 0$ for some $k \geq 0$.

Lemma 69.2. Let $R$ be a ring, $I \subset R$ an ideal, and $a \in I$. Let $R' = R[a^{(1)}]$ be the affine blowup algebra. Then

1. the image of $a$ in $R'$ is a nonzerodivisor,
2. $IR' = aR'$, and
3. $(R')_a = R_a$.

Proof. Immediate from the description of $R[a^{(1)}]$ above. \hfill \square

Lemma 69.3. Let $R \to S$ be a ring map. Let $I \subset R$ be an ideal and $a \in I$. Set $J = IS$ and let $b \in J$ be the image of $a$. Then $S[a^{(1)}]$ is the quotient of $S \otimes_R R[a^{(1)}]$ by the ideal of elements annihilated by some power of $b$.

Proof. Let $S'$ be the quotient of $S \otimes_R R[a^{(1)}]$ by its $b$-power torsion elements. The ring map
   $$S \otimes_R R[a^{(1)}] \to S[a^{(1)}]$$
   is surjective and annihilates $a$-power torsion as $b$ is a nonzerodivisor in $S[a^{(1)}]$. Hence we obtain a surjective map $S' \to S[a^{(1)}]$. To see that the kernel is trivial, we construct an inverse map. Namely, let $z = y/b^n$ be an element of $S[a^{(1)}]$, i.e., $y \in J^n$. Write $y = \sum x_i s_i$ with $x_i \in I^n$ and $s_i \in S$. We map $z$ to the class of $\sum s_i x_i / a^n$ in $S'$. This is well defined because an element of the kernel of the map $S \otimes_R I^n \to J^n$ is annihilated by $a^n$, hence maps to zero in $S'$.

Lemma 69.4. Let $R$ be a ring, $I \subset R$ an ideal, and $a \in I$. Set $R' = R[a^{(1)}]$. If $f \in R$ is such that $V(f) = V(I)$, then $f$ maps to a nonzerodivisor in $R'$ and $R' = R_a = R_a$. 

Proof. We will use the results of Lemma 69.2 without further mention. The assumption \( V(f) = V(I) \) implies \( V(fR') = V(IR') = V(aR') \). Hence \( a^n = fb \) and \( f^m = ac \) for some \( b, c \in R' \). The lemma follows. □

0BBI Lemma 69.5. Let \( R \) be a ring, \( I \subset R \) an ideal, \( a \in I \), and \( f \in R \). Set \( R' = R[\frac{I}{a}] \) and \( R'' = R[\frac{I}{ac}] \). Then there is a surjective \( R \)-algebra map \( R' \to R'' \) whose kernel is the set of \( f \)-power torsion elements of \( R' \).

Proof. The map is given by sending \( x/a^n \) for \( x \in I^n \) to \( f^n x/(fa)^n \). It is straightforward to check this map is well defined and surjective. Since \( af \) is a nonzero divisor in \( R' \) (Lemma 69.2) we see that the set of \( f \)-power torsion elements are mapped to zero. Conversely, if \( x \in R' \) and \( f^n x \neq 0 \) for all \( n > 0 \), then \( (af)^n x \neq 0 \) for all \( n \) as \( a \) is a nonzero divisor in \( R' \). It follows that the image of \( x \) in \( R'' \) is not zero by the description of \( R'' \) following Definition 69.1 □

052S Lemma 69.6. If \( R \) is reduced then every (affine) blowup algebra of \( R \) is reduced.

Proof. Let \( I \subset R \) be an ideal and \( a \in I \). Suppose \( x/a^n \) with \( x \in I^n \) is a nilpotent element of \( R[\frac{I}{a}] \). Then \( (x/a^n)^m = 0 \). Hence \( a^N x^m = 0 \) in \( R \) for some \( N \geq 0 \). After increasing \( N \) if necessary we may assume \( N = me \) for some \( e \geq 0 \). Then \( (a^e x)^m = 0 \) and since \( R \) is reduced we find \( a^e x = 0 \). This means that \( x/a^n = 0 \) in \( R[\frac{I}{a}] \). □

052R Lemma 69.7. Let \( R \) be a domain, \( I \subset R \) an ideal, and \( a \in I \) a nonzero element. Then the affine blowup algebra \( R[\frac{I}{a}] \) is a domain.

Proof. Suppose \( x/a^n, y/a^m \) with \( x \in I^n, y \in I^m \) are elements of \( R[\frac{I}{a}] \) whose product is zero. Then \( a^N xy = 0 \) in \( R \). Since \( R \) is a domain we conclude that either \( x = 0 \) or \( y = 0 \). □

052T Lemma 69.8. Let \( R \) be a ring. Let \( I \subset R \) be an ideal. Let \( a \in I \). If \( a \) is not contained in any minimal prime of \( R \), then \( \text{Spec}(R[\frac{I}{a}]) \to \text{Spec}(R) \) has dense image.

Proof. If \( a^k x = 0 \) for \( x \in R \), then \( x \) is contained in all the minimal primes of \( R \) and hence nilpotent, see Lemma 16.2. Thus the kernel of \( R \to R[\frac{I}{a}] \) consists of nilpotent elements. Hence the result follows from Lemma 29.6 □

052M Lemma 69.9. Let \( (R, \mathfrak{m}) \) be a local domain with fraction field \( K \). Let \( R \subset A \subset K \) be a valuation ring which dominates \( R \). Then

\[
A = \text{colim} R[\frac{I}{a}]
\]

is a directed colimit of affine blowups \( R \to R[\frac{I}{a}] \) with the following properties

1. \( a \in I \subset \mathfrak{m} \),
2. \( I \) is finitely generated, and
3. the fibre ring of \( R \to R[\frac{I}{a}] \) at \( \mathfrak{m} \) is not zero.

Proof. Any blowup algebra \( R[\frac{I}{a}] \) is a domain contained in \( K \) see Lemma 69.7. The lemma simply says that \( A \) is the directed union of the ones where \( a \in I \) have properties (1), (2), (3). If \( R[\frac{I}{a}] \subset A \) and \( R[\frac{I}{b}] \subset A \), then we have

\[
R[\frac{I}{a}] \cup R[\frac{I}{b}] \subset R[\frac{I}{ab}] \subset A
\]
The first inclusion because $x/a^n = b^n x/(ab)^n$ and the second one because if $z \in (IJ)^n$, then $z = \sum x_i y_i$ with $x_i \in I^n$ and $y_i \in J^n$ and hence $z/(ab)^n = \sum (x_i/a^n)(y_i/b^n)$ is contained in $A$.

Consider a finite subset $E \subset A$. Say $E = \{e_1, \ldots, e_n\}$. Choose a nonzero $a \in R$ such that we can write $e_i = f_i/a$ for all $i = 1, \ldots, n$. Set $I = (f_1, \ldots, f_n, a)$. We claim that $R[I/x] \subset A$. This is clear as an element of $R[I/x]$ can be represented as a polynomial in the elements $e_i$. The lemma follows immediately from this observation. □

70. Ext groups

Let $R$ be a ring. Let $M$ be an $R$-module.

00LP Lemma 70.1. There exists an exact complex

\[ \ldots \rightarrow F_2 \rightarrow F_1 \rightarrow F_0 \rightarrow M \rightarrow 0, \]

with $F_i$ free $R$-modules.

00LP (2) If $R$ is Noetherian and $M$ finite over $R$, then we can choose the complex such that $F_i$ is finite free. In other words, we can find an exact complex

\[ \ldots \rightarrow R^{\oplus n_2} \rightarrow R^{\oplus n_1} \rightarrow R^{\oplus n_0} \rightarrow M \rightarrow 0. \]

Proof. Let us explain only the Noetherian case. As a first step choose a surjection $R^{n_0} \rightarrow M$. Then having constructed an exact complex of length $e$ we simply choose a surjection $R^{n_{e+1}} \rightarrow \text{Ker}(R^{n_e} \rightarrow R^{n_{e-1}})$ which is possible because $R$ is Noetherian. □

Definition 70.2. Let $R$ be a ring. Let $M$ be an $R$-module.

00LQ (1) A (left) resolution $F_* \rightarrow M$ of $M$ is an exact complex

\[ \ldots \rightarrow F_2 \rightarrow F_1 \rightarrow F_0 \rightarrow M \rightarrow 0 \]

of $R$-modules.

00LQ (2) A resolution of $M$ by free $R$-modules is a resolution $F_* \rightarrow M$ where each $F_i$ is a free $R$-module.

00LQ (3) A resolution of $M$ by finite free $R$-modules is a resolution $F_* \rightarrow M$ where each $F_i$ is a finite free $R$-module.

We often use the notation $F_*$ to denote a complex of $R$-modules

\[ \ldots \rightarrow F_i \rightarrow F_{i-1} \rightarrow \ldots \]

In this case we often use $d_i$ or $d_{F,i}$ to denote the map $F_i \rightarrow F_{i-1}$. In this section we are always going to assume that $F_0$ is the last nonzero term in the complex. The $ith$ homology group of the complex $F_*$ is the group $H_i = \text{Ker}(d_{F,i})/\text{Im}(d_{F,i+1})$. A map of complexes $\alpha : F_* \rightarrow G_*$ is given by maps $\alpha_i : F_i \rightarrow G_i$ such that $\alpha_i \circ d_{F,i} = d_{G,i-1} \circ \alpha_{i-1}$. Such a map induces a map on homology $H_i(\alpha) : H_i(F_*) \rightarrow H_i(G_*)$. If $\alpha, \beta : F_* \rightarrow G_*$ are maps of complexes, then a homotopy between $\alpha$ and $\beta$ is given by a collection of maps $h_i : F_i \rightarrow G_{i+1}$ such that $\alpha_i - \beta_i = d_{G,i+1} \circ h_i + h_{i-1} \circ d_{F,i}$. Two maps $\alpha, \beta : F_* \rightarrow G_*$ are said to be homotopic if a homotopy between $\alpha$ and $\beta$ exists.
We will use a very similar notation regarding complexes of the form $F^\bullet$ which look like

$$\ldots \to F^i \xrightarrow{d^i} F^{i+1} \to \ldots$$

There are maps of complexes, homotopies, etc. In this case we set $H^i(F^\bullet) = \text{Ker}(d^i)/\text{Im}(d^{i-1})$ and we call it the $i$th cohomology group.

**Lemma 70.3.** Any two homotopic maps of complexes induce the same maps on (co)homology groups.

**Proof.** Omitted.

**Lemma 70.4.** Let $R$ be a ring. Let $M \to N$ be a map of $R$-modules. Let $F^\bullet \to M$ be a resolution by free $R$-modules and let $N^\bullet \to N$ be an arbitrary resolution. Then

1. there exists a map of complexes $F^\bullet \to N^\bullet$ inducing the given map $M = \text{Coker}(F_1 \to F_0) \to \text{Coker}(N_1 \to N_0) = N$

2. two maps $\alpha, \beta : F^\bullet \to N^\bullet$ inducing the same map $M \to N$ are homotopic.

**Proof.** Proof of (1). Because $F_0$ is free we can find a map $F_0 \to N_0$ lifting the map $F_0 \to M \to N$. We obtain an induced map $F_1 \to F_0 \to N_0$ which ends up in the image of $N_1 \to N_0$. Since $F_1$ is free we may lift this to a map $F_1 \to N_1$. This in turn induces a map $F_2 \to F_1 \to N_1$ which maps to zero into $N_0$. Since $N_\bullet$ is exact we see that the image of this map is contained in the image of $N_2 \to N_1$. Hence we may lift to get a map $F_2 \to N_2$. Repeat.

Proof of (2). To show that $\alpha, \beta$ are homotopic it suffices to show the difference $\gamma = \alpha - \beta$ is homotopic to zero. Note that the image of $\gamma_0 : F_0 \to N_0$ is contained in the image of $N_1 \to N_0$. Hence we may lift $\gamma_0$ to a map $h_0 : F_0 \to N_1$. Consider the map $\gamma_1 = \gamma - h_0 \circ d_{F,1}$. By our choice of $h_0$ we see that the image of $\gamma_1$ is contained in the kernel of $N_1 \to N_0$. Since $N_\bullet$ is exact we may lift $\gamma_1$ to a map $h_1 : F_1 \to N_2$. At this point we have $\gamma_1 = h_0 \circ d_{F,1} + d_{N,2} \circ h_1$. Repeat.

At this point we are ready to define the groups $\text{Ext}^i_R(M, N)$. Namely, choose a resolution $F^\bullet$ of $M$ by free $R$-modules, see Lemma 70.1. Consider the (cohomological) complex

$$\text{Hom}_R(F^\bullet, N) : \text{Hom}_R(F_0, N) \to \text{Hom}_R(F_1, N) \to \text{Hom}_R(F_2, N) \to \ldots$$

We define $\text{Ext}^i_R(M, N)$ for $i \geq 0$ to be the $i$th cohomology group of this complex. For $i < 0$ we set $\text{Ext}^{-i}_R(M, N) = 0$. Before we continue we point out that

$$\text{Ext}^0_R(M, N) = \text{Ker}(\text{Hom}_R(F_0, N) \to \text{Hom}_R(F_1, N)) = \text{Hom}_R(M, N)$$

because we can apply part (1) of Lemma 10.1 to the exact sequence $F_1 \to F_0 \to M \to 0$. The following lemma explains in what sense this is well defined.

**Lemma 70.5.** Let $R$ be a ring. Let $M_1, M_2, N$ be $R$-modules. Suppose that $F^\bullet$ is a free resolution of the module $M_1$, and $G^\bullet$ is a free resolution of the module $M_2$. Let $\varphi : M_1 \to M_2$ be a module map. Let $\alpha : F^\bullet \to G^\bullet$ be a map of complexes inducing $\varphi$ on $M_1 = \text{Coker}(d_{F,1}) \to M_2 = \text{Coker}(d_{G,1})$, see Lemma 70.4. Then the induced maps

$$H^i(\alpha) : H^i(\text{Hom}_R(F^\bullet, N)) \to H^i(\text{Hom}_R(G^\bullet, N))$$

\[\text{At this point it would perhaps be more appropriate to say “an” in stead of “the” Ext-group.}\]
are independent of the choice of \( \alpha \). If \( \varphi \) is an isomorphism, so are all the maps \( H^i(\alpha) \). If \( M_1 = M_2, F_\bullet = G_\bullet \), and \( \varphi \) is the identity, so are all the maps \( H_i(\alpha) \).

**Proof.** Another map \( \beta : F_\bullet \to G_\bullet \) inducing \( \varphi \) is homotopic to \( \alpha \) by Lemma 70.4. Hence the maps \( \operatorname{Hom}_R(F_\bullet, N) \to \operatorname{Hom}_R(G_\bullet, N) \) are homotopic. Hence the independence result follows from Lemma 70.3.

Suppose that \( \varphi \) is an isomorphism. Let \( \psi : M_2 \to M_1 \) be an inverse. Choose \( \beta : G_\bullet \to F_\bullet \) be a map inducing \( \psi : M_2 = \operatorname{Coker}(d_{G, 1}) \to M_1 = \operatorname{Coker}(d_{F, 1}) \), see Lemma 70.4, OK, and now consider the map \( H^i(\alpha) \circ H^i(\beta) = H^i(\alpha \circ \beta) \). By the above the map \( H^i(\alpha \circ \beta) \) is the same as the map \( H^i(\operatorname{id}_{G_\bullet}) = \operatorname{id} \). Similarly for the composition \( H^i(\beta) \circ H^i(\alpha) \). Hence \( H^i(\alpha) \) and \( H^i(\beta) \) are inverses of each other. □

**Lemma 70.6.** Let \( R \) be a ring. Let \( M \) be an \( R \)-module. Let \( 0 \to N' \to N \to N'' \to 0 \) be a short exact sequence. Then we get a long exact sequence

\[
0 \to \operatorname{Hom}_R(M, N') \to \operatorname{Hom}_R(M, N) \to \operatorname{Hom}_R(M, N'') \to 0
\]

**Proof.** Pick a free resolution \( F_\bullet \to M \). Since each of the \( F_i \) are free we see that we get a short exact sequence of complexes

\[
0 \to \operatorname{Hom}_R(F_\bullet, N') \to \operatorname{Hom}_R(F_\bullet, N) \to \operatorname{Hom}_R(F_\bullet, N'') \to 0
\]

Thus we get the long exact sequence from the snake lemma applied to this. □

**Lemma 70.7.** Let \( R \) be a ring. Let \( N \) be an \( R \)-module. Let \( 0 \to M' \to M \to M'' \to 0 \) be a short exact sequence. Then we get a long exact sequence

\[
0 \to \operatorname{Hom}_R(M'', N) \to \operatorname{Hom}_R(M, N) \to \operatorname{Hom}_R(M', N) \\
\to \operatorname{Ext}^1_R(M'', N) \to \operatorname{Ext}^1_R(M, N) \to \operatorname{Ext}^1_R(M', N) \to 0
\]

**Proof.** Pick sets of generators \( \{ m_{ij}' \}_{i' \in I'} \) and \( \{ m_{ij}'' \}_{i'' \in I''} \) of \( M' \) and \( M'' \). For each \( i'' \in I'' \) choose a lift \( \tilde{m}_{i''} '' \in M \) of the element \( m_{i''} '' \in M'' \). Set \( F' = \bigoplus_{i' \in I'} R, F'' = \bigoplus_{i'' \in I''} R \) and \( F = F' \oplus F'' \). Mapping the generators of these free modules to the corresponding chosen generators gives surjective \( R \)-module maps \( F' \to M', F'' \to M'', \) and \( F \to M \). We obtain a map of short exact sequences

\[
0 \to M' \to M \to M'' \to 0 \\
\uparrow \quad \uparrow \quad \uparrow \\
0 \to F' \to F \to F'' \to 0
\]

By the snake lemma we see that the sequence of kernels \( 0 \to K' \to K \to K'' \to 0 \) is short exact sequence of \( R \)-modules. Hence we can continue this process indefinitely. In other words we obtain a short exact sequence of resolutions fitting into the diagram

\[
0 \to M' \to M \to M'' \to 0 \\
\uparrow \quad \uparrow \quad \uparrow \\
0 \to F'_n \to F_n \to F''_n \to 0
\]

Because each of the sequences \( 0 \to F'_n \to F_n \to F''_n \to 0 \) is split exact (by construction) we obtain a short exact sequence of complexes

\[
0 \to \operatorname{Hom}_R(F''_n, N) \to \operatorname{Hom}_R(F_n, N) \to \operatorname{Hom}_R(F'_n, N) \to 0
\]

by applying the \( \operatorname{Hom}_R(-, N) \) functor. Thus we get the long exact sequence from the snake lemma applied to this. □
Lemma 70.8. Let $R$ be a ring. Let $M$, $N$ be $R$-modules. Any $x \in R$ such that either $xN = 0$, or $xM = 0$ annihilates each of the modules $\text{Ext}^i_R(M, N)$.

Proof. Pick a free resolution $F_\bullet$ of $M$. Since $\text{Ext}^i_R(M, N)$ is defined as the cohomology of the complex $\text{Hom}_R(F_\bullet, N)$ the lemma is clear when $xN = 0$. If $xM = 0$, then we see that multiplication by $x$ on $F_\bullet$ lifts the zero map on $M$. Hence by Lemma 70.5 we see that it induces the same map on Ext groups as the zero map. □

Lemma 70.9. Let $R$ be a Noetherian ring. Let $M$, $N$ be finite $R$-modules. Then $\text{Ext}^i_R(M, N)$ is a finite $R$-module for all $i$.

Proof. This holds because $\text{Ext}^i_R(M, N)$ is computed as the cohomology groups of a complex $\text{Hom}_R(F_\bullet, N)$ with each $F_n$ a finite free $R$-module, see Lemma 70.1 □

71. Depth

Definition 71.1. Let $R$ be a ring, and $I \subset R$ an ideal. Let $M$ be a finite $R$-module. The $I$-depth of $M$, denoted $\text{depth}_I(M)$, is defined as follows:

1. if $IM \neq M$, then $\text{depth}_I(M)$ is the supremum in $\{0, 1, 2, \ldots, \infty\}$ of the lengths of $M$-regular sequences in $I$,
2. if $IM = M$ we set $\text{depth}_I(M) = \infty$.

If $(R, m)$ is local we call $\text{depth}_m(M)$ simply the depth of $M$.

Explanation. By Definition 67.1 the empty sequence is not a regular sequence on the zero module, but for practical purposes it turns out to be convenient to set the depth of the 0 module equal to $+\infty$. Note that if $I = R$, then $\text{depth}_I(M) = \infty$ for all finite $R$-modules $M$. If $I$ is contained in the Jacobson radical of $R$ (e.g., if $R$ is local and $I \subset m_R$), then $M \neq 0 \Rightarrow IM \neq M$ by Nakayama’s lemma. A module $M$ has $I$-depth 0 if and only if $M$ is nonzero and $I$ does not contain a nonzerodivisor on $M$.

Example 67.2 shows depth does not behave well even if the ring is Noetherian, and Example 67.3 shows that it does not behave well if the ring is local but non-Noetherian.

Lemma 71.2. Let $R$ be a ring, $I \subset R$ an ideal, and $M$ a finite $R$-module. Then $\text{depth}_I(M)$ is equal to the supremum of the lengths of sequences $f_1, \ldots, f_r \in I$ such that $f_i$ is a nonzerodivisor on $M/(f_1, \ldots, f_{i-1})M$.

Proof. Suppose that $IM = M$. Then Lemma 19.1 shows there exists an $f \in I$ such that $f : M \to M$ is id$_M$. Hence $f, 0, 0, 0, \ldots$ is an infinite sequence of successive nonzerodivisors and we see agreement holds in this case. If $IM \neq M$, then we see that a sequence as in the lemma is an $M$-regular sequence and we conclude that agreement holds as well. □

Lemma 71.3. Let $(R, m)$ be a Noetherian local ring. Let $M$ be a nonzero finite $R$-module. Then $\dim(Supp(M)) \geq \text{depth}(M)$.

Proof. The proof is by induction on $\dim(Supp(M))$. If $\dim(Supp(M)) = 0$, then $\text{Supp}(M) = \{m\}$, whence $\text{Ass}(M) = \{m\}$ (by Lemmas 62.2 and 62.7), and hence the depth of $M$ is zero for example by Lemma 62.18. For the induction step we assume $\dim(Supp(M)) > 0$. Let $f_1, \ldots, f_d$ be a sequence of elements of $m$ such that
Let \( f_i \) be a nonzerodivisor on \( M/(f_1,\ldots,f_{i-1})M \). According to Lemma 71.2 it suffices to prove \( \dim(\text{Supp}(M)) \geq \delta \). We may assume \( \delta > 0 \) otherwise the lemma holds. By Lemma 62.10 we have \( \dim(\text{Supp}(M/f_1M)) = \dim(\text{Supp}(M)) - 1 \). By induction we conclude \( \dim(\text{Supp}(M/f_1M)) \geq \delta - 1 \) as desired.

0AUJ \textbf{Lemma 71.4.} Let \( R \) be a Noetherian ring, \( I \subset R \) an ideal, and \( M \) a finite nonzero \( R \)-module such that \( IM \neq M \). Then \( \text{depth}_{I}(M) < \infty \).

\textbf{Proof.} Since \( M/IM \) is nonzero we can choose \( p \in \text{Supp}(M/IM) \) by Lemma 39.2. Then \( (M/IM)_p \neq 0 \) which implies \( I \subset p \) and moreover implies \( M_p \neq IM_p \) as localization is exact. Let \( f_1,\ldots,f_r \in I \) be an \( M \)-regular sequence. Then \( M_p/(f_1,\ldots,f_r)M_p \) is nonzero as \( (f_1,\ldots,f_r) \subset I \). As localization is flat we see that the images of \( f_1,\ldots,f_r \) form a \( M_p \)-regular sequence in \( I_p \). Since this works for every \( M \)-regular sequence in \( I \) we conclude that \( \text{depth}_{I}(M) \leq \text{depth}_{I_p}(M_p) \). The latter is \( \leq \text{depth}(M_p) \) which is \( < \infty \) by Lemma 71.3.

00LW \textbf{Lemma 71.5.} Let \( R \) be a Noetherian local ring with maximal ideal \( \mathfrak{m} \). Let \( M \) be a nonzero finite \( R \)-module. Then \( \text{depth}(M) \) is equal to the smallest integer \( i \) such that \( \text{Ext}_{R}^{i}(R/\mathfrak{m}, M) \) is nonzero.

\textbf{Proof.} Let \( \delta(M) \) denote the depth of \( M \) and \( i(M) \) denote the smallest integer \( i \) such that \( \text{Ext}_{R}^{i}(R/\mathfrak{m}, M) \) is nonzero. We will see in a moment that \( i(M) < \infty \). By Lemma 62.15 we have \( \delta(M) = 0 \) if and only if \( i(M) = 0 \), because \( \mathfrak{m} \in \text{Ass}(M) \) exactly means that \( i(M) = 0 \). Hence if \( \delta(M) \) or \( i(M) > 0 \), then we may choose \( x \in \mathfrak{m} \) such that (a) \( x \) is a nonzerodivisor on \( M \), and (b) \( \text{depth}(M/xM) = \delta(M) - 1 \). Consider the long exact sequence of Ext-groups associated to the short exact sequence \( 0 \to M \to M \to M/xM \to 0 \) by Lemma 70.6

\[ 0 \to \text{Hom}_{R}(\kappa, M) \to \text{Hom}_{R}(\kappa, M) \to \text{Hom}_{R}(\kappa, M/xM) \to \cdots \]

\[ \to \text{Ext}_{R}^{1}(\kappa, M) \to \text{Ext}_{R}^{1}(\kappa, M) \to \text{Ext}_{R}^{1}(\kappa, M/xM) \to \cdots \]

Since \( x \in \mathfrak{m} \) all the maps \( \text{Ext}_{R}^{i}(\kappa, M) \to \text{Ext}_{R}^{i}(\kappa, M) \) are zero, see Lemma 70.8. Thus it is clear that \( i(M/xM) = i(M) - 1 \). Induction on \( \delta(M) \) finishes the proof.

00LX \textbf{Lemma 71.6.} Let \( R \) be a local Noetherian ring. Let \( 0 \to N' \to N \to N'' \to 0 \) be a short exact sequence of finite \( R \)-modules.

1. \( \text{depth}(N) \geq \min\{\text{depth}(N'), \text{depth}(N'')\} \)
2. \( \text{depth}(N'') \geq \min\{\text{depth}(N), \text{depth}(N') - 1\} \)
3. \( \text{depth}(N') \geq \min\{\text{depth}(N), \text{depth}(N'') + 1\} \)

\textbf{Proof.} Use the characterization of depth using the Ext groups \( \text{Ext}^{i}(\kappa, N) \), see Lemma 71.5, and use the long exact cohomology sequence

\[ 0 \to \text{Hom}_{R}(\kappa, N') \to \text{Hom}_{R}(\kappa, N) \to \text{Hom}_{R}(\kappa, N'') \to \cdots \]

\[ \to \text{Ext}_{R}^{1}(\kappa, N') \to \text{Ext}_{R}^{1}(\kappa, N) \to \text{Ext}_{R}^{1}(\kappa, N'') \to \cdots \]

from Lemma 70.6.

090R \textbf{Lemma 71.7.} Let \( R \) be a local Noetherian ring and \( M \) a nonzero finite \( R \)-module.

1. If \( x \in \mathfrak{m} \) is a nonzerodivisor on \( M \), then \( \text{depth}(M/xM) = \text{depth}(M) - 1 \).
2. Any \( M \)-regular sequence \( x_1,\ldots,x_r \) can be extended to an \( M \)-regular sequence of length \( \text{depth}(M) \).
Proof. Part (2) is a formal consequence of part (1). Let \( x \in R \) be as in (1). By the short exact sequence \( 0 \to M \to M \to M/xM \to 0 \) and Lemma 71.6 we see that the depth drops by at most 1. On the other hand, if \( x_1, \ldots, x_r \in \mathfrak{m} \) is a regular sequence for \( M/xM \), then \( x, x_1, \ldots, x_r \) is a regular sequence for \( M \). Hence we see that the depth drops by at least 1. \( \square \)

Lemma 71.8. Let \((R, \mathfrak{m})\) be a local Noetherian ring and \( M \) a finite \( R \)-module. Let \( x \in \mathfrak{m} \), \( \mathfrak{p} \in \text{Ass}(M) \), and \( \mathfrak{q} \) minimal over \( \mathfrak{p} + (x) \). Then \( \mathfrak{q} \in \text{Ass}(M/x^nM) \) for some \( n \geq 1 \).

Proof. Pick a submodule \( N \subset M \) with \( N \cong R/\mathfrak{p} \). By the Artin-Rees lemma (Lemma 50.2) we can pick \( n > 0 \) such that \( N \cap x^nM \subset xN \). Let \( \overline{N} \subset M/x^nM \) be the image of \( N \to M \to M/x^nM \). By Lemma 62.3 it suffices to show \( \mathfrak{q} \in \text{Ass}(\overline{N}) \). By our choice of \( n \) there is a surjection \( \overline{N} \to \overline{N}/x\overline{N} = R/\mathfrak{p} + (x) \) and hence \( \mathfrak{q} \) is in the support of \( \overline{N} \). Since \( \overline{N} \) is annihilated by \( x^n \) and \( \mathfrak{p} \) we see that \( \mathfrak{q} \) is minimal among the primes in the support of \( \overline{N} \). Thus \( \mathfrak{q} \) is an associated prime of \( \overline{N} \) by Lemma 62.8. \( \square \)

Lemma 71.9. Let \((R, \mathfrak{m})\) be a local Noetherian ring and \( M \) a finite \( R \)-module. For \( \mathfrak{p} \in \text{Ass}(M) \) we have \( \dim(R/\mathfrak{p}) \geq \depth(M) \).

Proof. If \( \mathfrak{m} \in \text{Ass}(M) \) then there is a nonzero element \( x \in M \) which is annihilated by all elements of \( \mathfrak{m} \). Thus \( \depth(M) = 0 \). In particular the lemma holds in this case.

If \( \depth(M) = 1 \), then by the first paragraph we find that \( \mathfrak{m} \notin \text{Ass}(M) \). Hence \( \dim(R/\mathfrak{p}) \geq 1 \) for all \( \mathfrak{p} \in \text{Ass}(M) \) and the lemma is true in this case as well.

We will prove the lemma in general by induction on \( \depth(M) \) which we may and do assume to be \( > 1 \). Pick \( x \in \mathfrak{m} \) which is a nonzerodivisor on \( M \). Note \( x \notin \mathfrak{p} \) (Lemma 62.9). By Lemma 60.12 we have \( \dim(R/\mathfrak{p} + (x)) = \dim(R/\mathfrak{p}) - 1 \). Thus there exists a prime \( \mathfrak{q} \) minimal over \( \mathfrak{p} + (x) \) with \( \dim(R/\mathfrak{q}) = \dim(R/\mathfrak{p}) - 1 \) (small argument omitted; hint: the dimension of a Noetherian local ring \( A \) is the maximum of the dimensions of \( A/\mathfrak{r} \) taken over the minimal primes \( \mathfrak{r} \) of \( A \)). Pick \( n \) as in Lemma 71.8 so that \( \mathfrak{q} \) is an associated prime of \( M/x^nM \). We may apply induction hypothesis to \( M/x^nM \) and \( \mathfrak{q} \) because \( \depth(M/x^nM) = \depth(M) - 1 \) by Lemma 71.7. We find \( \dim(R/\mathfrak{q}) \geq \depth(M/x^nM) \) and we win. \( \square \)

Lemma 71.10. Let \( R \) be a local Noetherian ring and \( M \) a finite \( R \)-module. For a prime ideal \( \mathfrak{p} \subset R \) we have \( \depth(M_{\mathfrak{p}}) + \dim(R/\mathfrak{p}) \geq \depth(M) \).

Proof. If \( M_{\mathfrak{p}} = 0 \), then \( \depth(M_{\mathfrak{p}}) = \infty \) and the lemma holds. If \( \depth(M) < \dim(R/\mathfrak{p}) \), then the lemma is true. If \( \depth(M) > \dim(R/\mathfrak{p}) \), then \( \mathfrak{p} \) is not contained in any associated prime \( \mathfrak{q} \) of \( M \) by Lemma 71.9. Hence we can find an \( x \in \mathfrak{p} \) not contained in any associated prime of \( M \) by Lemma 14.2 and Lemma 62.5. Then \( x \) is a nonzerodivisor on \( M \), see Lemma 62.9. Hence \( \depth(M/xM) = \depth(M) - 1 \) and \( \depth(M_{\mathfrak{p}}/xM_{\mathfrak{p}}) = \depth(M_{\mathfrak{p}}) - 1 \) provided \( M_{\mathfrak{p}} \) is nonzero, see Lemma 71.7. Thus we conclude by induction on \( \depth(M) \). \( \square \)

Lemma 71.11. Let \((R, \mathfrak{m})\) be a Noetherian local ring. Let \( R \to S \) be a finite ring map. Let \( \mathfrak{m}_1, \ldots, \mathfrak{m}_n \) be the maximal ideals of \( S \). Let \( N \) be a finite \( S \)-module. Then

\[
\min_{i=1,\ldots,n} \depth(N_{\mathfrak{m}_i}) = \depth_{\mathfrak{m}}(N)
\]
**Proof.** By Lemmas 35.20, 35.22, and Lemma 35.21 the maximal ideals of $S$ are exactly the primes of $S$ lying over $m$ and there are finitely many of them. Hence the statement of the lemma makes sense. We will prove the lemma by induction on $k = \min_{i=1,...,n} \text{depth}(N_m)$. If $k = 0$, then $\text{depth}(N_m) = 0$ for some $i$. By Lemma 71.5 this means $m_i S_m$ is an associated prime of $N_m$, and hence $m_i$ is an associated prime of $N$ (Lemma 62.16). By Lemma 62.13 we see that $m$ is an associated prime of $N$ as an $R$-module. Whence $\text{depth}_m(N) = 0$. This proves the base case. If $k > 0$, then we see that $m_i \not\in \text{Ass}_S(N)$. Hence $m \not\in \text{Ass}_R(N)$, again by Lemma 62.13. Thus we can find $f \in m$ which is not a zerodivisor on $N$, see Lemma 62.18. By Lemma 71.7 all the depths drop exactly by 1 when passing from $N$ to $N/fN$ and the induction hypothesis does the rest. □

### 72. Functorialities for Ext

In this section we briefly discuss the functoriality of Ext with respect to change of ring, etc. Here is a list of items to work out.

1. Given $R \rightarrow R'$, an $R$-module $M$ and an $R'$-module $N'$ the $R$-module $\text{Ext}_R^i(M, N')$ has a natural $R'$-module structure. Moreover, there is a canonical $R'$-linear map $\text{Ext}_R^i(M \otimes_R R', N') \rightarrow \text{Ext}_R^i(M, N')$.

2. Given $R \rightarrow R'$ and $R$-modules $M, N$ there is a natural $R$-module map $\text{Ext}_R^i(M, N) \rightarrow \text{Ext}_R^i(M, N \otimes_R R')$.

**Lemma 72.1.** Given a flat ring map $R \rightarrow R'$, an $R$-module $M$, and an $R'$-module $N''$ the natural map

$$\text{Ext}_R^i(M \otimes_R R', N'') \rightarrow \text{Ext}_R^i(M, N'')$$

is an isomorphism for $i \geq 0$.

**Proof.** Choose a free resolution $F_\bullet$ of $M$. Since $R \rightarrow R'$ is flat we see that $F_\bullet \otimes_R R'$ is a free resolution of $M \otimes_R R'$ over $R'$. The statement is that the map

$$\text{Hom}_R(F_\bullet \otimes_R R', N'') \rightarrow \text{Hom}_R(F_\bullet, N'')$$

induces an isomorphism on homology groups, which is true because it is an isomorphism of complexes by Lemma 13.3. □

### 73. An application of Ext groups

**Lemma 73.1.** Let $R$ be a Noetherian ring. Let $I \subset R$ be an ideal contained in the Jacobson radical of $R$. Let $N \rightarrow M$ be a homomorphism of finite $R$-modules. Suppose that there exists arbitrarily large $n$ such that $N/I^n N \rightarrow M/I^n M$ is a split injection. Then $N \rightarrow M$ is a split injection.

**Proof.** Assume $\varphi : N \rightarrow M$ satisfies the assumptions of the lemma. Note that this implies that $\text{Ker}(\varphi) \subset I^n N$ for arbitrarily large $n$. Hence by Lemma 50.5 we see that $\varphi$ is injection. Let $Q = M/N$ so that we have a short exact sequence

$$0 \rightarrow N \rightarrow M \rightarrow Q \rightarrow 0.$$

Let

$$F_2 \xrightarrow{d_2} F_1 \xrightarrow{d_1} F_0 \rightarrow Q \rightarrow 0$$

be a finite free resolution of $Q$. We can choose a map $\alpha : F_0 \rightarrow M$ lifting the map $F_0 \rightarrow Q$. This induces a map $\beta : F_1 \rightarrow N$ such that $\beta \circ d_2 = 0$. The extension
above is split if and only if there exists a map \( \gamma : F_0 \to N \) such that \( \beta = \gamma \circ d_1 \). In other words, the class of \( \beta \) in \( \text{Ext}_R^1(Q, N) \) is the obstruction to splitting the short exact sequence above.

Suppose \( n \) is a large integer such that \( N/I^nN \to M/I^nM \) is a split injection. This implies

\[
0 \to N/I^nN \to M/I^nM \to Q/I^nQ \to 0.
\]

is still short exact. Also, the sequence

\[
F_1/I^nF_1 \overset{d_1}{\to} F_0/I^nF_0 \to Q/I^nQ \to 0
\]

is still exact. Arguing as above we see that the map \( n \circ d_1 \) for some map \( \beta \in \text{Im}(\text{Hom}(F_0, N) \to \text{Hom}(F_1, N)) + I^n \text{Hom}(F_1, N) \).

for this \( n \).

Since we have this property for arbitrarily large \( n \) by assumption we conclude that the image of \( \beta \) in the cokernel of \( \text{Hom}(F_0, N) \to \text{Hom}(F_1, N) \) is zero by Lemma 50.5. Hence \( \beta \) is in the image of the map \( \text{Hom}(F_0, N) \to \text{Hom}(F_1, N) \) as desired. □

74. Tor groups and flatness

In this section we use some of the homological algebra developed in the previous section to explain what Tor groups are. Namely, suppose that \( R \) is a ring and that \( M, N \) are two \( R \)-modules. Consider a resolution \( F_\bullet \) of \( M \) by free \( R \)-modules. See Lemma 70.1. Consider the homological complex

\[
F_\bullet \otimes_R N : \ldots \to F_2 \otimes_R N \to F_1 \otimes_R N \to F_0 \otimes_R N
\]

We define \( \text{Tor}_i^R(M, N) \) to be the \( i \)th homology group of this complex. The following lemma explains in what sense this is well defined.

**Lemma 74.1.** Let \( R \) be a ring. Let \( M_1, M_2, N \) be \( R \)-modules. Suppose that \( F_\bullet \) is a free resolution of the module \( M_1 \) and that \( G_\bullet \) is a free resolution of the module \( M_2 \). Let \( \varphi : M_1 \to M_2 \) be a module map. Let \( \alpha : F_\bullet \to G_\bullet \) be a map of complexes inducing \( \varphi \) on \( M_1 = \text{Coker}(d_{F,1}) \to M_2 = \text{Coker}(d_{G,1}) \), see Lemma 70.4. Then the induced maps

\[
H_i(\alpha) : H_i(F_\bullet \otimes_R N) \to H_i(G_\bullet \otimes_R N)
\]

are independent of the choice of \( \alpha \). If \( \varphi \) is an isomorphism, so are all the maps \( H_i(\alpha) \). If \( M_1 = M_2 \), \( F_\bullet = G_\bullet \), and \( \varphi \) is the identity, so are all the maps \( H_i(\alpha) \).

**Proof.** The proof of this lemma is identical to the proof of Lemma 70.5 □

Not only does this lemma imply that the Tor modules are well defined, but it also provides for the functoriality of the constructions \( (M, N) \mapsto \text{Tor}_i^R(M, N) \) in the first variable. Of course the functoriality in the second variable is evident. We leave it to the reader to see that each of the \( \text{Tor}_i^R \) is in fact a functor

\[
\text{Mod}_R \times \text{Mod}_R \to \text{Mod}_R.
\]
Here \( \text{Mod}_R \) denotes the category of \( R \)-modules, and for the definition of the product category see Categories, Definition 2.20. Namely, given morphisms of \( R \)-modules \( M_1 \to M_2 \) and \( N_1 \to N_2 \) we get a commutative diagram

\[
\begin{array}{ccc}
\text{Tor}_i^R(M_1, N_1) & \longrightarrow & \text{Tor}_i^R(M_1, N_2) \\
\downarrow & & \downarrow \\
\text{Tor}_i^R(M_2, N_1) & \longrightarrow & \text{Tor}_i^R(M_2, N_2)
\end{array}
\]

**Lemma 74.2.** Let \( R \) be a ring and let \( M \) be an \( R \)-module. Suppose that \( 0 \to N' \to N \to N'' \to 0 \) is a short exact sequence of \( R \)-modules. There exists a long exact sequence

\[
\text{Tor}_i^R(M, N') \to \text{Tor}_i^R(M, N) \to \text{Tor}_i^R(M, N'') \to M \otimes_R N' \to M \otimes_R N \to M \otimes_R N'' \to 0
\]

**Proof.** The proof of this is the same as the proof of Lemma 70.6. \( \square \)

Consider a homological double complex of \( R \)-modules

\[
\begin{array}{ccccccc}
\ldots & d & A_{2,0} & d & A_{1,0} & d & A_{0,0} \\
\delta & & \delta & & \delta & & \\
\ldots & d & A_{2,1} & d & A_{1,1} & d & A_{0,1} \\
\delta & & \delta & & \delta & & \\
\ldots & d & A_{2,2} & d & A_{1,2} & d & A_{0,2} \\
\delta & & \delta & & \delta & & \\
\ldots & \ldots & \ldots & \ldots & \ldots & \ldots & \ldots
\end{array}
\]

This means that \( d_{i,j} : A_{i,j} \to A_{i-1,j} \) and \( \delta_{i,j} : A_{i,j} \to A_{i,j-1} \) have the following properties

1. Any composition of two \( d_{i,j} \) is zero. In other words the rows of the double complex are complexes.
2. Any composition of two \( \delta_{i,j} \) is zero. In other words the columns of the double complex are complexes.
3. For any pair \( (i,j) \) we have \( \delta_{i-1,j} \circ d_{i,j} = d_{i,j-1} \circ \delta_{i,j} \). In other words, all the squares commute.

The correct thing to do is to associate a spectral sequence to any such double complex. However, for the moment we can get away with doing something slightly easier.

Namely, for the purposes of this section only, given a double complex \( (A_{\bullet, \bullet}, d, \delta) \) set \( R(A)_j = \text{Coker}(A_{1,j} \to A_{0,j}) \) and \( U(A)_i = \text{Coker}(A_{i,1} \to A_{i,0}) \). (The letters \( R \) and \( U \) are meant to suggest \( \text{Right} \) and \( \text{Up} \).) We endow \( R(A)_\bullet \) with the structure of a complex using the maps \( \delta \). Similarly we endow \( U(A)_\bullet \) with the structure of a complex using the maps \( d \). In other words we obtain the following huge commutative
diagram

\[ \cdots \xrightarrow{d} U(A)_2 \xrightarrow{d} U(A)_1 \xrightarrow{d} U(A)_0 \]
\[ \hspace{1cm} \cdots \xrightarrow{d} A_{2,0} \xrightarrow{d} A_{1,0} \xrightarrow{d} A_{0,0} \rightarrow R(A)_0 \]
\[ \hspace{1cm} \cdots \xrightarrow{d} A_{2,1} \xrightarrow{d} A_{1,1} \xrightarrow{d} A_{0,1} \rightarrow R(A)_1 \]
\[ \hspace{1cm} \cdots \xrightarrow{d} A_{2,2} \xrightarrow{d} A_{1,2} \xrightarrow{d} A_{0,2} \rightarrow R(A)_2 \]

(This is no longer a double complex of course.) It is clear what a morphism \( \Phi : (A_{\bullet, \bullet}, d, \delta) \rightarrow (B_{\bullet, \bullet}, d, \delta) \) of double complexes is, and it is clear that this induces morphisms of complexes \( R(\Phi) : R(A)_{\bullet} \rightarrow R(B)_{\bullet} \) and \( U(\Phi) : U(A)_{\bullet} \rightarrow U(B)_{\bullet} \).

**Lemma 74.3.** Let \((A_{\bullet, \bullet}, d, \delta)\) be a double complex such that

1. Each row \(A_{\bullet, j}\) is a resolution of \(R(A)_j\).
2. Each column \(A_{i, \bullet}\) is a resolution of \(U(A)_i\).

Then there are canonical isomorphisms

\[ H_i(R(A)_{\bullet}) \cong H_i(U(A)_{\bullet}) \]

The isomorphisms are functorial with respect to morphisms of double complexes with the properties above.

**Proof.** We will show that \(H_i(R(A)_{\bullet})\) and \(H_i(U(A)_{\bullet})\) are canonically isomorphic to a third group. Namely

\[ H_i(A) := \left\{ \frac{(a_{i,0}, a_{i-1,1}, \ldots, a_{0,i}) \mid d(a_{i,0}) = \delta(a_{i-1,1}), \ldots, d(a_{1,i-1}) = \delta(a_{0,i})}{d(a_{i+1,0}) + \delta(a_{i,1}), d(a_{i,1}) + \delta(a_{i-1,2}), \ldots, d(a_{1,i}) + \delta(a_{0,i+1})} \right\} \]

Here we use the notational convention that \(a_{i,j}\) denotes an element of \(A_{i,j}\). In other words, an element of \(H_i\) is represented by a zig-zag, represented as follows for \(i = 2\)

\[ a_{2,0} \xrightarrow{d(a_{2,0})} a_{1,1} \xrightarrow{d(a_{1,1})} a_{0,2} \]

Naturally, we divide out by “trivial” zig-zags, namely the submodule generated by elements of the form \((0, \ldots, 0, -\delta(a_{i+1,t-i}), d(a_{t+1,t-i}), 0, \ldots, 0)\). Note that there are canonical homomorphisms

\[ H_i(A) \rightarrow H_i(R(A)_{\bullet}), \quad (a_{i,0}, a_{i-1,1}, \ldots, a_{0,i}) \mapsto \text{class of image of } a_{0,i} \]
and

\[ H_i(A) \to H_i(U(A)_\bullet), \quad (a_{i,0}, a_{i-1,1}, \ldots, a_{0,i}) \mapsto \text{class of image of } a_{i,0} \]

First we show that these maps are surjective. Suppose that \( \tau \in H_i(R(A)_\bullet) \). Let \( r \in R(A)_i \) be a cocycle representing the class of \( \tau \). Let \( a_{0,i} \in A_{0,i} \) be an element which maps to \( r \). Because \( \delta(r) = 0 \), we see that \( \delta(a_{0,i}) \) is in the image of \( d \). Hence there exists an element \( a_{1,i-1} \in A_{1,i-1} \) such that \( d(a_{1,i-1}) = \delta(a_{0,i}) \). This in turn implies that \( \delta(a_{1,i-1}) \) is in the kernel of \( d \) (because \( d(\delta(a_{1,i-1})) = \delta(d(a_{1,i-1})) = \delta(\delta(a_{0,i})) = 0 \)). By exactness of the rows we find an element \( a_{2,i-2} \) such that \( d(a_{2,i-2}) = \delta(a_{1,i-1}) \). And so on until a full zig-zag is found. Of course surjectivity of \( H_i \to H_i(U(A)) \) is shown similarly.

To prove injectivity we argue in exactly the same way. Namely, suppose we are given a zig-zag \((a_{i,0}, a_{i-1,1}, \ldots, a_{0,i})\) which maps to zero in \( H_i(R(A)_\bullet) \). This means that \( a_{0,i} \) maps to an element of \( \text{Coker}(A_{i+1,1} \to A_{i,0}) \) which is in the image of \( \delta : \text{Coker}(A_{i+1,1} \to A_{i+1,0}) \to \text{Coker}(A_{i,1} \to A_{i,0}) \). In other words, \( a_{0,i} \) is in the image of \( \delta \circ d : A_{0,i+1} \oplus A_{1,i} \to A_{0,i} \). From the definition of trivial zig-zags we see that we may modify our zig-zag by a trivial one and assume that \( a_{0,i} = 0 \). This immediately implies that \( d(a_{1,i-1}) = 0 \). As the rows are exact this implies that \( a_{1,i-1} \) is in the image of \( d : A_{2,i-1} \to A_{1,i-1} \). Thus we may modify our zig-zag once again by a trivial zig-zag and assume that our zig-zag looks like \((a_{i,0}, a_{i-1,1}, \ldots, a_{2,i-2}, 0, 0)\).

Continuing like this we obtain the desired injectivity.

If \( \Phi : (A_\bullet, d, \delta) \to (B_\bullet, d, \delta) \) is a morphism of double complexes both of which satisfy the conditions of the lemma, then we clearly obtain a commutative diagram

\[
\begin{array}{ccc}
H_i(U(A)_\bullet) & \longrightarrow & H_i(U(A)) \\
\downarrow & & \downarrow \\
H_i(U(B)_\bullet) & \longrightarrow & H_i(U(B))
\end{array}
\]

This proves the functoriality. \( \square \)

**Remark 74.4.** The isomorphism constructed above is the “correct” one only up to signs. A good part of homological algebra is concerned with choosing signs for various maps and showing commutativity of diagrams with intervention of suitable signs. For the moment we will simply use the isomorphism as given in the proof above, and worry about signs later.

**Lemma 74.5.** Let \( R \) be a ring. For any \( i \geq 0 \) the functors \( \text{Mod}_R \times \text{Mod}_R \to \text{Mod}_R \), \( (M, N) \mapsto \text{Tor}^R_i(M, N) \) and \( (M, N) \mapsto \text{Tor}^R_i(N, M) \) are canonically isomorphic.

**Proof.** Let \( F_\bullet \) be a free resolution of the module \( M \) and let \( G_\bullet \) be a free resolution of the module \( N \). Consider the double complex \((A_{i,j}, d, \delta)\) defined as follows:

1. \( A_{i,j} = F_i \otimes_R G_j \),
2. \( d_{i,j} : F_i \otimes_R G_j \to F_{i-1} \otimes R G_j \) equal to \( d_{F,i} \otimes \text{id} \), and
3. \( \delta_{i,j} : F_i \otimes_R G_j \to F_i \otimes R G_{j-1} \) equal to \( \text{id} \otimes d_{G,j} \).

This double complex is usually simply denoted \( F_\bullet \otimes_R G_\bullet \).

Since each \( G_j \) is free, and hence flat we see that each row of the double complex is exact except in homological degree \( 0 \). Since each \( F_i \) is free and hence flat we see
that each column of the double complex is exact except in homological degree 0. Hence the double complex satisfies the conditions of Lemma 74.3.

To see what the lemma says we compute $R(A)_{\bullet}$ and $U(A)_{\bullet}$. Namely,

$$R(A)_{i} = \text{Coker}(A_{1,i} \to A_{0,i})$$

$$= \text{Coker}(F_{1} \otimes_{R} G_{i} \to F_{0} \otimes_{R} G_{i})$$

$$= \text{Coker}(F_{1} \to F_{0}) \otimes_{R} G_{i}$$

$$= M \otimes_{R} G_{i}$$

In fact these isomorphisms are compatible with the differentials $\delta$ and we see that $R(A)_{\bullet} = M \otimes_{R} G_{\bullet}$ as homological complexes. In exactly the same way we see that $U(A)_{\bullet} = F_{\bullet} \otimes_{R} N$. We get

$$\text{Tor}^{R}_{i}(M, N) = H_{i}(F_{\bullet} \otimes_{R} N)$$

$$= H_{i}(U(A)_{\bullet})$$

$$= H_{i}(R(A)_{\bullet})$$

$$= H_{i}(M \otimes_{R} G_{\bullet})$$

$$= H_{i}(G_{\bullet} \otimes_{R} M)$$

$$= \text{Tor}^{R}_{i}(N, M)$$

Here the third equality is Lemma 74.3 and the fifth equality uses the isomorphism $V \otimes W = W \otimes V$ of the tensor product.

 Functoriality. Suppose that we have $R$-modules $M_{\nu}$, $N_{\nu}$, $\nu = 1, 2$. Let $\varphi : M_{1} \to M_{2}$ and $\psi : N_{1} \to N_{2}$ be morphisms of $R$-modules. Suppose that we have free resolutions $F_{\bullet, \nu}$ for $M_{\nu}$ and free resolutions $G_{\bullet, \nu}$ for $N_{\nu}$. By Lemma 70.4 we may choose maps of complexes $\alpha : F_{\bullet, 1} \to F_{\bullet, 2}$ and $\beta : G_{\bullet, 1} \to G_{\bullet, 2}$ compatible with $\varphi$ and $\psi$. We claim that the pair $(\alpha, \beta)$ induces a morphism of double complexes

$$\alpha \otimes \beta : F_{\bullet} \otimes_{R} G_{\bullet, 1} \to F_{\bullet} \otimes_{R} G_{\bullet, 2}.$$ 

This is really a very straightforward check using the rule that $F_{1,i} \otimes_{R} G_{1,j} \to F_{2,i} \otimes_{R} G_{2,j}$ is given by $\alpha_{i} \otimes \beta_{j}$ where $\alpha_{i}$, resp. $\beta_{j}$ is the degree $i$, resp. $j$ component of $\alpha$, resp. $\beta$. The reader also readily verifies that the induced maps $R(F_{\bullet} \otimes_{R} G_{\bullet, 1}) \to R(F_{\bullet} \otimes_{R} G_{\bullet, 2})$ agrees with the map $M_{1} \otimes_{R} G_{\bullet, 1} \to M_{2} \otimes_{R} G_{\bullet, 2}$ induced by $\varphi \otimes \beta$. Similarly for the map induced on the $U(\cdot)_{\bullet}$ complexes. Thus the statement on functoriality follows from the statement on functoriality in Lemma 74.3.

**Remark 74.6.** An interesting case occurs when $M = N$ in the above. In this case we get a canonical map $\text{Tor}^{R}_{i}(M, M) \to \text{Tor}^{R}_{i}(M, M)$. Note that this map is not the identity, because even when $i = 0$ this map is not the identity! For example, if $V$ is a vector space of dimension $n$ over a field, then the switch map $V \otimes_{k} V \to V \otimes_{k} V$ has $(n^{2} + n)/2$ eigenvalues $+1$ and $(n^{2} - n)/2$ eigenvalues $-1$. In characteristic 2 it is not even diagonalizable. Note that even changing the sign of the map will not get rid of this.

**Lemma 74.7.** Let $R$ be a Noetherian ring. Let $M$, $N$ be finite $R$-modules. Then $\text{Tor}^{R}_{p}(M, N)$ is a finite $R$-module for all $p$.

**Proof.** This holds because $\text{Tor}^{R}_{p}(M, N)$ is computed as the cohomology groups of a complex $F_{\bullet} \otimes_{R} N$ with each $F_{n}$ a finite free $R$-module, see Lemma 70.1. 


Let $R$ be a ring. Let $M$ be an $R$-module. The following are equivalent:

1. The module $M$ is flat over $R$.
2. For all $i > 0$ the functor $\text{Tor}_i^R(M,-)$ is zero.
3. The functor $\text{Tor}_1^R(M,-)$ is zero.
4. For all ideals $I \subset R$ we have $\text{Tor}_1^R(M,R/I) = 0$.
5. For all finitely generated ideals $I \subset R$ we have $\text{Tor}_1^R(M,R/I) = 0$.

**Proof.** Suppose $M$ is flat. Let $N$ be an $R$-module. Let $F_\bullet$ be a free resolution of $N$. Then $F_\bullet \otimes_R M$ is a resolution of $N \otimes_R M$, by flatness of $M$. Hence all higher Tor groups vanish.

It now suffices to show that the last condition implies that $M$ is flat. Let $I \subset R$ be an ideal. Consider the short exact sequence $0 \to I \to R \to R/I \to 0$. Apply Lemma 74.2. We get an exact sequence

$$\text{Tor}_1^R(M,R/I) \to M \otimes_R I \to M \otimes_R R \to M \otimes_R R/I \to 0$$

Since obviously $M \otimes_R R = M$ we conclude that the last hypothesis implies that $M \otimes_R I \to M$ is injective for every finitely generated ideal $I$. Thus $M$ is flat by Lemma 38.5.

**Remark 74.9.** The proof of Lemma 74.8 actually shows that $\text{Tor}_1^R(M,R/I) = \text{Ker}(I \otimes_R M \to M)$.

### 75. Functorialities for Tor

In this section we briefly discuss the functoriality of Tor with respect to change of ring, etc. Here is a list of items to work out.

1. Given a ring map $R \to R'$, an $R$-module $M$ and an $R'$-module $N'$ the $R$-modules $\text{Tor}_i^R(M,N')$ have a natural $R'$-module structure.
2. Given a ring map $R \to R'$ and $R$-modules $M$, $N$ there is a natural $R$-module map $\text{Tor}_i^R(M,N) \to \text{Tor}_i^{R'}(M \otimes_R R',N \otimes_R R')$.
3. Given a ring map $R \to R'$ an $R$-module $M$ and an $R'$-module $N'$ there exists a natural $R'$-module map $\text{Tor}_i^R(M,N') \to \text{Tor}_i^{R'}(M \otimes_R R',N')$.

**Lemma 75.1.** Given a flat ring map $R \to R'$ and $R$-modules $M$, $N$ the natural $R$-module map $\text{Tor}_i^R(M,N) \otimes_R R' \to \text{Tor}_i^{R'}(M \otimes_R R',N \otimes_R R')$ is an isomorphism for all $i$.

**Proof.** Omitted. This is true because a free resolution $F_\bullet$ of $M$ over $R$ stays exact when tensoring with $R'$ over $R$ and hence $(F_\bullet \otimes_R N) \otimes_R R'$ computes the Tor groups over $R'$.

The following lemma does not seem to fit anywhere else.

**Lemma 75.2.** Let $R$ be a ring. Let $M = \text{colim} M_i$ be a filtered colimit of $R$-modules. Let $N$ be an $R$-module. Then $\text{Tor}_n^R(M,N) = \text{colim} \text{Tor}_n^R(M_i,N)$ for all $n$.

**Proof.** Choose a free resolution $F_\bullet$ of $N$. Then $F_\bullet \otimes_R M = \text{colim} F_\bullet \otimes_R M_i$ as complexes by Lemma 11.9. Thus the result by Lemma 8.8.
76. Projective modules

Let $R$ be a ring. An $R$-module $P$ is projective if and only if the functor $\text{Hom}_R(P,-): \text{Mod}_R \to \text{Mod}_R$ is an exact functor.

The functor $\text{Hom}_R(M,-)$ is left exact for any $R$-module $M$, see Lemma 10.1.

Hence the condition for $P$ to be projective really signifies that given a surjection of $R$-modules $N \to N'$ the map $\text{Hom}_R(P,N) \to \text{Hom}_R(P,N')$ is surjective.

Lemma 76.2. Let $R$ be a ring. Let $P$ be an $R$-module. The following are equivalent:

1. $P$ is projective,
2. $P$ is a direct summand of a free $R$-module, and
3. $\text{Ext}^1_R(P,M) = 0$ for every $R$-module $M$.

Proof. Assume $P$ is projective. Choose a surjection $\pi : F \to P$ where $F$ is a free $R$-module. As $P$ is projective there exists an $i \in \text{Hom}_R(P,F)$ such that $i \circ \pi = \text{id}_P$. In other words $P \cong \text{Ker}(\pi) \oplus i(P)$ and we see that $P$ is a direct summand of $F$.

Conversely, assume that $P \oplus Q = F$ is a free $R$-module. Note that the free module $F = \bigoplus_{i \in I} R$ is projective as $\text{Hom}_R(F,M) = \prod_{i \in I} M$ and the functor $M \mapsto \prod_{i \in I} M$ is exact. Then $\text{Hom}_R(F,-) = \text{Hom}_R(P,-) \times \text{Hom}_R(Q,-)$ as functors, hence both $P$ and $Q$ are projective.

Assume $P \oplus Q = F$ is a free $R$-module. Then we have a free resolution $F_\bullet$ of the form

$$\cdots \xrightarrow{a} F \xrightarrow{b} F \to P \to 0$$

where the complex $\text{Hom}_R(F_\bullet,M)$ is split exact in degrees $\geq 1$, whence we see the vanishing in (3).

Assume $\text{Ext}^1_R(P,M) = 0$ for every $R$-module $M$. Pick a free resolution $F_\bullet \to P$. Set $M = \text{Im}(F_1 \to F_0) = \text{Ker}(F_0 \to P)$. Consider the element $\xi \in \text{Ext}^1_R(P,M)$ given by the class of the quotient map $\pi : F_1 \to M$. Since $\xi$ is zero there exists a map $s : F_0 \to M$ such that $\pi = s \circ (F_1 \to F_0)$. Clearly, this means that

$F_0 = \text{Ker}(s) \oplus \text{Ker}(F_0 \to P) = P \oplus \text{Ker}(F_0 \to P)$

and we win.

Lemma 76.3. A direct sum of projective modules is projective.

Proof. This is true by the characterization of projectives as direct summands of free modules in Lemma 76.2.

Lemma 76.4. Let $R$ be a ring. Let $I \subset R$ be a nilpotent ideal. Let $\overline{P}$ be a projective $R/I$-module. Then there exists a projective $R$-module $P$ such that $P/IP \cong \overline{P}$.

Proof. By Lemma 76.2 we can choose a set $A$ and a direct sum decomposition $\bigoplus_{a \in A} R/I = \overline{P} \oplus K$ for some $R/I$-module $K$. Write $F = \bigoplus_{a \in A} R$ for the free $R$-module on $A$. Choose a lift $p : F \to F$ of the projector $\overline{P}$ associated to the direct summand $\overline{P}$ of $\bigoplus_{a \in A} R/I$. Note that $p^2 - p \in \text{End}_R(F)$ is a nilpotent endomorphism of $F$ (as $I$ is nilpotent and the matrix entries of $p^2 - p$ are in $I$; more precisely, if $I^n = 0$, then $(p^2 - p)^n = 0$). Hence by Lemma 31.7 we can modify our choice of $p$ and assume that $p$ is a projector. Set $P = \text{Im}(p)$. 

\qed
Lemma 76.5. Let $R$ be a ring. Let $I \subset R$ be a locally nilpotent ideal. Let $P$ be a finite projective $R/I$-module. Then there exists a finite projective $R$-module $P$ such that $P/IP \cong P$.

Proof. Recall that $P$ is a direct summand of a free $R/I$-module $\bigoplus_{a \in A} R/I$ by Lemma 76.2. As $P$ is finite, it follows that $P$ is contained in $\bigoplus_{a \in A'} R/I$ for some $A' \subset A$ finite. Hence we may assume we have a direct sum decomposition $(R/I)^{\oplus n} = P \oplus K$ for some $n$ and some $R/I$-module $K$. Choose a lift $p \in \text{Mat}(n \times n, R)$ of the projector $p$ associated to the direct summand $P$ of $(R/I)^{\oplus n}$. Note that $p^2 - p \in \text{Mat}(n \times n, R)$ is nilpotent: as $I$ is locally nilpotent and the matrix entries $c_{ij}$ of $p^2 - p$ are in $I$ we have $c_{ij}^{t} = 0$ for some $t > 0$ and then $(p^2 - p)^{tn^2} = 0$ (by looking at the matrix coefficients). Hence by Lemma 31.7 we can modify our choice of $p$ and assume that $p$ is a projector. Set $P = \text{Im}(p)$. □

Lemma 76.6. Let $R$ be a ring. Let $I \subset R$ be an ideal. Let $M$ be an $R$-module. Assume

1. $I$ is nilpotent,
2. $M/IM$ is a projective $R/I$-module,
3. $M$ is a flat $R$-module.

Then $M$ is a projective $R$-module.

Proof. By Lemma 76.4 we can find a projective $R$-module $P$ and an isomorphism $P/IP \to M/IM$. We are going to show that $M$ is isomorphic to $P$ which will finish the proof. Because $P$ is projective we can lift the map $P \to P/IP \to M/IM$ to an $R$-module map $P \to M$ which is an isomorphism modulo $I$. By Nakayama’s Lemma 19.1 the map $P \to M$ is surjective. It remains to show that $P \to M$ is injective. Since $P^n = 0$ for some $n$, we can use the filtrations

$$0 = I^n M \subset I^{n-1} M \subset \ldots \subset IM \subset M$$

$$0 = I^n P \subset I^{n-1} P \subset \ldots \subset IP \subset P$$

to see that it suffices to show that the induced maps $I^n P/I^{n+1} P \to I^n M/I^{n+1} M$ are injective. Since both $P$ and $M$ are flat $R$-modules we can identify this with the map

$$I^n/P/I^{n+1} \otimes_{R/I} P/IP \to I^n/M/I^{n+1} \otimes_{R/I} M/IM$$

induced by $P \to M$. Since we chose $P \to M$ such that the induced map $P/IP \to M/IM$ is an isomorphism, we win. □

77. Finite projective modules

Definition 77.1. Let $R$ be a ring and $M$ an $R$-module.

1. We say that $M$ is locally free if we can cover $\text{Spec}(R)$ by standard opens $D(f_i), i \in I$ such that $M_{f_i}$ is a free $R_{f_i}$-module for all $i \in I$.
2. We say that $M$ is finite locally free if we can choose the covering such that each $M_{f_i}$ is finite free.
3. We say that $M$ is finite locally free of rank $r$ if we can choose the covering such that each $M_{f_i}$ is isomorphic to $R_{f_i}^{\oplus r}$.

Note that a finite locally free $R$-module is automatically finitely presented by Lemma 22.2.
Lemma 77.2. Let \( R \) be a ring and let \( M \) be an \( R \)-module. The following are equivalent:

1. \( M \) is finitely presented and \( R \)-flat,
2. \( M \) is finite projective,
3. \( M \) is a direct summand of a finite free \( R \)-module,
4. \( M \) is finitely presented and for all \( p \in \text{Spec}(R) \) the localization \( M_p \) is free,
5. \( M \) is finitely presented and for all maximal ideals \( m \subset R \) the localization \( M_m \) is free,
6. \( M \) is finite and locally free,
7. \( M \) is finite locally free, and
8. \( M \) is finite, for every prime \( p \) the module \( M_p \) is free, and the function

\[ \rho_M : \text{Spec}(R) \to \mathbb{Z}, \quad p \mapsto \dim_{\kappa(p)} M \otimes_R \kappa(p) \]

is locally constant in the Zariski topology.

Proof. First suppose \( M \) is finite projective, i.e., (2) holds. Take a surjection \( R^n \to M \) and let \( K \) be the kernel. Since \( M \) is projective, \( 0 \to K \to R^n \to M \to 0 \) splits. Hence (2) \( \Rightarrow \) (3). The implication (3) \( \Rightarrow \) (2) follows from the fact that a direct summand of a projective is projective, see Lemma 76.2.

Assume (3), so we can write \( K \oplus M \cong R^\oplus n \). So \( K \) is a direct summand of \( R^n \) and thus finitely generated. This shows \( M = R^\oplus n/K \) is finitely presented. In other words, (3) \( \Rightarrow \) (1).

Assume \( M \) is finitely presented and flat, i.e., (1) holds. We will prove that (7) holds. Pick any prime \( p \) and \( x_1, \ldots, x_r \in M \) which map to a basis of \( M \otimes_R \kappa(p) \). By Nakayama’s Lemma 19.1 these elements generate \( M_g \) for some \( g \in R \), \( g \not\in p \).

The corresponding surjection \( \varphi : R_g^{\oplus r} \to M_g \) has the following two properties: (a) \( \ker(\varphi) \) is a finite \( R_g \)-module (see Lemma 5.3) and (b) \( \ker(\varphi) \otimes \kappa(p) = 0 \) by flatness of \( M_g \) over \( R_g \) (see Lemma 38.12). Hence by Nakayama’s lemma again there exists a \( g' \in R_g \) such that \( \ker(\varphi)_{g'} = 0 \). In other words, \( M_{g'g} \) is free.

A finite locally free module is a finite module, see Lemma 22.2 hence (7) \( \Rightarrow \) (6). It is clear that (6) \( \Rightarrow \) (7) and that (7) \( \Rightarrow \) (8).

A finite locally free module is a finitely presented module, see Lemma 22.2 hence (7) \( \Rightarrow \) (4). Of course (4) implies (5). Since we may check flatness locally (see Lemma 38.19) we conclude that (5) implies (1). At this point we have

\[
\begin{align*}
(2) & \iff (3) \iff (1) \iff (7) \iff (6) \\
\text{(5)} & \iff (4) \iff (8)
\end{align*}
\]

Suppose that \( M \) satisfies (1), (4), (5), (6), and (7). We will prove that (3) holds. It suffices to show that \( M \) is projective. We have to show that \( \text{Hom}_R(M,-) \) is exact. Let \( 0 \to N'' \to N \to N' \to 0 \) be a short exact sequence of \( R \)-modules. We have to show that \( 0 \to \text{Hom}_R(M,N') \to \text{Hom}_R(M,N) \to \text{Hom}_R(M,N'') \to 0 \) is exact. As \( M \) is finite locally free there exist a covering \( \text{Spec}(R) = \bigcup D(f_i) \) such that \( M_{f_i} \) is finite free. By Lemma 10.2 we see that

\[
0 \to \text{Hom}_R(M,N'')_{f_i} \to \text{Hom}_R(M,N)_{f_i} \to \text{Hom}_R(M,N')_{f_i} \to 0
\]
is equal to $0 \to \text{Hom}_{R_f}(M_f, N'_f) \to \text{Hom}_{R_f}(M_f, N_f) \to \text{Hom}_{R_f}(M_f, N'_f) \to 0$
which is exact as $M_f$ is free and as the localization $0 \to N'_f \to N_f \to N'_f \to 0$
is exact (as localization is exact). Whence we see that $0 \to \text{Hom}_R(M, N'_f) \to \text{Hom}_R(M, N) \to \text{Hom}_R(M, N') \to 0$ is exact by Lemma 22.2.

Finally, assume that (8) holds. Pick a maximal ideal $m \subset R$. Pick $x_1, \ldots, x_r \in M$
which map to a $\kappa(m)$-basis of $M \otimes_R \kappa(m) = M/mM$. In particular $\rho_M(m) = r$. By
Nakayama’s Lemma 19.1, there exists an $f \in R$, $f \not\in m$ such that $x_1, \ldots, x_r$ generate $M_f$ over $R_f$. By the assumption that $\rho_M$ is locally constant there exists a $g \in R$, $g \not\in m$ such that $\rho_M$ is constant equal to $r$ on $D(g)$. We claim that
\[ \Psi : R^{\oplus r}_{fg} \to M_{fg}, \quad (a_1, \ldots, a_r) \mapsto \sum a_i x_i \]
is an isomorphism. This claim will show that $M$ is finite locally free, i.e., that (7) holds. To see the claim it suffices to show that the induced map on localizations $\Psi_p : R^{\oplus r}_p \to M_p$ is an isomorphism for all $p \in D(fg)$, see Lemma 22.1. By our choice of $f$ the map $\Psi_p$ is surjective. By assumption (8) we have $M_p \cong R^{\oplus \rho_M(p)}_p$ and by our choice of $g$ we have $\rho_M(p) = r$. Hence $\Psi_p$ determines a surjection $R^{\oplus r}_p \to M_p \cong R^{\oplus r}_p$ whence is an isomorphism by Lemma 15.4. (Of course last fact follows from a simple matrix argument also.)

00NY Remark 77.3. It is not true that a finite $R$-module which is $R$-flat is automatically projective. A counterexample is where $R = C^\infty(R)$ is the ring of infinitely differentiable functions on $R$, and $M = R_m = R/I$ where $m = \{f \in R \mid f(0) = 0\}$ and $I = \{f \in R \mid \exists \epsilon > 0 : f(x) = 0 \forall x, |x| < \epsilon\}$.

00NZ Lemma 77.4. (Warning: see Remark 77.3) Suppose $R$ is a local ring, and $M$ is a finite flat $R$-module. Then $M$ is finite free.

Proof. Follows from the equational criterion of flatness, see Lemma 38.11. Namely, suppose that $x_1, \ldots, x_r \in M$ map to a basis of $M/mM$. By Nakayama’s Lemma 19.1 these elements generate $M$. We want to show there is no relation among the $x_i$. Instead, we will show by induction on $n$ that if $x_1, \ldots, x_n \in M$ are linearly independent in the vector space $M/mM$ then they are independent over $R$.

The base case of the induction is where we have $x \in M$, $x \not\in mM$ and a relation $fx = 0$. By the equational criterion there exist $y_j \in M$ and $a_j \in R$ such that $x = \sum a_j y_j$ and $fa_j = 0$ for all $j$. Since $x \not\in mM$ we see that at least one $a_j$ is a unit and hence $f = 0$.

Suppose that $\sum f_i x_i$ is a relation among $x_1, \ldots, x_n$. By our choice of $x_i$ we have $f_i \in m$. According to the equational criterion of flatness there exist $a_i \in R$ and $y_j \in M$ such that $x_i = \sum a_{ij} y_j$ and $\sum f_i a_{ij} = 0$. Since $x_n \not\in mM$ we see that $a_n \not\in m$ for at least one $j$. Since $\sum f_i a_{ij} = 0$ we get $f_n = \sum_{i=1}^{n-1} (-a_{ij}/a_{nj}) f_i$. The relation $\sum f_i x_i = 0$ now can be rewritten as $\sum_{i=1}^{n-1} f_i (x_i + (-a_{ij}/a_{nj}) x_n) = 0$. Note that the elements $x_i + (-a_{ij}/a_{nj}) x_n$ map to $n-1$ linearly independent elements of $M/mM$. By induction assumption we get that all the $f_i$, $i \leq n-1$ have to be zero, and also $f_n = \sum_{i=1}^{n-1} (-a_{ij}/a_{nj}) f_i$. This proves the induction step. \[\square\]

00O1 Lemma 77.5. Let $R \to S$ be a flat local homomorphism of local rings. Let $M$ be a finite $R$-module. Then $M$ is finite projective over $R$ if and only if $M \otimes_R S$ is finite projective over $S$. 

**Proof.** By Lemma 77.2 being finite projective over a local ring is the same thing as being finite free. Suppose that $M \otimes_R S$ is a finite free $S$-module. Pick $x_1, \ldots, x_r \in M$ whose images in $M/m_RM$ form a basis over $\kappa(m)$. Then we see that $x_1 \otimes 1, \ldots, x_r \otimes 1$ are a basis for $M \otimes_R S$. This implies that the map $R^\oplus r \to M, (a_i) \mapsto \sum a_ix_i$ becomes an isomorphism after tensoring with $S$. By faithful flatness of $R \to S$, we see that it is an isomorphism. \qed

**Lemma 77.6.** Let $R$ be a semi-local ring. Let $M$ be a finite locally free module. If $M$ has constant rank, then $M$ is free. In particular, if $R$ has connected spectrum, then $M$ is free.

**Proof.** Omitted. Hints: First show that $M/m_iM$ has the same dimension $d$ for all maximal ideal $m_1, \ldots, m_n$ of $R$ using the rank is constant. Next, show that there exist elements $x_1, \ldots, x_d \in M$ which form a basis for each $M/m_iM$ by the Chinese remainder theorem. Finally show that $x_1, \ldots, x_d$ is a basis for $M$. \qed

Here is a technical lemma that is used in the chapter on groupoids.

**Lemma 77.7.** Let $R$ be a local ring with maximal ideal $m$ and infinite residue field. Let $R \to S$ be a ring map. Let $M$ be an $S$-module and let $N \subset M$ be an $R$-submodule. Assume

1. $S$ is semi-local and $mS$ is contained in the Jacobson radical of $S$,
2. $M$ is a finite free $S$-module, and
3. $N$ generates $M$ as an $S$-module.

Then $N$ contains an $S$-basis of $M$.

**Proof.** Assume $M$ is free of rank $n$. Let $I \subset S$ be the Jacobson radical. By Nakayama’s Lemma 19.1, a sequence of elements $m_1, \ldots, m_n$ is a basis for $M$ if and only if $m_i \in M/IM$ generate $M/IM$. Hence we may replace $M$ by $M/IM$, $N$ by $N/(N \cap IM)$, $R$ by $R/m$, and $S$ by $S/IS$. In this case we see that $S$ is a finite product of fields $S = k_1 \times \ldots \times k_r$ and $M = k_1^{\oplus n_1} \times \ldots \times k_r^{\oplus n_r}$. The fact that $N \subset M$ generates $M$ as an $S$-module means that there exist $x_j \in N$ such that a linear combination $\sum a_jx_j$ with $a_j \in S$ has a nonzero component in each factor $k_i^{\oplus n_i}$. Because $R = k$ is an infinite field, this means that also some linear combination $y = \sum c_jx_j$ with $c_j \in k$ has a nonzero component in each factor. Hence $y \in N$ generates a free direct summand $Sy \subset M$. By induction on $n$ the result holds for $M/Sy$ and the submodule $\overline{N} = N/(N \cap Sy)$. In other words there exist $y_2, \ldots, y_n$ in $\overline{N}$ which (freely) generate $M/Sy$. Then $y, y_2, \ldots, y_n$ (freely) generate $M$ and we win. \qed

**Lemma 77.8.** Let $R$ be ring. Let $L$, $M$, $N$ be $R$-modules. The canonical map

$$\text{Hom}_R(M,N) \otimes_R L \to \text{Hom}_R(M,N \otimes_R L)$$

is an isomorphism if $M$ is finite projective.

**Proof.** By Lemma 77.2 we see that $M$ is finitely presented as well as finite locally free. By Lemmas 10.2 and 11.16 formation of the left and right hand side of the arrow commutes with localization. We may check that our map is an isomorphism after localization, see Lemma 22.2. Thus we may assume $M$ is finite free. In this case the lemma is immediate. \qed
05GD The set of primes where a given module map is surjective, or an isomorphism is sometimes open. In the case of finite projective modules we can look at the rank of the map.

05GE Lemma 78.1. Let $R$ be a ring. Let $\varphi : M \to N$ be a map of $R$-modules with $N$ a finite $R$-module. Then we have the equality

$$U = \{ \mathfrak{p} \subset R \mid \varphi_\mathfrak{p} : M_\mathfrak{p} \to N_\mathfrak{p} \text{ is surjective} \}$$

$$= \{ \mathfrak{p} \subset R \mid \varphi \otimes \kappa(\mathfrak{p}) : M \otimes \kappa(\mathfrak{p}) \to N \otimes \kappa(\mathfrak{p}) \text{ is surjective} \}$$

and $U$ is an open subset of $\text{Spec}(R)$. Moreover, for any $f \in R$ such that $D(f) \subset U$ the map $M_f \to N_f$ is surjective.

Proof. The equality in the displayed formula follows from Nakayama’s lemma. Nakayama’s lemma also implies that $U$ is open. See Lemma [19.1] especially part (3). If $D(f) \subset U$, then $M_f \to N_f$ is surjective on all localizations at primes of $R_f$, and hence it is surjective by Lemma [22.1].

05GF Lemma 78.2. Let $R$ be a ring. Let $\varphi : M \to N$ be a map of $R$-modules with $M$ finite and $N$ finitely presented. Then

$$U = \{ \mathfrak{p} \subset R \mid \varphi_\mathfrak{p} : M_\mathfrak{p} \to N_\mathfrak{p} \text{ is an isomorphism} \}$$

is an open subset of $\text{Spec}(R)$.

Proof. Let $\mathfrak{p} \in U$. Pick a presentation $N = R^\oplus n / \sum_{j=1}^n Rk_j$. Denote $e_i$ the image in $N$ of the $i$th basis vector of $R^\oplus n$. For each $i \in \{1, \ldots, n\}$ choose an element $m_i \in M_\mathfrak{p}$ such that $\varphi(m_i) = f_i e_i$ for some $f_i \in R$, $f_i \not\in \mathfrak{p}$. This is possible as $\varphi_\mathfrak{p}$ is an isomorphism. Set $f = f_1 \ldots f_n$ and let $\psi : R_\mathfrak{p}^\oplus n \to M_\mathfrak{p}$ be the map which maps the $i$th basis vector to $m_i/f_i$. Note that $\varphi_\mathfrak{p} \circ \psi$ is the localization at $f$ of the given map $R^\oplus n \to N$. As $\varphi_\mathfrak{p}$ is an isomorphism we see that $\psi(k_j)$ is an element of $M$ which maps to zero in $M_\mathfrak{p}$. Hence we see that there exist $g_j \in R$, $g_j \not\in \mathfrak{p}$ such that $g_j \psi(k_j) = 0$. Setting $g = g_1 \ldots g_m$, we see that $\psi_g$ factors through $N_{fg}$ to give a map $\chi : N_{fg} \to M_{fg}$. By construction $\chi$ is a right inverse to $\varphi_{fg}$. It follows that $\chi_\mathfrak{p}$ is an isomorphism. By Lemma [78.1] there is an $h \in R$, $h \not\in \mathfrak{p}$ such that $\chi_{fg} : N_{fgh} \to M_{fgh}$ is surjective. Hence $\varphi_{fgh}$ and $\chi_h$ are mutually inverse maps, which implies that $D(fgh) \subset U$ as desired.

0000 Lemma 78.3. Let $R$ be a ring. Let $\varphi : P_1 \to P_2$ be a map of finite projective modules. Then

1. The set $U$ of primes $\mathfrak{p} \in \text{Spec}(R)$ such that $\varphi \otimes \kappa(\mathfrak{p})$ is injective is open and for any $f \in R$ such that $D(f) \subset U$ we have
   (a) $P_{1,f} \to P_{2,f}$ is injective, and
   (b) the module Coker($\varphi_f$) is finite projective over $R_f$.
2. The set $W$ of primes $\mathfrak{p} \in \text{Spec}(R)$ such that $\varphi \otimes \kappa(\mathfrak{p})$ is surjective is open and for any $f \in R$ such that $D(f) \subset W$ we have
   (a) $P_{1,f} \to P_{2,f}$ is surjective, and
   (b) the module Ker($\varphi_f$) is finite projective over $R_f$.
3. The set $V$ of primes $\mathfrak{p} \in \text{Spec}(R)$ such that $\varphi \otimes \kappa(\mathfrak{p})$ is an isomorphism is open and for any $f \in R$ such that $D(f) \subset V$ the map $\varphi : P_{1,f} \to P_{2,f}$ is an isomorphism of modules over $R_f$. 

COMMUTATIVE ALGEBRA 178
Proof. To prove the set $U$ is open we may work locally on $\text{Spec}(R)$. Thus we may replace $R$ by a suitable localization and assume that $P_1 = R^{n_1}$ and $P_2 = R^{n_2}$, see Lemma 77.2. In this case injectivity of $\varphi \otimes \kappa(p)$ is equivalent to $n_1 \leq n_2$ and some $n_1 \times n_1$ minor $f$ of the matrix of $\varphi$ being invertible in $\kappa(p)$. Thus $D(f) \subset U$. This argument also shows that $P_1, p \rightarrow P_2, p$ is injective for $p \in U$.

Now suppose $D(f) \subset U$. By the remark in the previous paragraph and Lemma 22.1 we see that $P_1, f \rightarrow P_2, f$ is injective, i.e., (1)(a) holds. By Lemma 77.2 to prove (1)(b) it suffices to prove that $\text{Coker}(\varphi)$ is finite projective locally on $D(f)$. Thus, as we saw above, we may assume that $P_1 = R^{n_1}$ and $P_2 = R^{n_2}$ and that some minor of the matrix of $\varphi$ is invertible in $R$. If the minor in question corresponds to the first $n_1$ basis vectors of $R^{n_2}$, then using the last $n_2 - n_1$ basis vectors we get a map $R^{n_2-n_1} \rightarrow R^{n_2} \rightarrow \text{Coker}(\varphi)$ which is easily seen to be an isomorphism.

Openness of $W$ and (2)(a) for $D(f) \subset W$ follow from Lemma 78.1. Since $P_2, f$ is projective over $R_f$ we see that $\varphi_f : P_1, f \rightarrow P_2, f$ has a section and it follows that $\text{Ker}(\varphi_f)$ is a direct summand of $P_2, f$. Therefore $\text{Ker}(\varphi_f)$ is finite projective. Thus (2)(b) holds as well.

It is clear that $V = U \cap W$ is open and the other statement in (3) follows from (1)(a) and (2)(a). \hfill \Box

79. Faithfully flat descent for projectivity of modules

In the next few sections we prove, following Raynaud and Gruson [GR71], that the projectivity of modules descends along faithfully flat ring maps. The idea of the proof is to use dévissage à la Kaplansky [Kap58] to reduce to the case of countably generated modules. Given a well-behaved filtration of a module $M$, dévissage allows us to express $M$ as a direct sum of successive quotients of the filtering submodules (see Section 83). Using this technique, we prove that a projective module is a direct sum of countably generated modules (Theorem 83.5). To prove descent of projectivity for countably generated modules, we introduce a “Mittag-Leffler” condition on modules, prove that a countably generated module is projective if and only if it is flat and Mittag-Leffler (Theorem 92.3), and then show that the property of being a Mittag-Leffler module descends (Lemma 94.1). Finally, given an arbitrary module $M$ whose base change by a faithfully flat ring map is projective, we filter $M$ by submodules whose successive quotients are countably generated projective modules, and then by dévissage conclude $M$ is a direct sum of projectives, hence projective itself (Theorem 94.5).

We note that there is an error in the proof of faithfully flat descent of projectivity in [GR71]. There, descent of projectivity along faithfully flat ring maps is deduced from descent of projectivity along a more general type of ring map ([GR71, Example 3.1.4(1) of Part II]). However, the proof of descent along this more general type of map is incorrect. In [Gru73], Gruson explains what went wrong, although he does not provide a fix for the case of interest. Patching this hole in the proof of faithfully flat descent of projectivity comes down to proving that the property of being a Mittag-Leffler module descends along faithfully flat ring maps. We do this in Lemma 94.1.
80. Characterizing flatness

058C In this section we discuss criteria for flatness. The main result in this section is Lazard’s theorem (Theorem 80.4 below), which says that a flat module is the colimit of a directed system of free finite modules. We remind the reader of the "equational criterion for flatness", see Lemma 38.11. It turns out that this can be massaged into a seemingly much stronger property.

058D Lemma 80.1. Let $M$ be an $R$-module. The following are equivalent:

1. $M$ is flat.
2. If $f : R^n \to M$ is a module map and $x \in \text{Ker}(f)$, then there are module maps $h : R^n \to R^m$ and $g : R^m \to M$ such that $f = g \circ h$ and $x \in \text{Ker}(h)$.
3. Suppose $f : R^n \to M$ is a module map, $N \subset \text{Ker}(f)$ any submodule, and $h : R^n \to R^m$ a map such that $N \subset \text{Ker}(h)$ and $f$ factors through $h$. Then given any $x \in \text{Ker}(f)$ we can find a map $h' : R^n \to R^m$ such that $N + Rx \subset \text{Ker}(h')$ and $f$ factors through $h'$.
4. If $f : R^n \to M$ is a module map and $N \subset \text{Ker}(f)$ is a finitely generated submodule, then there are module maps $h : R^n \to R^m$ and $g : R^m \to M$ such that $f = g \circ h$ and $N \subset \text{Ker}(h)$.

Proof. That (1) is equivalent to (2) is just a reformulation of the equational criterion for flatness\(^7\). To show (2) implies (3), let $g : R^m \to M$ be the map such that $f$ factors as $f = g \circ h$. By (2) find $h'' : R^m \to R^{m'}$ such that $h''$ kills $h(x)$ and $g : R^m \to M$ factors through $h''$. Then taking $h' = h'' \circ h$ works. (3) implies (4) by induction on the number of generators of $N \subset \text{Ker}(f)$ in (4). Clearly (4) implies (2).

058E Lemma 80.2. Let $M$ be an $R$-module. Then $M$ is flat if and only if the following condition holds: if $P$ is a finitely presented $R$-module and $f : P \to M$ a module map, then there is a free finite $R$-module $F$ and module maps $h : P \to F$ and $g : F \to M$ such that $f = g \circ h$.

Proof. This is just a reformulation of condition (4) from Lemma 80.1.

058F Lemma 80.3. Let $M$ be an $R$-module. Then $M$ is flat if and only if the following condition holds: for every finitely presented $R$-module $P$, if $N \to M$ is a surjective $R$-module map, then the induced map $\text{Hom}_R(P, N) \to \text{Hom}_R(P, M)$ is surjective.

Proof. First suppose $M$ is flat. We must show that if $P$ is finitely presented, then given a map $f : P \to M$, it factors through the map $N \to M$. By Lemma 80.2 the map $f$ factors through a map $F \to M$ where $F$ is free and finite. Since $F$ is free, this map factors through $N \to M$. Thus $f$ factors through $N \to M$.

Conversely, suppose the condition of the lemma holds. Let $f : P \to M$ be a map from a finitely presented module $P$. Choose a free module $N$ with a surjection $N \to M$ onto $M$. Then $f$ factors through $N \to M$, and since $P$ is finitely generated,

\(^7\)In fact, a module map $f : R^n \to M$ corresponds to a choice of elements $x_1, x_2, \ldots, x_n$ of $M$ (namely, the images of the standard basis elements $e_1, e_2, \ldots, e_n$); furthermore, an element $x \in \text{Ker}(f)$ corresponds to a relation between these $x_1, x_2, \ldots, x_n$ (namely, the relation $\sum f_i x_i = 0$, where the $f_i$ are the coordinates of $x$). The module map $h$ (represented as an $m \times n$-matrix) corresponds to the matrix $(a_{ij})$ from Lemma 38.11, and the $y_i$ of Lemma 38.11 are the images of the standard basis vectors of $R^m$ under $g$. 
Theorem 80.4 (Lazard’s theorem). Let $M$ be an $R$-module. Then $M$ is flat if and only if it is the colimit of a directed system of free finite $R$-modules.

Proof. A colimit of a directed system of flat modules is flat, as taking directed colimits is exact and commutes with tensor product. Hence if $M$ is the colimit of a directed system of free finite modules then $M$ is flat.

For the converse, first recall that any module $M$ can be written as the colimit of a directed system of finitely presented modules, in the following way. Choose a surjection $f : R^I \to M$ for some set $I$, and let $K$ be the kernel. Let $E$ be the set of ordered pairs $(J,N)$ where $J$ is a finite subset of $I$ and $N$ is a finitely generated submodule of $R^J \cap K$. Then $E$ is made into a directed partially ordered set by defining $(J,N) \leq (J',N')$ if and only if $J \subset J'$ and $N \subset N'$. Define $M_e = R^J/N$ for $e = (J,N)$, and define $f_{ee'} : M_e \to M_{e'}$ to be the natural map for $e \leq e'$. Then $(M_e,f_{ee'})$ is a directed system and the natural maps $f_e : M_e \to M$ induce an isomorphism $\text{colim}_{e \in E} M_e \cong M$.

Now suppose $M$ is flat. Let $I = M \times \mathbb{Z}$, write $(x_i)$ for the canonical basis of $R^I$, and take in the above discussion $f : R^I \to M$ to be the map sending $x_i$ to the projection of $i$ onto $M$. To prove the theorem it suffices to show that the $e \in E$ such that $M_e$ is free form a cofinal subset of $E$. So let $e = (J,N) \in E$ be arbitrary. By Lemma 80.2 there is a free finite module $F$ and maps $h : R^J/N \to F$ and $g : F \to M$ such that the natural map $f_e : R^J/N \to M$ factors as $R^J/N \xrightarrow{h} F \xrightarrow{g} M$. We are going to realize $F$ as $M_{e'}$ for some $e' \geq e$.

Let $\{b_1, \ldots, b_n\}$ be a finite basis of $F$. Choose $n$ distinct elements $i_1, \ldots, i_n \in I$ such that $i_\ell \notin J$ for all $\ell$, and such that the image of $x_{i_\ell}$ under $f : R^I \to M$ equals the image of $b_\ell$ under $g : F \to M$. This is possible since every element of $M$ can be written as $f(x_i)$ for infinitely many distinct $i \in I$ (by our choice of $I$). Now let $J' = J \cup \{i_1, \ldots, i_n\}$, and define $R^{J'} \to F$ by $x_i \mapsto h(x_i)$ for $i \in J$ and $x_{i_\ell} \mapsto b_\ell$ for $\ell = 1, \ldots, n$. Let $N' = \text{Ker}(R^{J'} \to F)$. Observe:

1. The square

$$
\begin{array}{ccc}
R^{J'} & \longrightarrow & F \\
\downarrow & & \downarrow g \\
R^I & \longrightarrow & M
\end{array}
$$

is commutative, hence $N' \subset K = \text{Ker}(f)$;

2. $R^{J'} \to F$ is a surjection onto a free finite module, hence it splits and so $N'$ is finitely generated;

3. $J \subset J'$ and $N \subset N'$.

By (1) and (2) $e' = (J',N')$ is in $E$, by (3) $e' \geq e$, and by construction $M_{e'} = R^{J'}/N' \cong F$ is free.

81. Universally injective module maps
Next we discuss universally injective module maps, which are in a sense complementary to flat modules (see Lemma 81.5). We follow Lazard’s thesis [Laz69]; also see [Lam99].

**Definition 81.1.** Let \( f : M \rightarrow N \) be a map of \( R \)-modules. Then \( f \) is called universally injective if for every \( R \)-module \( Q \), the map \( f \otimes_R \text{id}_Q : M \otimes_R Q \rightarrow N \otimes_R Q \) is injective. A sequence \( 0 \rightarrow M_1 \rightarrow M_2 \rightarrow M_3 \rightarrow 0 \) of \( R \)-modules is called universally exact if it is exact and \( M_1 \rightarrow M_2 \) is universally injective.

**Example 81.2.** Examples of universally exact sequences.

1. A split short exact sequence is universally exact since tensoring commutes with taking direct sums.
2. The colimit of a directed system of universally exact sequences is universally exact. This follows from the fact that taking directed colimits is exact and that tensoring commutes with taking colimits. In particular the colimit of a directed system of split exact sequences is universally exact. We will see below that, conversely, any universally exact sequence arises in this way.

Next we give a list of criteria for a short exact sequence to be universally exact. They are analogues of criteria for flatness given above. Parts (3)-(6) below correspond, respectively, to the criteria for flatness given in Lemmas 38.11, 80.1, 80.3, and Theorem 80.4.

**Theorem 81.3.** Let

\[
0 \rightarrow M_1 \xrightarrow{f_1} M_2 \xrightarrow{f_2} M_3 \rightarrow 0
\]

be an exact sequence of \( R \)-modules. The following are equivalent:

1. The sequence \( 0 \rightarrow M_1 \rightarrow M_2 \rightarrow M_3 \rightarrow 0 \) is universally exact.
2. For every finitely presented \( R \)-module \( Q \), the sequence

\[
0 \rightarrow M_1 \otimes_R Q \rightarrow M_2 \otimes_R Q \rightarrow M_3 \otimes_R Q \rightarrow 0
\]

is exact.
3. Given elements \( x_i \in M_1 \) (\( i = 1, \ldots, n \)), \( y_j \in M_2 \) (\( j = 1, \ldots, m \)), and \( a_{ij} \in R \) (\( i = 1, \ldots, n, j = 1, \ldots, m \)) such that for all \( i \)

\[
f_1(x_i) = \sum_j a_{ij}y_j,
\]

there exists \( z_j \in M_1 \) (\( j = 1, \ldots, m \)) such that for all \( i \)

\[
x_i = \sum_j a_{ij}z_j.
\]
4. Given a commutative diagram of \( R \)-module maps

\[
\begin{array}{ccc}
R^n & \xrightarrow{R} & R^n \\
\downarrow & & \downarrow \\
M_1 & \xrightarrow{f_1} & M_2
\end{array}
\]

where \( m \) and \( n \) are integers, there exists a map \( R^n \rightarrow M_1 \) making the top triangle commute.
5. For every finitely presented \( R \)-module \( P \), the \( R \)-module map \( \text{Hom}_R(P, M_2) \rightarrow \text{Hom}_R(P, M_3) \) is surjective.
(6) The sequence $0 \to M_1 \to M_2 \to M_3 \to 0$ is the colimit of a directed system of split exact sequences of the form

$$0 \to M_1 \to M_{1,i} \to M_{3,i} \to 0$$

where the $M_{3,i}$ are finitely presented.

**Proof.** Obviously (1) implies (2).

Next we show (2) implies (3). Let $f_1(x_i) = \sum_j a_{ij} y_j$ be relations as in (3). Let $(d_j)$ be a basis for $R^n$, $(e_i)$ a basis for $R^n$, and $R^m \to R^n$ the map given by $d_j \mapsto \sum_i a_{ij} e_i$. Let $Q$ be the cokernel of $R^m \to R^n$. Then tensoring $R^m \to R^n \to Q \to 0$ by the map $f_1 : M_1 \to M_2$, we get a commutative diagram

$$
\begin{array}{ccc}
M_1^{\oplus m} & \longrightarrow & M_1^{\oplus n} \\
\downarrow & & \downarrow \\
M_2^{\oplus m} & \longrightarrow & M_2^{\oplus n}
\end{array}
\rightarrow 0
\begin{array}{ccc}
M_1^{\oplus n} & \longrightarrow & M_1 \otimes_R Q \\
\downarrow & & \downarrow \\
M_2^{\oplus n} & \longrightarrow & M_2 \otimes_R Q
\end{array} \longrightarrow 0
$$

where $M_1^{\oplus m} \to M_1^{\oplus n}$ is given by

$$(z_1, \ldots, z_m) \mapsto (\sum_j a_{1j} z_j, \ldots, \sum_j a_{nj} z_j),$$

and $M_2^{\oplus m} \to M_2^{\oplus n}$ is given similarly. We want to show $x = (x_1, \ldots, x_n) \in M_1^{\oplus n}$ is in the image of $M_1^{\oplus m} \to M_1^{\oplus n}$. By (2) the map $M_1 \otimes Q \to M_2 \otimes Q$ is injective, hence by exactness of the top row it is enough to show $x$ maps to 0 in $M_2 \otimes Q$, and so by exactness of the bottom row it is enough to show the image of $x$ in $M_2^{\oplus n}$ is in the image of $M_2^{\oplus m} \to M_2^{\oplus n}$. This is true by assumption.

Condition (4) is just a translation of (3) into diagram form.

Next we show (4) implies (5). Let $\varphi : P \to M_3$ be a map from a finitely presented $R$-module $P$. We must show that $\varphi$ lifts to a map $P \to M_2$. Choose a presentation of $P$,

$$R^n \xrightarrow{g_1} R^m \xrightarrow{g_2} P \to 0.$$

Using freeness of $R^n$ and $R^m$, we can construct $h_2 : R^m \to M_2$ and then $h_1 : R^n \to M_1$ such that the following diagram commutes

$$
\begin{array}{ccc}
R^n & \xrightarrow{g_1} & R^m & \xrightarrow{g_2} & P & \longrightarrow & 0 \\
\downarrow h_1 & & \downarrow h_2 & & \downarrow \varphi & & \\
0 & \xrightarrow{f_1} & M_1 & \xrightarrow{f_2} & M_2 & \xrightarrow{f_3} & M_3 & \longrightarrow & 0.
\end{array}
$$

By (4) there is a map $k_1 : R^m \to M_1$ such that $k_1 \circ g_1 = h_1$. Now define $h_2' : R^m \to M_2$ by $h_2' = h_2 - f_1 \circ k_1$. Then

$$h_2' \circ g_1 = h_2 \circ g_1 - f_1 \circ k_1 \circ g_1 = h_2 \circ g_1 - f_1 \circ h_1 = 0.$$  

Hence by passing to the quotient $h_2'$ defines a map $\varphi' : P \to M_2$ such that $\varphi' \circ g_2 = h_2'$. In a diagram, we have

$$
\begin{array}{ccc}
R^m & \xrightarrow{g_2} & P \\
\downarrow h_2' & \downarrow \varphi' & \downarrow \varphi \\
M_2 & \xrightarrow{f_2} & M_3.
\end{array}
$$
where the top triangle commutes. We claim that $\varphi'$ is the desired lift, i.e. that $f_2 \circ \varphi' = \varphi$. From the definitions we have
$$f_2 \circ \varphi' \circ g_2 = f_2 \circ h_2' = f_2 \circ h_2 - f_2 \circ f_1 \circ k_1 = f_2 \circ h_2 = \varphi \circ g_2.$$
Since $g_2$ is surjective, this finishes the proof.

Now we show (5) implies (6). Write $M_3$ as the colimit of a directed system of finitely presented modules $M_{3,i}$, see Lemma 8.12. Let $M_{2,i}$ be the fiber product of $M_{3,i}$ and $M_2$ over $M_3$—by definition this is the submodule of $M_2 \times M_{3,i}$ consisting of elements whose two projections onto $M_3$ are equal. Let $M_{1,i}$ be the kernel of the projection $M_{2,i} \to M_{3,i}$. Then we have a directed system of exact sequences
$$0 \to M_{1,i} \to M_{2,i} \to M_{3,i} \to 0,$$
and for each $i$ a map of exact sequences
$$0 \to M_1 \to M_2 \to M_3 \to 0$$
compatible with the directed system. From the definition of the fiber product $M_{2,i}$, it follows that the map $M_{1,i} \to M_1$ is an isomorphism. By (5) there is a map $M_{3,i} \to M_2$ lifting $M_{3,i} \to M_3$, and by the universal property of the fiber product this gives rise to a section of $M_{2,i} \to M_{3,i}$. Hence the sequences
$$0 \to M_{1,i} \to M_{2,i} \to M_{3,i} \to 0$$
split. Passing to the colimit, we have a commutative diagram
$$\begin{array}{ccc}
0 & \to & \text{colim } M_{1,i} \\
\downarrow & & \downarrow \\
0 & \to & M_1 \\
\downarrow & & \downarrow \\
\text{colim } M_{2,i} & \to & \text{colim } M_{3,i} \\
\downarrow & \cong & \downarrow \\
\text{colim } M_1 & \to & \text{colim } M_3 \\
\downarrow & & \downarrow \\
0 & \to & 0
\end{array}$$
with exact rows and outer vertical maps isomorphisms. Hence colim $M_{2,i} \to M_2$ is also an isomorphism and (6) holds.

Condition (6) implies (1) by Example 81.2 (2).

The previous theorem shows that a universally exact sequence is always a colimit of split short exact sequences. If the cokernel of a universally injective map is finitely presented, then in fact the map itself splits:

**Lemma 81.4.** Let
$$0 \to M_1 \to M_2 \to M_3 \to 0$$
be an exact sequence of $R$-modules. Suppose $M_3$ is of finite presentation. Then
$$0 \to M_1 \to M_2 \to M_3 \to 0$$
is universally exact if and only if it is split.

**Proof.** A split short exact sequence is always universally exact, see Example 81.2. Conversely, if the sequence is universally exact, then by Theorem 81.3 (5) applied to $P = M_3$, the map $M_2 \to M_3$ admits a section. □

The following lemma shows how universally injective maps are complementary to flat modules.
Lemma 81.5. Let $M$ be an $R$-module. Then $M$ is flat if and only if any exact sequence of $R$-modules

$$0 \to M_1 \to M_2 \to M \to 0$$

is universally exact.

Proof. This follows from Lemma 80.3 and Theorem 81.3 (5). $\square$

Example 81.6. Non-split and non-flat universally exact sequences.

(1) In spite of Lemma 81.4, it is possible to have a short exact sequence of $R$-modules

$$0 \to M_1 \to M_2 \to M_3 \to 0$$

that is universally exact but non-split. For instance, take $R = \mathbb{Z}$, let $M_1 = \bigoplus_{n=1}^{\infty} \mathbb{Z}$, let $M_2 = \prod_{n=1}^{\infty} \mathbb{Z}$, and let $M_3$ be the cokernel of the inclusion $M_1 \to M_2$. Then $M_1, M_2, M_3$ are all flat since they are torsion-free (More on Algebra, Lemma 22.11), so by Lemma 81.5,

$$0 \to M_1 \to M_2 \to M_3 \to 0$$

is universally exact. However there can be no section $s : M_3 \to M_2$. In fact, if $x$ is the image of $(2, 2^2, 2^3, \ldots) \in M_2$ in $M_3$, then any module map $s : M_3 \to M_2$ must kill $x$. This is because $x \in 2^n M_3$ for any $n \geq 1$, hence $s(x)$ is divisible by $2^n$ for all $n \geq 1$ and so must be 0.

(2) In spite of Lemma 81.5, it is possible to have a short exact sequence of $R$-modules

$$0 \to M_1 \to M_2 \to M_3 \to 0$$

that is universally exact but with $M_1, M_2, M_3$ all non-flat. In fact if $M$ is any non-flat module, just take the split exact sequence

$$0 \to M \to M \oplus M \to M \to 0.$$ 

For instance over $R = \mathbb{Z}$, take $M$ to be any torsion module.

(3) Taking the direct sum of an exact sequence as in (1) with one as in (2), we get a short exact sequence of $R$-modules

$$0 \to M_1 \to M_2 \to M_3 \to 0$$

that is universally exact, non-split, and such that $M_1, M_2, M_3$ are all non-flat.

Lemma 81.7. Let $0 \to M_1 \to M_2 \to M_3 \to 0$ be a universally exact sequence of $R$-modules, and suppose $M_2$ is flat. Then $M_1$ and $M_3$ are flat.

Proof. Let $0 \to N \to N' \to N'' \to 0$ be a short exact sequence of $R$-modules. Consider the commutative diagram

$$\begin{array}{cccc}
M_1 \otimes_R N & \longrightarrow & M_2 \otimes_R N & \longrightarrow & M_3 \otimes_R N \\
\downarrow & & \downarrow & & \downarrow \\
M_1 \otimes_R N' & \longrightarrow & M_2 \otimes_R N' & \longrightarrow & M_3 \otimes_R N' \\
\downarrow & & \downarrow & & \downarrow \\
M_1 \otimes_R N'' & \longrightarrow & M_2 \otimes_R N'' & \longrightarrow & M_3 \otimes_R N''
\end{array}$$
Let $M_2 \otimes N \to M_2 \otimes N'$ be injective. Clearly this implies that $M_1 \otimes N \to M_1 \otimes N'$ is injective and we see that $M_1$ is flat. In particular the left and middle columns give rise to short exact sequences. It follows from a diagram chase that the arrow $M_3 \otimes N \to M_3 \otimes N'$ is injective. Hence $M_3$ is flat. \hfill $\square$

**Lemma 81.8.** Let $R$ be a ring. Let $M \to M'$ be a universally injective $R$-module map. Then for any $R$-module $N$ the map $M \otimes_R N \to M' \otimes_R N$ is universally injective.

**Proof.** Omitted. \hfill $\square$

**Lemma 81.9.** Let $R$ be a ring. A composition of universally injective $R$-module maps is universally injective.

**Proof.** Omitted. \hfill $\square$

**Lemma 81.10.** Let $R$ be a ring. Let $M \to M'$ and $M' \to M''$ be $R$-module maps. If their composition $M \to M''$ is universally injective, then $M \to M'$ is universally injective.

**Proof.** Omitted. \hfill $\square$

**Lemma 81.11.** Let $R \to S$ be a faithfully flat ring map. Then $R \to S$ is universally injective as a map of $R$-modules. In particular $R \cap IS = I$ for any ideal $I \subset R$.

**Proof.** Let $N$ be an $R$-module. We have to show that $N \to N \otimes_R S$ is injective. As $S$ is faithfully flat as an $R$-module, it suffices to prove this after tensoring with $S$. Hence it suffices to show that $N \otimes_R S \to N \otimes_R S \otimes_R S$, $n \otimes s \mapsto n \otimes 1 \otimes s$ is injective. This is true because there is a retraction, namely, $n \otimes s \otimes s' \mapsto n \otimes ss'$. \hfill $\square$

**Lemma 81.12.** Let $R \to S$ be a ring map. Let $M \to M'$ be a map of $S$-modules. The following are equivalent

1. $M \to M'$ is universally injective as a map of $R$-modules,
2. for each prime $q$ of $S$ the map $M_q \to M'_q$ is universally injective as a map of $R$-modules,
3. for each maximal ideal $m$ of $S$ the map $M_m \to M'_m$ is universally injective as a map of $R$-modules,
4. for each prime $q$ of $S$ the map $M_q \to M'_q$ is universally injective as a map of $R_p$-modules, where $p$ is the inverse image of $q$ in $R$, and
5. for each maximal ideal $m$ of $S$ the map $M_m \to M'_m$ is universally injective as a map of $R_p$-modules, where $p$ is the inverse image of $m$ in $R$.

**Proof.** Let $N$ be an $R$-module. Let $q$ be a prime of $S$ lying over the prime $p$ of $R$. Then we have

$$(M \otimes_R N)_q = M_q \otimes_R N = M_q \otimes_{R_p} N_p.$$  

Moreover, the same thing holds for $M'$ and localization is exact. Also, if $N$ is an $R_p$-module, then $N_p = N$. Using this the equivalences can be proved in a straightforward manner.

For example, suppose that (5) holds. Let $K = \ker(M \otimes_R N \to M' \otimes_R N)$. By the remarks above we see that $K_m = 0$ for each maximal ideal $m$ of $S$. Hence $K = 0$ by Lemma [22.1]. Thus (1) holds. Conversely, suppose that (1) holds. Take
any \( q \subset S \) lying over \( p \subset R \). Take any module \( N \) over \( R_p \). Then by assumption \( \text{Ker}(M \otimes_R N \to M' \otimes_R N) = 0 \). Hence by the formulae above and the fact that \( N = N_p \) we see that \( \text{Ker}(M_q \otimes_{R_p} N \to M'_q \otimes_{R_p} N) = 0 \). In other words (4) holds. Of course (4) \( \Rightarrow \) (5) is immediate. Hence (1), (4) and (5) are all equivalent. We omit the proof of the other equivalences. \( \square \)

**Lemma 81.13.** Let \( \varphi : A \to B \) be a ring map. Let \( S \subset A \) and \( S' \subset B \) be multiplicative subsets such that \( \varphi(S) \subset S' \). Let \( M \to M' \) be a map of \( B \)-modules.

1. If \( M \to M' \) is universally injective as a map of \( A \)-modules, then \((S')^{-1} M \to (S')^{-1} M' \) is universally injective as a map of \( A \)-modules and as a map of \( S^{-1} A \)-modules.

2. If \( M \) and \( M' \) are \((S')^{-1} B \)-modules, then \( M \to M' \) is universally injective as a map of \( A \)-modules if and only if it is universally injective as a map of \( S^{-1} A \)-modules.

**Proof.** You can prove this using Lemma 81.12 but you can also prove it directly as follows. Assume \( M \to M' \) is \( A \)-universally injective. Let \( Q \) be an \( A \)-module. Then \( Q \otimes_A M \to Q \otimes_A M' \) is injective. Since localization is exact we see that \((S')^{-1}(Q \otimes_A M) \to (S')^{-1}(Q \otimes_A M') \) is injective. As \((S')^{-1}(Q \otimes_A M) = Q \otimes_A (S')^{-1}M \) and similarly for \( M' \) we see that \( Q \otimes_A (S')^{-1}M \to Q \otimes_A (S')^{-1}M' \) is injective, hence \((S')^{-1}M \to (S')^{-1}M' \) is universally injective as a map of \( A \)-modules. This proves the first part of (1). To see (2) we can use the following two facts: (a) if \( Q \) is an \( S^{-1} A \)-module, then \( Q \otimes_A S^{-1}A = Q \), i.e., tensoring with \( Q \) over \( A \) is the same thing as tensoring with \( Q \) over \( S^{-1} A \), (b) if \( M \) is any \( A \)-module on which the elements of \( S \) are invertible, then \( M \otimes_A Q = M \otimes_{S^{-1}A} S^{-1}Q \). Part (2) follows from this immediately. \( \square \)

**Lemma 81.14.** Let \( R \) be a ring and let \( M \to M' \) be a map of \( R \)-modules. If \( M' \) is flat, then \( M \to M' \) is universally injective if and only if \( M/IM \to M'/IM' \) is injective for every finitely generated ideal \( I \) of \( R \).

**Proof.** It suffices to show that \( M \otimes_R Q \to M' \otimes_R Q \) is injective for every finite \( R \)-module \( Q \), see Theorem 81.3. Then \( Q \) has a finite filtration \( 0 = Q_0 \subset Q_1 \subset \ldots \subset Q_n = Q \) by submodules whose subquotients are isomorphic to cyclic modules \( R/I_i \), see Lemma 5.4. Since \( M' \) is flat, we obtain a filtration

\[
\begin{array}{cccc}
M & \longrightarrow & M \otimes Q_1 & \longrightarrow & M \otimes Q_2 & \longrightarrow & \cdots & \longrightarrow & M \otimes Q \\
\downarrow & & \downarrow & & \downarrow & & \downarrow & & \downarrow \\
M' \otimes Q_1 & \longrightarrow & M' \otimes Q_2 & \longrightarrow & \cdots & \longrightarrow & M' \otimes Q \\
\end{array}
\]

of \( M' \otimes R Q \) by submodules \( M' \otimes R Q_i \) whose successive quotients are \( M' \otimes R I_i = M' / I_i M' \). A simple induction argument shows that it suffices to check \( M/IM \to M'/I_i M' \) is injective. Note that the collection of finitely generated ideals \( I_i' \subset I_i \) is a directed set. Thus \( M/IM = \text{colim} M/I_i'M \) is a filtered colimit, similarly for \( M' \), the maps \( M/I_i'M \to M'/I_i'M' \) are injective by assumption, and since filtered colimits are exact (Lemma 5.8) we conclude. \( \square \)

**82. Descent for finite projective modules**

In this section we give an elementary proof of the fact that the property of being a **finite** projective module descends along faithfully flat ring maps. The proof does not
apply when we drop the finiteness condition. However, the method is indicative
of the one we shall use to prove descent for the property of being a countably generated
projective module—see the comments at the end of this section.

Lemma 82.1. Let $M$ be an $R$-module. Then $M$ is finite projective if and only if
$M$ is finitely presented and flat.

Proof. This is part of Lemma 77.2. However, at this point we can give a more
elegant proof of the implication $(1) \Rightarrow (2)$ of that lemma as follows. If $M$ is finitely
presented and flat, then take a surjection $R^n \to M$. By Lemma 80.3 applied to
$P = M$, the map $R^n \to M$ admits a section. So $M$ is a direct summand of a free
module and hence projective.

Here are some properties of modules that descend.

Lemma 82.2. Let $R \to S$ be a faithfully flat ring map. Let $M$ be an $R$-module. Then

(1) if the $S$-module $M \otimes_R S$ is of finite type, then $M$ is of finite type,
(2) if the $S$-module $M \otimes_R S$ is of finite presentation, then $M$ is of finite pre-
sentation,
(3) if the $S$-module $M \otimes_R S$ is flat, then $M$ is flat, and
(4) add more here as needed.

Proof. Assume $M \otimes_R S$ is of finite type. Let $y_1, \ldots, y_m$ be generators of $M \otimes_R S$
over $S$. Write $y_j = \sum x_i \otimes f_i$ for some $x_1, \ldots, x_n \in M$. Then we see that the map
$\varphi : R^{\oplus n} \to M$ has the property that $\varphi \otimes \text{id}_S : S^{\oplus n} \to M \otimes_R S$ is surjective. Since
$R \to S$ is faithfully flat we see that $\varphi$ is surjective, and $M$ is finitely generated.

Assume $M \otimes_R S$ is of finite presentation. By (1) we see that $M$ is of finite type. Choose
a surjection $R^{\oplus n} \to M$ and denote $K$ the kernel. As $R \to S$ is flat we see that $K \otimes_R S$ is the kernel of the base change $S^{\oplus n} \to M \otimes_R S$. As $M \otimes_R S$ is of
finite presentation we conclude that $K \otimes_R S$ is of finite type. Hence by (1) we see
that $K$ is of finite type and hence $M$ is of finite presentation.

Part (3) is Lemma 38.8.

Proposition 82.3. Let $R \to S$ be a faithfully flat ring map. Let $M$ be an $R$-
module. If the $S$-module $M \otimes_R S$ is finite projective, then $M$ is finite projective.

Proof. Follows from Lemmas 82.1 and 82.2.

The next few sections are about removing the finiteness assumption by using dévis-
sage to reduce to the countably generated case. In the countably generated case,
the strategy is to find a characterization of countably generated projective modules
analogous to Lemma 82.1 and then to prove directly that this characterization
descends. We do this by introducing the notion of a Mittag-Leffler module and
proving that if a module $M$ is countably generated, then it is projective if and only
if it is flat and Mittag-Leffler (Theorem 92.3). When $M$ is finitely generated, this
statement reduces to Lemma 82.1 (since, according to Example 90.1 (1), a finitely
generated module is Mittag-Leffler if and only if it is finitely presented).
83. Transfinite dévissage of modules

In this section we introduce a dévissage technique for decomposing a module into a direct sum. The main result is that a projective module is a direct sum of countably generated modules (Theorem 83.5 below). We follow [Kap58].

Definition 83.1. Let $M$ be an $R$-module. A direct sum dévissage of $M$ is a family of submodules $(M_\alpha)_{\alpha \in S}$, indexed by an ordinal $S$ and increasing (with respect to inclusion), such that:

1. $0 = M_0$;
2. $M = \bigcup M_\alpha$;
3. if $\alpha \in S$ is a limit ordinal, then $M_\alpha = \bigcup_{\beta < \alpha} M_\beta$;
4. if $\alpha + 1 \in S$, then $M_\alpha$ is a direct summand of $M_{\alpha + 1}$.

If moreover

(4) $M_{\alpha + 1}/M_\alpha$ is countably generated for $\alpha + 1 \in S$,

then $(M_\alpha)_{\alpha \in S}$ is called a Kaplansky dévissage of $M$.

The terminology is justified by the following lemma.

Lemma 83.2. Let $M$ be an $R$-module. If $(M_\alpha)_{\alpha \in S}$ is a direct sum dévissage of $M$, then $M \cong \bigoplus_{\alpha \in S} M_{\alpha + 1}/M_\alpha$.

Proof. By property (3) of a direct sum dévissage, there is an inclusion $M_{\alpha + 1}/M_\alpha \to M$ for each $\alpha \in S$. Consider the map

$$f : \bigoplus_{\alpha \in S} M_{\alpha + 1}/M_\alpha \to M$$

given by the sum of these inclusions. Further consider the restrictions

$$f_\beta : \bigoplus_{\alpha + 1 \leq \beta} M_{\alpha + 1}/M_\alpha \to M$$

for $\beta \in S$. Transfinite induction on $S$ shows that the image of $f_\beta$ is $M_\beta$. For $\beta = 0$ this is true by (0). If $\beta + 1$ is a successor ordinal and it is true for $\beta$, then it is true for $\beta + 1$ by (3). And if $\beta$ is a limit ordinal and it is true for $\alpha < \beta$, then it is true for $\beta$ by (2). Hence $f$ is surjective by (1).

Transfinite induction on $S$ also shows that the restrictions $f_\beta$ are injective. For $\beta = 0$ it is true. If $\beta + 1$ is a successor ordinal and $f_\beta$ is injective, then let $x$ be in the kernel and write $x = (x_{\alpha + 1})_{\alpha + 1 \leq \beta + 1}$ in terms of its components $x_{\alpha + 1} \in M_{\alpha + 1}/M_\alpha$. By property (3) and the fact that the image of $f_\beta$ is $M_\beta$ both $(x_{\alpha + 1})_{\alpha + 1 \leq \beta}$ and $x_{\beta + 1}$ map to $0$. Hence $x_{\beta + 1} = 0$ and, by the assumption that the restriction $f_\beta$ is injective also $x_{\alpha + 1} = 0$ for every $\alpha + 1 \leq \beta$. So $x = 0$ and $f_{\beta + 1}$ is injective. If $\beta$ is a limit ordinal consider an element $x$ of the kernel. Then $x$ is already contained in the domain of $f_\alpha$ for some $\alpha < \beta$. Thus $x = 0$ which finishes the induction. We conclude that $f$ is injective since $f_\beta$ is for each $\beta \in S$.

Lemma 83.3. Let $M$ be an $R$-module. Then $M$ is a direct sum of countably generated $R$-modules if and only if it admits a Kaplansky dévissage.

Proof. The lemma takes care of the “if” direction. Conversely, suppose $M = \bigoplus_{i \in I} N_i$ where each $N_i$ is a countably generated $R$-module. Well-order $I$ so that we can think of it as an ordinal. Then setting $M_i = \bigoplus_{j \leq i} N_j$ gives a Kaplansky dévissage $(M_i)_{i \in I}$ of $M$. 

\[\square\]
058X Theorem 83.4. Suppose $M$ is a direct sum of countably generated $R$-modules. If $P$ is a direct summand of $M$, then $P$ is also a direct sum of countably generated $R$-modules.

Proof. Write $M = P \oplus Q$. We are going to construct a Kaplansky dévissage $(M_\alpha)_{\alpha \in S}$ of $M$ which, in addition to the defining properties (0)-(4), satisfies:

(5) Each $M_\alpha$ is a direct summand of $M$;
(6) $M_\alpha = P_\alpha \oplus Q_\alpha$, where $P_\alpha = P \cap M_\alpha$ and $Q = Q \cap M_\alpha$.

(Note: if properties (0)-(2) hold, then in fact property (3) is equivalent to property (5).)

To see how this implies the theorem, it is enough to show that $(P_\alpha)_{\alpha \in S}$ forms a Kaplansky dévissage of $P$. Properties (0), (1), and (2) are clear. By (5) and (6) for $(M_\alpha)$, each $P_\alpha$ is a direct sum of some subset of the $M_\beta$, each $M_\beta$ is countably generated because this is true of $M_\alpha$. We will construct an increasing family of submodules $M_\alpha$ of $M$, one for each ordinal $\alpha$, such that $M_\alpha$ is a direct sum of some subset of $Q_\alpha$.

For $\alpha = 0$ let $M_0 = 0$. If $\alpha$ is a limit ordinal and $M_\beta$ has been defined for all $\beta < \alpha$, then define $M_\alpha = \bigcup_{\beta < \alpha} M_\beta$. Since each $M_\beta$ for $\beta < \alpha$ is a direct sum of a subset of the $N_\beta$, the same will be true of $M_\alpha$. If $\alpha + 1$ is a successor ordinal and $M_\alpha$ has been defined, then define $M_{\alpha + 1}$ as follows. If $M_\alpha = M$, then let $M_{\alpha + 1} = M$. If not, choose the smallest $j \in I$ such that $N_j$ is not contained in $M_\alpha$. We will construct an infinite matrix $(x_{mn})$, $m, n = 1, 2, 3, \ldots$ such that:

(1) $N_j$ is contained in the submodule of $M$ generated by the entries $x_{mn}$;
(2) if we write any entry $x_{\ell \ell}$ in terms of its $P$- and $Q$-components, $x_{\ell \ell} = y_{\ell \ell} + z_{\ell \ell}$, then the matrix $(x_{mn})$ contains a set of generators for each $N_i$ for which $y_{\ell \ell}$ or $z_{\ell \ell}$ has nonzero component.

Then we define $M_{\alpha + 1}$ to be the submodule of $M$ generated by $M_\alpha$ and all $x_{mn}$; by property (2) of the matrix $(x_{mn})$, $M_{\alpha + 1}$ will be a direct sum of some subset of the $N_j$. To construct the matrix $(x_{mn})$, let $x_{11}, x_{12}, x_{13}, \ldots$ be a countable set of generators for $N_j$. Then if $x_{11} = y_{11} + z_{11}$ is the decomposition into $P$- and $Q$-components, let $x_{21}, x_{22}, x_{23}, \ldots$ be a countable set of generators for the sum of the $N_i$ for which $y_{11}$ or $z_{11}$ have nonzero component. Repeat this process on $x_{12}$ to get elements $x_{31}, x_{32}, \ldots$, the third row of our matrix. Repeat on $x_{21}$ to get the fourth row, on $x_{13}$ to get the fifth, and so on, going down along successive anti-diagonals as indicated below:

$$
\begin{pmatrix}
  x_{11} & x_{12} & x_{13} & x_{14} & \cdots \\
  x_{21} & x_{22} & x_{23} & & \cdots \\
  x_{31} & x_{32} & & & \cdots \\
  \vdots & \vdots & \vdots & \vdots & \ddots
\end{pmatrix}
$$
Transfinite induction on \( I \) (using the fact that we constructed \( M_{\alpha+1} \) to contain \( N_j \) for the smallest \( j \) such that \( N_j \) is not contained in \( M_\alpha \)) shows that for each \( i \in I \), \( N_i \) is contained in some \( M_\alpha \). Thus, there is some large enough ordinal \( S \) satisfying: for each \( i \in I \) there is \( \alpha \in S \) such that \( N_i \) is contained in \( M_\alpha \). This means \( (M_\alpha)_{\alpha \in S} \) satisfies property (1) of a Kaplansky dévissage of \( M \). The family \( (M_\alpha)_{\alpha \in S} \) moreover satisfies the other defining properties, and also (5) and (6) above: properties (0), (2), (4), and (6) are clear by construction; property (5) is true because each \( M_\alpha \) is by construction a direct sum of some \( N_i \); and (3) is implied by (5) and the fact that \( M_\alpha \subset M_{\alpha+1} \).

As a corollary we get the result for projective modules stated at the beginning of the section.

\[ \textbf{Theorem 83.5.} \] If \( P \) is a projective \( R \)-module, then \( P \) is a direct sum of countably generated projective \( R \)-modules.

\textbf{Proof.} A module is projective if and only if it is a direct summand of a free module, so this follows from Theorem \[83.4 \] \[ \square \]

84. Projective modules over a local ring

In this section we prove a very cute result: a projective module \( M \) over a local ring is free (Theorem \[84.4 \] below). Note that with the additional assumption that \( M \) is finite, this result is Lemma \[77.4 \] In general we have:

\[ \textbf{Lemma 84.1.} \] Let \( R \) be a ring. Then every projective \( R \)-module is free if and only if every countably generated projective \( R \)-module is free.

\textbf{Proof.} Follows immediately from Theorem \[83.5 \] \[ \square \]

Here is a criterion for a countably generated module to be free.

\[ \textbf{Lemma 84.2.} \] Let \( M \) be a countably generated \( R \)-module. Suppose any direct summand \( N \) of \( M \) satisfies: any element of \( N \) is contained in a free direct summand of \( N \). Then \( M \) is free.

\textbf{Proof.} Let \( x_1, x_2, \ldots \) be a countable set of generators for \( M \). By the assumption on \( M \), we can construct by induction free \( R \)-modules \( F_1, F_2, \ldots \) such that for every positive integer \( n \), \( \bigoplus_{i=1}^{n} F_i \) is a direct summand of \( M \) and contains \( x_1, \ldots, x_n \). Then \( M = \bigoplus_{i=1}^{\infty} F_i \). \[ \square \]

\[ \textbf{Lemma 84.3.} \] Let \( P \) be a projective module over a local ring \( R \). Then any element of \( P \) is contained in a free direct summand of \( P \).

\textbf{Proof.} Since \( P \) is projective it is a direct summand of some free \( R \)-module \( F \), say \( F = P \oplus Q \). Let \( x \in P \) be the element that we wish to show is contained in a free direct summand of \( P \). Let \( B \) be a basis of \( F \) such that the number of basis elements needed in the expression of \( x \) is minimal, say \( x = \sum_{i=1}^{n} a_i e_i \) for some \( e_i \in B \) and \( a_i \in R \). Then no \( a_j \) can be expressed as a linear combination of the other \( a_j \); for if \( a_j = \sum_{i \neq j} a_i b_i \) for some \( b_i \in R \), then replacing \( e_i \) by \( e_i + b_i e_j \) for \( i \neq j \) and leaving unchanged the other elements of \( B \), we get a new basis for \( F \) in terms of which \( x \) has a shorter expression.

Let \( e_i = y_i + z_i, y_i \in P, z_i \in Q \) be the decomposition of \( e_i \) into its \( P \)- and \( Q \)-components. Write \( y_i = \sum_{j=1}^{n} b_{ij} e_j + t_i \), where \( t_i \) is a linear combination of elements
The purpose of this section is to define Mittag-Leffler systems and why this is a useful notion.

Let \( (B, \iota) \) be a directed inverse system of sets or of modules indexed by \( I \), see Categories, Definition 21.4. This is a directed inverse system as we assumed \( I \) to be a directed set, see Categories, Definition 21.1. Let \( (A_i, \varphi_{ji}) : A_j \to A_i \) be an inverse system of sets or of modules indexed by \( I \), see Categories, Definition 21.4. This is a directed inverse system as we assumed \( I \) to be a directed set, see Categories, Definition 21.1. Let \( A_i' = \bigcap_{i \geq j} \varphi_{ji}(A_j) \). Then \( \varphi_{ji}(A_i') \subset A_i' \) for \( j \geq i \), hence by restricting we get a directed inverse system \( (A_i', \varphi_{ji}|_{A_i'}) \). From the construction of the limit of an inverse system in the category of sets or modules, we have \( \lim_{i \to \infty} A_i = \lim_{j \to \infty} A_j' \). The Mittag-Leffler condition on \( (A_i, \varphi_{ji}) \) is that \( A_i' \) equals \( \varphi_{ji}(A_j) \) for some \( j \geq i \) (and hence equals \( \varphi_{ki}(A_k) \) for all \( k \geq j \)).

**Definition 85.1.** Let \( (A_i, \varphi_{ji}) \) be a directed inverse system of sets over \( I \). Then we say \( (A_i, \varphi_{ji}) \) is Mittag-Leffler if for each \( i \in I \), the family \( \varphi_{ji}(A_j) \subset A_i \) for \( j \geq i \) stabilizes. Explicitly, this means that for each \( i \in I \), there exists \( j \geq i \) such that for \( k \geq j \) we have \( \varphi_{ki}(A_k) = \varphi_{ji}(A_j) \). If \( (A_i, \varphi_{ji}) \) is a directed inverse system of modules over a ring \( R \), we say that it is Mittag-Leffler if the underlying inverse system of sets is Mittag-Leffler.

**Example 85.2.** If \( (A_i, \varphi_{ji}) \) is a directed inverse system of sets or of modules and the maps \( \varphi_{ji} \) are surjective, then clearly the system is Mittag-Leffler. Conversely, suppose \( (A_i, \varphi_{ji}) \) is Mittag-Leffler. Let \( A_i' \subset A_i \) be the stable image of \( \varphi_{ji}(A_j) \) for \( j \geq i \). Then \( \varphi_{ji}|_{A_i'} : A_i' \to A_i' \) is surjective for \( j \geq i \) and \( \lim_{i \to \infty} A_i = \lim_{j \to \infty} A_j' \). Hence the limit of the Mittag-Leffler system \( (A_i, \varphi_{ji}) \) can also be written as the limit of a directed inverse system over \( I \) with surjective maps.

**Lemma 85.3.** Let \( (A_i, \varphi_{ji}) \) be a directed inverse system over \( I \). Suppose \( I \) is countable. If \( (A_i, \varphi_{ji}) \) is Mittag-Leffler and the \( A_i \) are nonempty, then \( \lim_{i \to \infty} A_i = \emptyset \).
**Proof.** Let \(i_1, i_2, i_3, \ldots\) be an enumeration of the elements of \(I\). Define inductively a sequence of elements \(j_n \in I\) for \(n = 1, 2, 3, \ldots\) by the conditions: \(j_1 = i_1\), and \(j_n \geq i_n\) and \(j_n \geq j_m\) for \(m < n\). Then the sequence \(j_n\) is increasing and forms a cofinal subset of \(I\). Hence we may assume \(I = \{1, 2, 3, \ldots\}\). So by Example 85.2 we are reduced to showing that the limit of an inverse system of nonempty sets with surjective maps indexed by the positive integers is nonempty. This is obvious. \(\square\)

The Mittag-Leffler condition will be important for us because of the following exactness property.

**Lemma 85.4.** Let

\[
0 \to A_i \xrightarrow{f_i} B_i \xrightarrow{g_i} C_i \to 0
\]

be an exact sequence of directed inverse systems of abelian groups over \(I\). Suppose \(I\) is countable. If \((A_i)\) is Mittag-Leffler, then

\[
0 \to \lim A_i \to \lim B_i \to \lim C_i \to 0
\]

is exact.

**Proof.** Taking limits of directed inverse systems is left exact, hence we only need to prove surjectivity of \(\lim B_i \to \lim C_i\). So let \((c_i) \in \lim C_i\). For each \(i \in I\), let \(E_i = g_i^{-1}(c_i)\), which is nonempty since \(g_i : B_i \to C_i\) is surjective. The system of maps \(\varphi_{ji} : B_j \to B_i\) for \((B_j)\) restrict to maps \(E_j \to E_i\) which make \((E_i)\) into an inverse system of nonempty sets. It is enough to show that \((E_i)\) is Mittag-Leffler. For then Lemma 85.3 would show \(\lim E_i\) is nonempty, and taking any element of \(\lim E_i\) would give an element of \(\lim B_i\) mapping to \((c_i)\).

By the injection \(f_i : A_i \to B_i\) we will regard \(A_i\) as a subset of \(B_i\). Since \((A_i)\) is Mittag-Leffler, if \(i \in I\) then there exists \(j \geq i\) such that \(\varphi_{ki}(A_k) = \varphi_{ji}(A_j)\) for \(k \geq j\). We claim that also \(\varphi_{ki}(E_k) = \varphi_{ji}(E_j)\) for \(k \geq j\). Always \(\varphi_{ki}(E_k) \subseteq \varphi_{ji}(E_j)\) for \(k \geq j\). For the reverse inclusion let \(e_j \in E_j\), and we need to find \(x_k \in E_k\) such that \(\varphi_{ki}(x_k) = \varphi_{ji}(e_j)\). Let \(e'_k \in E_k\) be any element, and set \(e'_j = \varphi_{kj}(e'_k)\). Then \(g_j(e_j - e'_j) = c_j - c_j = 0\), hence \(e_j - e'_j = a_j \in A_j\). Since \(\varphi_{ki}(A_k) = \varphi_{ji}(A_j)\), there exists \(a_k \in A_k\) such that \(\varphi_{ki}(a_k) = \varphi_{ji}(a_j)\). Hence

\[
\varphi_{ki}(e'_k + a_k) = \varphi_{ji}(e'_j) + \varphi_{ji}(a_j) = \varphi_{ji}(e_j),
\]

so we can take \(x_k = e'_k + a_k\). \(\square\)

### 86. Inverse systems

In many papers (and in this section) the term *inverse system* is used to indicate an inverse system over the partially ordered set \((\mathbb{N}, \geq)\). We briefly discuss such systems in this section. This material will be discussed more broadly in Homology, Section 29. Suppose we are given a ring \(R\) and a sequence of \(R\)-modules

\[
M_1 \xleftarrow{\varphi_{21}} M_2 \xleftarrow{\varphi_{32}} M_3 \leftarrow \ldots
\]

with maps as indicated. By composing successive maps we obtain maps \(\varphi_{ii'} : M_i \to M_{i'}\) whenever \(i \geq i'\) such that moreover \(\varphi_{ii''} = \varphi_{ii'} \circ \varphi_{i'i''}\) whenever \(i \geq i' \geq i''\). Conversely, given the system of maps \(\varphi_{ii'}\), we can set \(\varphi_i = \varphi_{i(i-1)}\) and recover the maps displayed above. In this case

\[
\lim M_i = \{(x_i) \in \prod M_i \mid \varphi_i(x_i) = x_{i-1}, \ i = 2, 3, \ldots\}
\]
compare with Categories, Section 15. As explained in Homology, Section 29 this is actually a limit in the category of $R$-modules, as defined in Categories, Section 14.

**Lemma 86.1.** Let $R$ be a ring. Let $0 \to K_i \to L_i \to M_i \to 0$ be short exact sequences of $R$-modules, $i \geq 1$ which fit into maps of short exact sequences

$$
\begin{array}{ccccccccc}
0 & \rightarrow & K_i & \rightarrow & L_i & \rightarrow & M_i & \rightarrow & 0 \\
\downarrow & & \downarrow & & \downarrow & & \downarrow & & \\
0 & \rightarrow & K_{i+1} & \rightarrow & L_{i+1} & \rightarrow & M_{i+1} & \rightarrow & 0
\end{array}
$$

If for every $i$ there exists a $c = c(i) \geq i$ such that $\text{Im}(K_c \to K_i) = \text{Im}(K_j \to K_i)$ for all $j \geq c$, then the sequence

$$0 \to \lim K_i \to \lim L_i \to \lim M_i \to 0$$

is exact.

**Proof.** This is a special case of the more general Lemma 85.4. □

### 87. Mittag-Leffler modules

A Mittag-Leffler module is (very roughly) a module which can be written as a directed limit whose dual is a Mittag-Leffler system. To be able to give a precise definition we need to do a bit of work.

**Definition 87.1.** Let $(M_i, f_{ij})$ be a directed system of $R$-modules. We say that $(M_i, f_{ij})$ is a Mittag-Leffler directed system of modules if each $M_i$ is an $R$-module of finite presentation and if for every $R$-module $N$, the inverse system

$$(\text{Hom}_R(M_i, N), \text{Hom}_R(f_{ij}, N))$$

is Mittag-Leffler.

We are going to characterize those $R$-modules that are colimits of Mittag-Leffler directed systems of modules.

**Definition 87.2.** Let $f : M \to N$ and $g : M \to M'$ be maps of $R$-modules. Then we say $g$ dominates $f$ if for any $R$-module $Q$, we have $\text{Ker}(f \otimes_R \text{id}_Q) \subset \text{Ker}(g \otimes_R \text{id}_Q)$.

It is enough to check this condition for finitely presented modules.

**Lemma 87.3.** Let $f : M \to N$ and $g : M \to M'$ be maps of $R$-modules. Then $g$ dominates $f$ if and only if for any finitely presented $R$-module $Q$, we have $\text{Ker}(f \otimes_R \text{id}_Q) \subset \text{Ker}(g \otimes_R \text{id}_Q)$.

**Proof.** Suppose $\text{Ker}(f \otimes_R \text{id}_Q) \subset \text{Ker}(g \otimes_R \text{id}_Q)$ for all finitely presented modules $Q$. If $Q$ is an arbitrary module, write $Q = \text{colim}_{i \in I} Q_i$ as a colimit of a directed system of finitely presented modules $Q_i$. Then $\text{Ker}(f \otimes_R \text{id}_{Q_i}) \subset \text{Ker}(g \otimes_R \text{id}_{Q_i})$ for all $i$. Since taking directed colimits is exact and commutes with tensor product, it follows that $\text{Ker}(f \otimes_R \text{id}_Q) \subset \text{Ker}(g \otimes_R \text{id}_Q)$. □

**Lemma 87.4.** Let $f : M \to N$ and $g : M \to M'$ be maps of $R$-modules. Consider the pushout of $f$ and $g$,

$$
\begin{array}{ccc}
M & \rightarrow & N \\
\downarrow & & \downarrow \\
M' & \rightarrow & N'
\end{array}
$$
Then \( g \) dominates \( f \) if and only if \( f' \) is universally injective.

**Proof.** Recall that \( N' \) is \( M' \oplus N \) modulo the submodule consisting of elements \( (g(x), -f(x)) \) for \( x \in M \). From the construction of \( N' \) we have a short exact sequence

\[
0 \to \text{Ker}(f) \cap \text{Ker}(g) \to \text{Ker}(f) \to \text{Ker}(f') \to 0.
\]

Since tensoring commutes with taking pushouts, we have such a short exact sequence

\[
0 \to \text{Ker}(f \otimes \text{id}_Q) \cap \text{Ker}(g \otimes \text{id}_Q) \to \text{Ker}(f \otimes \text{id}_Q) \to \text{Ker}(f' \otimes \text{id}_Q) \to 0
\]

for every \( R \)-module \( Q \). So \( f' \) is universally injective if and only if \( \text{Ker}(f \otimes \text{id}_Q) \subset \text{Ker}(g \otimes \text{id}_Q) \) for every \( Q \), if and only if \( g \) dominates \( f \).

The above definition of domination is sometimes related to the usual notion of domination of maps as the following lemma shows.

**Lemma 87.5.** Let \( f : M \to N \) and \( g : M \to M' \) be maps of \( R \)-modules. Suppose \( \text{Coker}(f) \) is of finite presentation. Then \( g \) dominates \( f \) if and only if \( g \) factors through \( f \), i.e., there exists a module map \( h : N \to M' \) such that \( g = h \circ f \).

**Proof.** Consider the pushout of \( f \) and \( g \) as in the statement of Lemma 87.4. From the construction of the pushout it follows that \( \text{Coker}(f') = \text{Coker}(f) \), so \( \text{Coker}(f') \) is of finite presentation. Then by Lemma 81.4 \( f' \) is universally injective if and only if

\[
0 \to M' \xrightarrow{f'} N' \to \text{Coker}(f') \to 0
\]

splits. This is the case if and only if there is a map \( h' : N' \to M' \) such that \( h' \circ f' = \text{id}_{M'} \). From the universal property of the pushout, the existence of such an \( h' \) is equivalent to \( g \) factoring through \( f \).

**Proposition 87.6.** Let \( M \) be an \( R \)-module. Let \((M_i, f_{ij})\) be a directed system of finitely presented \( R \)-modules, indexed by \( I \), such that \( M = \text{colim} M_i \). Let \( f_i : M_i \to M \) be the canonical map. The following are equivalent:

1. For every finitely presented \( R \)-module \( P \) and module map \( f : P \to M \), there exists a finitely presented \( R \)-module \( Q \) and a module map \( g : P \to Q \) such that \( g \) and \( f \) dominate each other, i.e., \( \text{Ker}(f \otimes \text{id}_N) = \text{Ker}(g \otimes \text{id}_N) \) for every \( R \)-module \( N \).
2. For each \( i \in I \), there exists \( j \geq i \) such that \( f_{ij} : M_i \to M_j \) dominates \( f_i : M_i \to M \).
3. For each \( i \in I \), there exists \( j \geq i \) such that \( f_{ij} : M_i \to M_j \) factors through \( f_{ik} : M_i \to M_k \) for all \( k \geq i \).
4. For every \( R \)-module \( N \), the inverse system \((\text{Hom}_R(M_i, N), \text{Hom}_R(f_{ij}, N))\) is Mittag-Leffler.
5. For \( N = \prod_{s \in I} M_s \), the inverse system \((\text{Hom}_R(M_i, N), \text{Hom}_R(f_{ij}, N))\) is Mittag-Leffler.

**Proof.** First we prove the equivalence of (1) and (2). Suppose (1) holds and let \( i \in I \). Corresponding to the map \( f_i : M_i \to M \), we can choose \( g : M_i \to Q \) as in (1). Since \( M_i \) and \( Q \) are of finite presentation, so is \( \text{Coker}(g) \). Then by Lemma 87.5 \( f_i : M_i \to M \) factors through \( g : M_i \to Q \), say \( f_i = h \circ g \) for some \( h : Q \to M \).
Then since $Q$ is finitely presented, $h$ factors through $M_j \to M$ for some $j \geq i$, say $h = f_j \circ h'$ for some $h' : Q \to M_j$. In total we have a commutative diagram

$$
\begin{array}{ccc}
P & \xrightarrow{f_j} & M \\
\uparrow g' & \quad & \uparrow g \\
M_i & \xrightarrow{f_{ij}} & M_j \\
\end{array}
$$

Thus $f_{ij}$ dominates $g$. But $g$ dominates $f_i$, so $f_{ij}$ dominates $f_i$.

Conversely, suppose (2) holds. Let $P$ be of finite presentation and $f : P \to M$ a module map. Then $f$ factors through $f_i : M_i \to M$ for some $i \in I$, say $f = f_i \circ g'$ for some $g' : P \to M_i$. Choose by (2) a $j \geq i$ such that $f_{ij}$ dominates $f_i$. We have a commutative diagram

$$
\begin{array}{ccc}
P & \xrightarrow{f} & M \\
\uparrow g' & \quad & \uparrow g \\
M_i & \xrightarrow{f_{ij}} & M_j \\
\end{array}
$$

From the diagram and the fact that $f_{ij}$ dominates $f_i$, we find that $f$ and $f_{ij} \circ g'$ dominate each other. Hence taking $g = f_{ij} \circ g' : P \to M_j$ works.

Next we prove (2) is equivalent to (3). Let $i \in I$. It is always true that $f_i$ dominates $f_k$ for $k \geq i$, since $f_i$ factors through $f_{ik}$. If (2) holds, choose $j \geq i$ such that $f_{ij}$ dominates $f_i$. Then since domination is a transitive relation, $f_{ij}$ dominates $f_{ik}$ for $k \geq i$. All $M_i$ are of finite presentation, so $\text{Coker}(f_{ik})$ is of finite presentation for $k \geq i$. By Lemma 87.5, $f_{ij}$ factors through $f_{ik}$ for all $k \geq i$. Thus (2) implies (3). On the other hand, if (3) holds then for any $R$-module $N$, $f_{ij} \otimes_R \text{id}_N$ factors through $f_{ik} \otimes_R \text{id}_N$ for $k \geq i$. So $\text{Ker}(f_{ik} \otimes_R \text{id}_N) \subset \text{Ker}(f_{ij} \otimes_R \text{id}_N)$ for $k \geq i$. But $\text{Ker}(f_{ij} \otimes_R \text{id}_N) : M_j \otimes_R N \to M \otimes_R N$ is the union of $\text{Ker}(f_{ik} \otimes_R \text{id}_N)$ for $k \geq i$. Thus $\text{Ker}(f_{ij} \otimes_R \text{id}_N) \subset \text{Ker}(f_{ij} \otimes_R \text{id}_N)$ for any $R$-module $N$, which by definition means $f_{ij}$ dominates $f_i$.

It is trivial that (3) implies (4) implies (5). We show (5) implies (3). Let $N = \prod_{s \in I} M_s$. If (5) holds, then given $i \in I$ choose $j \geq i$ such that

$$
\text{Im}(\text{Hom}(M_j, N) \to \text{Hom}(M_i, N)) = \text{Im}(\text{Hom}(M_k, N) \to \text{Hom}(M_i, N))
$$

for all $k \geq j$. Passing the product over $s \in I$ outside of the Hom’s and looking at the maps on each component of the product, this says

$$
\text{Im}(\text{Hom}(M_j, M_s) \to \text{Hom}(M_i, M_s)) = \text{Im}(\text{Hom}(M_k, M_s) \to \text{Hom}(M_i, M_s))
$$

for all $k \geq j$ and $s \in I$. Taking $s = j$ we have

$$
\text{Im}(\text{Hom}(M_j, M_j) \to \text{Hom}(M_i, M_j)) = \text{Im}(\text{Hom}(M_k, M_j) \to \text{Hom}(M_i, M_j))
$$

for all $k \geq j$. Since $f_{ij}$ is the image of $\text{id} \in \text{Hom}(M_j, M_j)$ under $\text{Hom}(M_j, M_j) \to \text{Hom}(M_i, M_j)$, this shows that for any $k \geq j$ there is $h \in \text{Hom}(M_k, M_j)$ such that $f_{ij} = h \circ f_{ik}$. If $j \geq k$ then we can take $h = f_{kj}$. Hence (3) holds. \qed
5CN **Definition 87.7.** Let $M$ be an $R$-module. We say that $M$ is Mittag-Leffler if the equivalent conditions of Proposition 87.6 hold.

In particular a finitely presented module is Mittag-Leffler.

59G **Remark 87.8.** Let $M$ be a flat $R$-module. By Lazard’s theorem (Theorem 80.4) we can write $M = \colim M_i$ as the colimit of a directed system $(M_i, f_{ij})$ where the $M_i$ are free finite $R$-modules. For $M$ to be Mittag-Leffler, it is enough for the inverse system of duals $(\text{Hom}_R(M_i, R), \text{Hom}_R(f_{ij}, R))$ to be Mittag-Leffler. This follows from criterion (4) of Proposition 87.6 and the fact that for a free finite $R$-module $F$, there is a functorial isomorphism $\text{Hom}_R(F, R) \otimes_R N \cong \text{Hom}_R(F, N)$ for any $R$-module $N$.

5CN **Lemma 87.9.** If $R$ is a ring and $M$, $N$ are Mittag-Leffler modules over $R$, then $M \otimes_R N$ is a Mittag-Leffler module.

**Proof.** Write $M = \colim_{i} M_i$ and $N = \colim_{j} N_j$ as directed colimits of finitely presented $R$-modules. Denote $f_{i'i} : M_i \to M_{i'}$ and $g_{j'j} : N_j \to N_{j'}$ the transition maps. Then $M_i \otimes_R N_j$ is a finitely presented $R$-module (see Lemma 11.14), and $M \otimes_R N = \colim_{(i,j) \in I \times J} M_i \otimes_R N_j$. Pick $(i, j) \in I \times J$. By the definition of a Mittag-Leffler module we have Proposition 87.6 (3) for both systems. In other words, there exist $i' \geq i$ and $j' \geq j$ such that for every choice of $i'' \geq i'$ and $j'' \geq j'$ there exist maps $a : M_{i''} \to M_{i'}$ and $b : M_{j''} \to M_{j'}$ such that $f_{i'i''} = a \circ f_{i'i'}$ and $g_{j''j'} = b \circ g_{jj'}$. Then it is clear that $a \otimes b : M_{i''} \otimes_R N_{j''} \to M_{i'} \otimes_R N_{j'}$ serves the same purpose for the system $(M_i \otimes_R N_j, f_{i'i'} \otimes g_{jj'})$. Thus by the characterization Proposition 87.6 (3) we conclude that $M \otimes_R N$ is Mittag-Leffler. □

5CP **Lemma 87.10.** Let $R$ be a ring and $M$ an $R$-module. Then $M$ is Mittag-Leffler if and only if for every finite free $R$-module $F$ and module map $f : F \to M$, there exists a finitely presented $R$-module $Q$ and a module map $g : F \to Q$ such that $g$ and $f$ dominate each other, i.e., $\text{Ker}(f) \otimes_R \text{id}_N = \text{Ker}(g) \otimes_R \text{id}_N$ for every $R$-module $N$.

**Proof.** Since the condition is clear weaker than condition (1) of Proposition 87.6 we see that a Mittag-Leffler module satisfies the condition. Conversely, suppose that $M$ satisfies the condition and that $f : P \to M$ is an $R$-module map from a finitely presented $R$-module $P$ into $M$. Choose a surjection $F \to P$ where $F$ is a finite free $R$-module. By assumption we can find a map $F \to Q$ where $Q$ is a finitely presented $R$-module such that $F \to Q$ and $F \to M$ dominate each other. In particular, the kernel of $F \to Q$ contains the kernel of $F \to P$, hence we obtain an $R$-module map $g : P \to Q$ such that $F \to Q$ is equal to the composition $F \to P \to Q$. Let $N$ be any $R$-module and consider the commutative diagram

$$
\begin{array}{ccc}
F \otimes_R N & \longrightarrow & Q \otimes_R N \\
\downarrow & & \downarrow \\
P \otimes_R N & \longrightarrow & M \otimes_R N
\end{array}
$$

By assumption the kernels of $F \otimes_R N \to Q \otimes_R N$ and $F \otimes_R N \to M \otimes_R N$ are equal. Hence, as $F \otimes_R N \to P \otimes_R N$ is surjective, also the kernels of $P \otimes_R N \to Q \otimes_R N$ and $P \otimes_R N \to M \otimes_R N$ are equal. □
05CQ Lemma 87.11. Let $R \to S$ be a finite and finitely presented ring map. Let $M$ be an $S$-module. If $M$ is a Mittag-Leffler module over $S$ then $M$ is a Mittag-Leffler module over $R$.

Proof. Assume $M$ is a Mittag-Leffler module over $S$. Write $M = \text{colim} M_i$ as a directed colimit of finitely presented $S$-modules $M_i$. As $M$ is Mittag-Leffler over $S$ there exists for each $i$ an index $j \geq i$ such that for all $k \geq j$ there is a factorization $f_{ij} = h \circ f_{ik}$ (where $h$ depends on $i$, the choice of $j$ and $k$). Note that by Lemma 35.23 the modules $M_i$ are also finitely presented as $R$-modules. Moreover, all the maps $f_{ij}, f_{ik}, h$ are maps of $R$-modules. Thus we see that the system $(M_i, f_{ij})$ satisfies the same condition when viewed as a system of $R$-modules. Thus $M$ is Mittag-Leffler as an $R$-module.

05CR Lemma 87.12. Let $R$ be a ring. Let $S = R/I$ for some finitely generated ideal $I$. Let $M$ be an $S$-module. Then $M$ is a Mittag-Leffler module over $R$ if and only if $M$ is a Mittag-Leffler module over $S$.

Proof. One implication follows from Lemma 87.11. To prove the other, assume $M$ is Mittag-Leffler as an $R$-module. Write $M = \text{colim} M_i$ as a directed colimit of finitely presented $S$-modules. As $I$ is finitely generated, the ring $S$ is finite and finitely presented as an $R$-algebra, hence the modules $M_i$ are finitely presented as $R$-modules, see Lemma 35.23. Next, let $N$ be any $S$-module. Note that for each $i$ we have $\text{Hom}_R(M_i, N) = \text{Hom}_S(M_i, N)$ as $R \to S$ is surjective. Hence the condition that the inverse system $(\text{Hom}_R(M_i, N))_i$ satisfies Mittag-Leffler, implies that the system $(\text{Hom}_S(M_i, N))_i$ satisfies Mittag-Leffler. Thus $M$ is Mittag-Leffler over $S$ by definition.

05CS Remark 87.13. Let $R \to S$ be a finite and finitely presented ring map. Let $M$ be an $S$-module which is Mittag-Leffler as an $R$-module. Then it is in general not the case that $M$ is Mittag-Leffler as an $S$-module. For example suppose that $S$ is the ring of dual numbers over $R$, i.e., $S = R \oplus R\epsilon$ with $\epsilon^2 = 0$. Then an $S$-module consists of an $R$-module $M$ endowed with a square zero $R$-linear endomorphism $\epsilon : M \to M$. Now suppose that $M_0$ is an $R$-module which is not Mittag-Leffler. Choose a presentation $F_1 \to F_0 \to M_0 \to 0$ with $F_1$ and $F_0$ free $R$-modules. Set $M = F_1 \oplus F_0$ with

$$\epsilon = \begin{pmatrix} 0 & 0 \\ u & 0 \end{pmatrix} : M \to M.$$  

Then $M/\epsilon M \cong F_1 \oplus M_0$ is not Mittag-Leffler over $R = S/\epsilon S$, hence not Mittag-Leffler over $S$ (see Lemma 87.12). On the other hand, $M/\epsilon M = M \otimes_S S/\epsilon S$ which would be Mittag-Leffler over $S$ if $M$ was, see Lemma 87.9.

88. Interchanging direct products with tensor

059H Let $M$ be an $R$-module and let $(Q_{\alpha})_{\alpha \in A}$ be a family of $R$-modules. Then there is a canonical map $M \otimes_R (\prod_{\alpha \in A} Q_{\alpha}) \to \prod_{\alpha \in A} (M \otimes_R Q_{\alpha})$ given on pure tensors by $x \otimes (q_{\alpha}) \mapsto (x \otimes q_{\alpha})$. This map is not necessarily injective or surjective, as the following example shows.

059I Example 88.1. Take $R = \mathbb{Z}$, $M = \mathbb{Q}$, and consider the family $Q_n = \mathbb{Z}/n$ for $n \geq 1$. Then $\prod_n (M \otimes Q_n) = 0$. However there is an injection $\mathbb{Q} \to M \otimes (\prod_n Q_n)$ obtained by tensoring the injection $\mathbb{Z} \to \prod_n Q_n$ by $M$, so $M \otimes (\prod_n Q_n)$ is nonzero. Thus $M \otimes (\prod Q_n) \to \prod (M \otimes Q_n)$ is not injective.
Let $R = \mathbb{Z}$, $M = \mathbb{Q}$, and let $Q_n = \mathbb{Z}$ for $n \geq 1$. The image of $M \otimes R (\prod_\alpha Q_\alpha) \to \prod_\alpha (M \otimes R Q_\alpha) = \prod_\alpha M$ consists precisely of sequences of the form $(a_n/m)_n$ with $a_n \in \mathbb{Z}$ and $m$ some nonzero integer. Hence the map is not surjective.

We determine below the precise conditions needed on $M$ for the map $M \otimes R (\prod_\alpha Q_\alpha) \to \prod_\alpha (M \otimes R Q_\alpha)$ to be surjective, bijective, or injective for all choices of $(Q_\alpha)_{\alpha \in A}$. This is relevant because the modules for which it is injective turn out to be exactly Mittag-Leffler modules (Proposition 88.5). In what follows, if $M$ is an $R$-module and $A$ a set, we write $M^A$ for the product $\prod_{\alpha \in A} M$.

**Proposition 88.2.** Let $M$ be an $R$-module. The following are equivalent:

1. $M$ is finitely generated.
2. For every family $(Q_\alpha)_{\alpha \in A}$ of $R$-modules, the canonical map $M \otimes R (\prod_\alpha Q_\alpha) \to \prod_\alpha (M \otimes R Q_\alpha)$ is surjective.
3. For every $R$-module $Q$ and every set $A$, the canonical map $M \otimes R Q^A \to (M \otimes R Q)^A$ is surjective.
4. For every set $A$, the canonical map $M \otimes R R^A \to M^A$ is surjective.

**Proof.** First we prove (1) implies (2). Choose a surjection $R^n \to M$ and consider the commutative diagram

$$
\begin{array}{ccc}
R^n \otimes R (\prod_\alpha Q_\alpha) & \xrightarrow{\cong} & \prod_\alpha (R^n \otimes R Q_\alpha) \\
\downarrow & & \downarrow \\
M \otimes R (\prod_\alpha Q_\alpha) & \longrightarrow & \prod_\alpha (M \otimes R Q_\alpha).
\end{array}
$$

The top arrow is an isomorphism and the vertical arrows are surjections. We conclude that the bottom arrow is a surjection.

Obviously (2) implies (3) implies (4), so it remains to prove (4) implies (1). In fact for (1) to hold it suffices that the element $d = (x)_{x \in M}$ of $M^M$ is in the image of the map $f : M \otimes R R^M \to M^M$. In this case $d = \sum_{i=1}^n f(x_i \otimes a_i)$ for some $x_i \in M$ and $a_i \in R^M$. If for $x \in M$ we write $p_x : M^M \to M$ for the projection onto the $x$-th factor, then

$$
x = p_x(d) = \sum_{i=1}^n p_x(f(x_i \otimes a_i)) = \sum_{i=1}^n p_x(a_i)x_i.
$$

Thus $x_1, \ldots, x_n$ generate $M$. □

**Proposition 88.3.** Let $M$ be an $R$-module. The following are equivalent:

1. $M$ is finitely presented.
2. For every family $(Q_\alpha)_{\alpha \in A}$ of $R$-modules, the canonical map $M \otimes R (\prod_\alpha Q_\alpha) \to \prod_\alpha (M \otimes R Q_\alpha)$ is bijective.
3. For every $R$-module $Q$ and every set $A$, the canonical map $M \otimes R Q^A \to (M \otimes R Q)^A$ is bijective.
4. For every set $A$, the canonical map $M \otimes R R^A \to M^A$ is bijective.
**Proof.** First we prove (1) implies (2). Choose a presentation \( R^n \to R^m \to M \) and consider the commutative diagram

\[
\begin{array}{ccc}
R^m \otimes_R (\prod_{\alpha} Q_\alpha) & \longrightarrow & R^n \otimes_R (\prod_{\alpha} Q_\alpha) \\
\cong & & \cong \\
\prod_{\alpha}(R^m \otimes_R Q_\alpha) & \longrightarrow & \prod_{\alpha}(R^n \otimes_R Q_\alpha)
\end{array}
\]

Then there exists a finitely presented homomorphism \( f : P \to M \) such that \( f \) factors through \( f' \) and \( x \in \text{Ker}(P \otimes Q \to M \otimes Q) \).

**Lemma 88.4.** Let \( M \) be an \( R \)-module, \( P \) a finitely presented \( R \)-module, and \( f : P \to M \) a map. Let \( Q \) be an \( R \)-module and suppose \( x \in \text{Ker}(P \otimes Q \to M \otimes Q) \). Then there exists a finitely presented \( R \)-module \( P' \) and a map \( f' : P \to P' \) such that \( f \) factors through \( f' \) and \( x \in \text{Ker}(P \otimes Q \to P' \otimes Q) \).

**Proof.** Write \( M \) as a colimit \( M = \text{colim}_{i \in I} M_i \) of a directed system of finitely presented modules \( M_i \). Since \( P \) is finitely presented, the map \( f : P \to M \) factors through \( M_j \to M \) for some \( j \in I \). Upon tensoring by \( Q \) we have a commutative diagram

\[
\begin{array}{ccc}
P \otimes Q & \longrightarrow & M \otimes Q \\
\downarrow & & \downarrow \\
M_j \otimes Q & \longrightarrow & M \otimes Q.
\end{array}
\]

The image \( y \) of \( x \) in \( M_j \otimes Q \) is in the kernel of \( M_j \otimes Q \to M \otimes Q \). Since \( M \otimes Q = \text{colim}_{i \in I}(M_i \otimes Q) \), this means \( y \) maps to 0 in \( M_{j'} \otimes Q \) for some \( j' \geq j \). Thus we may take \( P' = M_{j'} \) and \( f' \) to be the composite \( P \to M_j \to M_{j'} \).

059M **Proposition 88.5.** Let \( M \) be an \( R \)-module. The following are equivalent:

1. \( M \) is Mittag-Leffler.
2. For every family \( (Q_\alpha)_{\alpha \in A} \) of \( R \)-modules, the canonical map \( M \otimes_R (\prod_{\alpha} Q_\alpha) \to \prod_{\alpha}(M \otimes_R Q_\alpha) \) is injective.

**Proof.** First we prove (1) implies (2). Suppose \( M \) is Mittag-Leffler and let \( x \) be in the kernel of \( M \otimes_R (\prod_{\alpha} Q_\alpha) \to \prod_{\alpha}(M \otimes_R Q_\alpha) \). Write \( M \) as a colimit
\[ M = \text{colim}_{i \in I} M_i \] of a directed system of finitely presented modules \( M_i \). Then \( M \otimes_R (\prod Q_\alpha) \) is the colimit of \( M_i \otimes_R (\prod Q_\alpha) \). So \( x \) is the image of an element \( x_i \in M_i \otimes_R (\prod Q_\alpha) \). We must show that \( x_i \) maps to 0 in \( M_j \otimes_R (\prod Q_\alpha) \) for some \( j \geq i \). Since \( M \) is Mittag-Leffler, we may choose \( j \geq i \) such that \( M_i \to M_j \) and \( M_i \to M \) dominate each other. Then consider the commutative diagram

\[
\begin{array}{ccc}
M \otimes_R (\prod Q_\alpha) & \longrightarrow & \prod Q_\alpha (M \otimes_R Q_\alpha) \\
M_i \otimes_R (\prod Q_\alpha) & \overset{\cong}{\longrightarrow} & \prod Q_\alpha (M_i \otimes_R Q_\alpha) \\
M_j \otimes_R (\prod Q_\alpha) & \overset{\cong}{\longrightarrow} & \prod Q_\alpha (M_j \otimes_R Q_\alpha)
\end{array}
\]

whose bottom two horizontal maps are isomorphisms, according to Proposition \[88.3\]. Since \( x_i \) maps to 0 in \( \prod Q_\alpha (M \otimes_R Q_\alpha) \), its image in \( \prod Q_\alpha (M_i \otimes_R Q_\alpha) \) is in the kernel of the map \( \prod Q_\alpha (M_i \otimes_R Q_\alpha) \to \prod Q_\alpha (M \otimes_R Q_\alpha) \). But this kernel equals the kernel of \( \prod Q_\alpha (M_i \otimes_R Q_\alpha) \to \prod Q_\alpha (M_j \otimes_R Q_\alpha) \) according to the choice of \( j \). Thus \( x_i \) maps to 0 in \( \prod Q_\alpha (M_j \otimes_R Q_\alpha) \) and hence to 0 in \( M_j \otimes_R (\prod Q_\alpha) \).

Now suppose (2) holds. We prove \( M \) satisfies formulation (1) of being Mittag-Leffler from Proposition \[87.6\]. Let \( f : P \to M \) be a map from a finitely presented module \( P \) to \( M \). Choose a set \( B \) of representatives of the isomorphism classes of finitely presented \( R \)-modules. Let \( A \) be the set of pairs \((Q, x)\) where \( Q \in B \) and \( x \in \text{Ker}(P \otimes_R Q \to M \otimes_R Q) \). For \( \alpha = (Q, x) \in A \), we write \( Q_\alpha \) for \( Q \) and \( x_\alpha \) for \( x \). Consider the commutative diagram

\[
\begin{array}{ccc}
M \otimes_R (\prod Q_\alpha) & \longrightarrow & \prod Q_\alpha (M \otimes_R Q_\alpha) \\
P \otimes_R (\prod Q_\alpha) & \overset{\cong}{\longrightarrow} & \prod Q_\alpha (P \otimes_R Q_\alpha)
\end{array}
\]

The top arrow is an injection by assumption, and the bottom arrow is an isomorphism by Proposition \[88.3\]. Let \( x \in P \otimes_R (\prod Q_\alpha) \) be the element corresponding to \( (x_\alpha) \in \prod Q_\alpha (P \otimes_R Q_\alpha) \) under this isomorphism. Then \( x \in \text{Ker}(P \otimes_R (\prod Q_\alpha) \to M \otimes_R (\prod Q_\alpha)) \) since the top arrow in the diagram is injective. By Lemma \[88.4\] we get a finitely presented module \( P' \) and a map \( f' : P \to P' \) such that \( f : P \to M \) factors through \( f' \) and \( x \in \text{Ker}(P \otimes_R (\prod Q_\alpha) \to P' \otimes_R (\prod Q_\alpha)) \). We have a commutative diagram

\[
\begin{array}{ccc}
P' \otimes_R (\prod Q_\alpha) & \overset{\cong}{\longrightarrow} & \prod Q_\alpha (P' \otimes_R Q_\alpha) \\
P \otimes_R (\prod Q_\alpha) & \overset{\cong}{\longrightarrow} & \prod Q_\alpha (P \otimes_R Q_\alpha)
\end{array}
\]

where both the top and bottom arrows are isomorphisms by Proposition \[88.3\]. Thus since \( x \) is in the kernel of the left vertical map, \( (x_\alpha) \) is in the kernel of the right vertical map. This means \( x_\alpha \in \text{Ker}(P \otimes_R Q_\alpha \to P' \otimes_R Q_\alpha) \) for every \( \alpha \in A \). By the definition of \( A \) this means \( \text{Ker}(P \otimes_R Q \to P' \otimes_R Q) \supset \text{Ker}(P \otimes_R Q \to M \otimes_R Q) \).
for all finitely presented Q and, since f : P → M factors through f' : P → P', actually equality holds. By Lemma 87.3 f and f' dominate each other. □

**Lemma 88.6.** Let M be a flat Mittag-Leffler module over R. Let F be an R-module and let x ∈ F ⊗_R M. Then there exists a smallest submodule F' ⊂ F such that x ∈ F' ⊗_R M.

**Proof.** Since M is flat we have F' ⊗_R M ⊂ F ⊗_R M if F' ⊂ F is a submodule, hence the statement makes sense. Let I = {F' ⊂ F | x ∈ F' ⊗_R M} and for i ∈ I denote F_i ⊂ F the corresponding submodule. Then x maps to zero under the map

\[ F ⊗_R M \rightarrow \prod (F/F_i ⊗_R M) \]

whence by Proposition 88.5 x maps to zero under the map

\[ F ⊗_R M \rightarrow (\prod F/F_i) ⊗_R M \]

Since M is flat the kernel of this arrow is (∩ F_i) ⊗_R M which proves the lemma. □

**Lemma 88.7.** Let 0 → M_1 → M_2 → M_3 → 0 be a universally exact sequence of R-modules. Then:

1. If M_2 is Mittag-Leffler, then M_1 is Mittag-Leffler.
2. If M_1 and M_3 are Mittag-Leffler, then M_2 is Mittag-Leffler.

**Proof.** For any family \((Q_α)_{α ∈ A}\) of R-modules we have a commutative diagram

\[
\begin{array}{cccccc}
0 & \rightarrow & M_1 ⊗_R (\prod_α Q_α) & \rightarrow & M_2 ⊗_R (\prod_α Q_α) & \rightarrow & M_3 ⊗_R (\prod_α Q_α) & \rightarrow & 0 \\
& \downarrow & \downarrow & \downarrow & \downarrow & \downarrow & \downarrow & \downarrow & \\
0 & \rightarrow & \prod_α (M_1 ⊗ Q_α) & \rightarrow & \prod_α (M_2 ⊗ Q_α) & \rightarrow & \prod_α (M_3 ⊗ Q_α) & \rightarrow & 0
\end{array}
\]

with exact rows. Thus (1) and (2) follow from Proposition 88.5 □

**Lemma 88.8.** Let M_1 → M_2 → M_3 → 0 be an exact sequence of R-modules. If M_1 is finitely generated and M_2 is Mittag-Leffler, then M_3 is Mittag-Leffler.

**Proof.** For any family \((Q_α)_{α ∈ A}\) of R-modules, since tensor product is right exact, we have a commutative diagram

\[
\begin{array}{cccccc}
M_1 ⊗_R (\prod_α Q_α) & \rightarrow & M_2 ⊗_R (\prod_α Q_α) & \rightarrow & M_3 ⊗_R (\prod_α Q_α) & \rightarrow & 0 \\
\downarrow & \downarrow & \downarrow & \downarrow & \downarrow & \downarrow & \\
\prod_α (M_1 ⊗ Q_α) & \rightarrow & \prod_α (M_2 ⊗ Q_α) & \rightarrow & \prod_α (M_3 ⊗ Q_α) & \rightarrow & 0
\end{array}
\]

with exact rows. By Proposition 88.2 the left vertical arrow is surjective. By Proposition 88.5 the middle vertical arrow is injective. A diagram chase shows the right vertical arrow is injective. Hence M_3 is Mittag-Leffler by Proposition 88.5. □

**Lemma 88.9.** If M = colim M_i is the colimit of a directed system of Mittag-Leffler R-modules M_i with universally injective transition maps, then M is Mittag-Leffler.

**Proof.** Let \((Q_α)_{α ∈ A}\) be a family of R-modules. We have to show that M ⊗_R (\prod Q_α) → \prod M ⊗_R Q_α is injective and we know that M_i ⊗_R (\prod Q_α) → \prod M_i ⊗_R Q_α is injective for each i, see Proposition 88.5. Since ⊗ commutes with filtered colimits, it suffices to show that \prod M_i ⊗_R Q_α → \prod M ⊗_R Q_α is injective. This is clear as
each of the maps $M_i \otimes_R Q_\alpha \to M \otimes_R Q_\alpha$ is injective by our assumption that the transition maps are universally injective. □

**Lemma 88.10.** If $M = \bigoplus_{i \in I} M_i$ is a direct sum of $R$-modules, then $M$ is Mittag-Leffler if and only if each $M_i$ is Mittag-Leffler.

**Proof.** The “only if” direction follows from Lemma 88.7 (1) and the fact that a split short exact sequence is universally exact. The converse follows from Lemma 88.9 but we can also argue it directly as follows. First note that if $I$ is finite then this follows from Lemma 88.7 (2). For general $I$, if all $M_i$ are Mittag-Leffler then we prove the same of $M$ by verifying condition (1) of Proposition 87.6. Let $f : P \to M$ be a map from a finitely presented module $P$. Then $f$ factors as $P \xrightarrow{f'} \bigoplus_{i' \in I'} M_{i'} \hookrightarrow \bigoplus_{i \in I} M_i$ for some finite subset $I'$ of $I$. By the finite case $\bigoplus_{i' \in I'} M_{i'}$ is Mittag-Leffler and hence there exists a finitely presented module $Q$ and a map $g : P \to Q$ such that $g$ and $f'$ dominate each other. Then also $g$ and $f$ dominate each other. □

**Lemma 88.11.** Let $R \to S$ be a ring map. Let $M$ be an $S$-module. If $S$ is Mittag-Leffler as an $R$-module, and $M$ is flat and Mittag-Leffler as an $S$-module, then $M$ is Mittag-Leffler as an $R$-module.

**Proof.** We deduce this from the characterization of Proposition 88.5. Namely, suppose that $Q_\alpha$ is a family of $R$-modules. Consider the composition

$$
\begin{align*}
M \otimes_R \prod_\alpha Q_\alpha &= M \otimes_S S \otimes_R \prod_\alpha Q_\alpha \\
\downarrow & \\
M \otimes_S \prod_\alpha (S \otimes_R Q_\alpha) & \\
\downarrow & \\
\prod_\alpha (M \otimes_S R Q_\alpha) &= \prod_\alpha (M \otimes_R Q_\alpha)
\end{align*}
$$

The first arrow is injective as $M$ is flat over $S$ and $S$ is Mittag-Leffler over $R$ and the second arrow is injective as $M$ is Mittag-Leffler over $S$. Hence $M$ is Mittag-Leffler over $R$. □

## 89. Coherent rings

We use the discussion on interchanging $\prod$ and $\otimes$ to determine for which rings products of flat modules are flat. It turns out that these are the so-called coherent rings. You may be more familiar with the notion of a coherent $\mathcal{O}_X$-module on a ringed space, see Modules, Section 12.

**Definition 89.1.** Let $R$ be a ring. Let $M$ be an $R$-module.

1. We say $M$ is a coherent module if it is finitely generated and every finitely generated submodule of $M$ is finitely presented over $R$.
2. We say $R$ is a coherent ring if it is coherent as a module over itself.

Thus a ring is coherent if and only if every finitely generated ideal is finitely presented as a module.
Example 89.2. A valuation ring is a coherent ring. Namely, every nonzero finitely generated ideal is principal (Lemma 49.15), hence free as a valuation ring is a domain, hence finitely presented.

The category of coherent modules is abelian.

Lemma 89.3. Let $R$ be a ring.

1. A finite submodule of a coherent module is coherent.
2. Let $\varphi : N \to M$ be a homomorphism from a finite module to a coherent module. Then $\ker(\varphi)$ is finite.
3. Let $\varphi : N \to M$ be a homomorphism of coherent modules. Then $\ker(\varphi)$ and $\coker(\varphi)$ are coherent modules.
4. Given a short exact sequence of $R$-modules $0 \to M_1 \to M_2 \to M_3 \to 0$ if two out of three are coherent so is the third.

Proof. The first statement is immediate from the definition. During the rest of the proof we will use the results of Lemma 5.3 without further mention.

Let $\varphi : N \to M$ satisfy the assumptions of (2). Suppose that $N$ is generated by $x_1, \ldots, x_n$. By Definition 89.1 the kernel $K$ of the induced map $R^{\oplus n} \to M$, $e_i \mapsto \varphi(x_i)$ is of finite type. Hence $\ker(\varphi)$ which is the image of the composition $K \to R^{\oplus n} \to N$ is of finite type. This proves (2).

Let $\varphi : N \to M$ satisfy the assumptions of (3). By (2) the kernel of $\varphi$ is of finite type and hence by (1) it is coherent.

With the same hypotheses let us show that $\coker(\varphi)$ is coherent. Since $M$ is finite so is $\ker(\varphi)$. Let $\overline{x_i} \in \coker(\varphi)$. We have to show that the kernel of the associated morphism $\overline{\varphi} : R^{\oplus m} \to \coker(\varphi)$ is finite. Choose $x_i \in M$ lifting $\overline{x_i}$. Choose additionally generators $y_1, \ldots, y_m$ of $\image(\varphi)$. Let $\Phi : R^{\oplus m} \to \image(\varphi)$ using $y_j$ and $\Psi : R^{\oplus m} \oplus R^{\oplus n} \to M$ using $y_j$ and $x_i$ be the corresponding maps. Consider the following commutative diagram

\[
\begin{array}{ccccccccc}
0 & \longrightarrow & R^{\oplus m} & \longrightarrow & R^{\oplus m} \oplus R^{\oplus n} & \longrightarrow & R^{\oplus n} & \longrightarrow & 0 \\
\downarrow & & \downarrow \Phi & & \downarrow \Psi & & \downarrow \Psi & & \\
0 & \longrightarrow & \image(\varphi) & \longrightarrow & M & \longrightarrow & \coker(\varphi) & \longrightarrow & 0
\end{array}
\]

with exact rows. By Lemma 4.1 we get an exact sequence $\ker(\overline{\varphi}) \to \ker(\overline{\varphi}) \to 0$. Since $\ker(\overline{\varphi})$ is a finite $R$-module, we see that $\ker(\overline{\varphi})$ is finite.

Statement (4) follows from (3).

Let $0 \to M_1 \to M_2 \to M_3 \to 0$ be a short exact sequence of $R$-modules. It suffices to prove that if $M_1$ and $M_3$ are coherent so is $M_2$. By Lemma 5.3 we see that $M_2$ is finite. Let $x_1, \ldots, x_n$ be finitely many elements of $M_2$. We have to show that the module of relations $K$ between them is finite. Consider the following commutative diagram

\[
\begin{array}{ccccccccc}
0 & \longrightarrow & 0 & \longrightarrow & \bigoplus_{i=1}^n R & \longrightarrow & \bigoplus_{i=1}^n R & \longrightarrow & 0 \\
\downarrow & & \downarrow & & \downarrow & & \downarrow & & \\
0 & \longrightarrow & M_1 & \longrightarrow & M_2 & \longrightarrow & M_3 & \longrightarrow & 0
\end{array}
\]
with obvious notation. By the snake lemma we get an exact sequence 0 → K → K3 → M1 where K3 is the module of relations among the images of the xi in M3. Since M3 is coherent we see that K3 is a finite module. Since M1 is coherent we see that the image I of K3 → M1 is coherent. Hence K is the kernel of the map K3 → I between a finite module and a coherent module and hence finite by (2).

Lemma 89.4. Let R be a ring. If R is coherent, then a module is coherent if and only if it is finitely presented.

Proof. It is clear that a coherent module is finitely presented (over any ring). Conversely, if R is coherent, then R^n is coherent and so is the cokernel of any map R^n → R^n, see Lemma 89.3.

Lemma 89.5. A Noetherian ring is a coherent ring.

Proof. By Lemma 30.4 any finite R-module is finitely presented. In particular any ideal of R is finitely presented.

Proposition 89.6. Let R be a ring. The following are equivalent

1. R is coherent,
2. any product of flat R-modules is flat, and
3. for every set A the module RA is flat.

Proof. Assume R coherent, and let Qα, α ∈ A be a set of flat R-modules. We have to show that I ⊗R ∐Qα → ∐Qα is injective for every finitely generated ideal I of R, see Lemma 88.5. Since R is coherent I is an R-module of finite presentation. Hence I ⊗R ∐Qα = ∐I ⊗R Qα by Proposition 88.3. The desired injectivity follows as I ⊗R Qα → Qα is injective by flatness of Qα.

The implication (2) ⇒ (3) is trivial.

Assume that the R-module RA is flat for every set A. Let I be a finitely generated ideal in R. Then I ⊗R RA → RA is injective by assumption. By Proposition 88.2 and the finiteness of I the image is equal to I^A. Hence I ⊗R RA = I^A for every set A and we conclude that I is finitely presented by Proposition 88.3.

90. Examples and non-examples of Mittag-Leffler modules

We end this section with some examples and non-examples of Mittag-Leffler modules.

Example 90.1. Mittag-Leffler modules.

1. Any finitely presented module is Mittag-Leffler. This follows, for instance, from Proposition 87.6 (1). In general, it is true that a finitely generated module is Mittag-Leffler if and only it is finitely presented. This follows from Propositions 88.2, 88.3, and 88.5.

2. A free module is Mittag-Leffler since it satisfies condition (1) of Proposition 87.6.

3. By the previous example together with Lemma 88.10 projective modules are Mittag-Leffler.

We also want to add to our list of examples power series rings over a Noetherian ring R. This will be a consequence the following lemma.

Lemma 90.2. Let M be a flat R-module. The following are equivalent
(1) $M$ is Mittag-Leffler, and
(2) if $F$ is a finite free $R$-module and $x \in F \otimes_R M$, then there exists a smallest submodule $F'$ of $F$ such that $x \in F' \otimes_R M$.

**Proof.** The implication (1) $\Rightarrow$ (2) is a special case of Lemma 88.6 Assume (2).

By Theorem 80.4 we can write $M$ as the colimit $M = \operatorname{colim}_{i \in I} M_i$ of a directed system $(M_i, f_{ij})$ of finite free $R$-modules. By Remark 87.8 it suffices to show that the inverse system $(\operatorname{Hom}_R(M_i, R), \operatorname{Hom}_R(f_{ij}, R))$ is Mittag-Leffler. In other words, fix $i \in I$ and for $j \geq i$ let $Q_j$ be the image of $\operatorname{Hom}_R(M_j, R) \to \operatorname{Hom}_R(M_i, R)$; we must show that the $Q_j$ stabilize.

Since $M_i$ is free and finite, we can make the identification $\operatorname{Hom}_R(M_i, M_j) = \operatorname{Hom}_R(M_i, R) \otimes_R M_j$ for all $j$. Using the fact that the $M_j$ are free, it follows that for $j \geq i$, $Q_j$ is the smallest submodule of $\operatorname{Hom}_R(M_i, R)$ such that $f_{ij} \in Q_j \otimes_R M_j$. Under the identification $\operatorname{Hom}_R(M_i, M) = \operatorname{Hom}_R(M_i, R) \otimes_R M$, the canonical map $f_i : M_i \to M$ is in $\operatorname{Hom}_R(M_i, R) \otimes_R M$. By the assumption on $M$, there exists a smallest submodule $Q$ of $\operatorname{Hom}_R(M_i, R)$ such that $f_i \in Q \otimes_R M$. We are going to show that the $Q_j$ stabilize to $Q$.

For $j \geq i$ we have a commutative diagram

$$
\begin{array}{ccc}
Q_j \otimes_R M_j & \longrightarrow & \operatorname{Hom}_R(M_i, R) \otimes_R M_j \\
\downarrow & & \downarrow \\
Q_j \otimes_R M & \longrightarrow & \operatorname{Hom}_R(M_i, R) \otimes_R M.
\end{array}
$$

Since $f_{ij} \in Q_j \otimes_R M_j$ maps to $f_i \in \operatorname{Hom}_R(M_i, R) \otimes_R M$, it follows that $f_i \in Q_j \otimes_R M$. Hence, by the choice of $Q$, we have $Q \subset Q_j$ for all $j \geq i$.

Since the $Q_j$ are decreasing and $Q \subset Q_j$ for all $j \geq i$, to show that the $Q_j$ stabilize to $Q$ it suffices to find a $j \geq i$ such that $Q_j \subset Q$. As an element of $\operatorname{Hom}_R(M_i, R) \otimes_R M = \operatorname{colim}_{j \in J}(\operatorname{Hom}_R(M_i, R) \otimes_R M_j)$, $f_i$ is the colimit of $f_{ij}$ for $j \geq i$, and $f_i$ also lies in the submodule $\operatorname{colim}_{j \in J}(Q \otimes_R M_j) \subset \operatorname{colim}_{j \in J}(\operatorname{Hom}_R(M_i, R) \otimes_R M_j)$.

It follows that for some $j \geq i$, $f_{ij}$ lies in $Q \otimes_R M_j$. Since $Q_j$ is the smallest submodule of $\operatorname{Hom}_R(M_i, R)$ with $f_{ij} \in Q_j \otimes_R M_j$, we conclude $Q_j \subset Q$. \hfill $\square$

**Lemma 90.3.** Let $R$ be a Noetherian ring and $A$ a set. Then $M = R^A$ is a flat and Mittag-Leffler $R$-module.

**Proof.** Combining Lemma 89.5 and Proposition 89.6 we see that $M$ is flat over $R$. We show that $M$ satisfies the condition of Lemma 90.2. Let $F$ be a free finite $R$-module. If $F'$ is any submodule of $F$ then it is finitely presented since $R$ is Noetherian. So by Proposition 88.3 we have a commutative diagram

$$
\begin{array}{ccc}
F' \otimes_R M & \longrightarrow & F \otimes_R M \\
\downarrow \cong & & \downarrow \cong \\
(F')^A & \longrightarrow & F^A
\end{array}
$$
Let it turns out that countably generated Mittag-Leffler modules have a particularly non-Mittag-Leffler modules.

Lemma 90.4. Let \( R \) be a Noetherian ring and \( n \) a positive integer. Then the \( R \)-module \( M = R[[t_1, \ldots, t_n]] \) is flat and Mittag-Leffler.

Proof. As an \( R \)-module, we have \( M = R^A \) for a (countable) set \( A \). Hence this lemma is a special case of Lemma 90.3.

Example 90.5. Non Mittag-Leffler modules.

1. By Example 88.1 and Proposition 88.5, \( \mathbb{Q} \) is not a Mittag-Leffler \( \mathbb{Z} \)-module.
2. We prove below (Theorem 92.3) that for a flat and countably generated module, projectivity is equivalent to being Mittag-Leffler. Thus any flat, countably generated, non-projective module \( M \) is an example of a non-Mittag-Leffler module. For such an example, see Remark 77.3.
3. Let \( k \) be a field. Let \( R = k[[x]] \). The \( R \)-module \( M = \prod_{n \in \mathbb{N}} R/(x^n) \) is not Mittag-Leffler. Namely, consider the element \( \xi = (\xi_1, \xi_2, \xi_3, \ldots) \) defined by \( \xi_2^m = x^{2m-1} \) and \( \xi_n = 0 \) else, so \( \xi = (0, x, 0, x^2, 0, 0, 0, x^4, 0, 0, 0, 0, 0, 0, x^8, \ldots) \).

Then the annihilator of \( \xi \) in \( M/x^2^m M \) is generated \( x^{2m-1} \) for \( m \gg 0 \). But if \( M \) was Mittag-Leffler, then there would exist a finite \( R \)-module \( Q \) and an element \( \xi' \in Q \) such that the annihilator of \( \xi' \) in \( Q/x^l Q \) agrees with the annihilator of \( \xi \) in \( M/x^l M \) for all \( l \geq 1 \), see Proposition 87.6 (1). Now you can prove there exists an integer \( a \geq 0 \) such that the annihilator of \( \xi' \) in \( Q/x^l Q \) is generated by either \( x^a \) or \( x^{l-a} \) for all \( l \gg 0 \) (depending on whether \( \xi' \in Q \) is torsion or not). The combination of the above would give for all \( l = 2^m \gg 0 \) the equality \( a = l/2 \) or \( l-a = l/2 \) which is nonsensical.
4. The same argument shows that \( (x) \)-adic completion of \( \bigoplus_{n \in \mathbb{N}} R/(x^n) \) is not Mittag-Leffler over \( R = k[[x]] \) (hint: \( \xi \) is actually an element of this completion).
5. Let \( R = k[a, b]/(a^2, ab, b^2) \). Let \( S \) be the finitely presented \( R \)-algebra with presentation \( S = R[t]/(at-b) \). Then as an \( R \)-module \( S \) is countably generated and indecomposable (details omitted). On the other hand, \( R \) is Artinian local, hence complete local, hence a henselian local ring, see Lemma 148.9. If \( S \) was Mittag-Leffler as an \( R \)-module, then it would be a direct sum of finite \( R \)-modules by Lemma 148.13. Thus we conclude that \( S \) is not Mittag-Leffler as an \( R \)-module.

91. Countably generated Mittag-Leffler modules

It turns out that countably generated Mittag-Leffler modules have a particularly simple structure.

Lemma 91.1. Let \( M \) be an \( R \)-module. Write \( M = \operatorname{colim}_{i \in I} M_i \) where \( (M_i, f_{ij}) \) is a directed system of finitely presented \( R \)-modules. If \( M \) is Mittag-Leffler and countably generated, then there is a directed countable subset \( I' \subset I \) such that \( M \cong \operatorname{colim}_{i \in I'} M_i \).
**Proof.** Let $x_1, x_2, \ldots$ be a countable set of generators for $M$. For each $x_n$ choose $i \in I$ such that $x_n$ is in the image of the canonical map $f_i : M_i \to M$; let $I'_0 \subset I$ be the set of all these $i$. Now since $M$ is Mittag-Leffler, for each $i \in I'_0$ we can choose $j \in I$ such that $j \geq i$ and $f_{ij} : M_i \to M_j$ factors through $f_{ik} : M_i \to M_k$ for all $k \geq i$ (condition (3) of Proposition 87.6); let $I'_1$ be the union of $I'_0$ with all of these $j$. Since $I'_1$ is a countable, we can enlarge it to a countable directed set $I'_2 \subset I$. Now we can apply the same procedure to $I'_2$ as we did to $I'_0$ to get a new countable set $I'_3 \subset I$. Then we enlarge $I'_3$ to a countable directed set $I'_4$. Continuing in this way—adding in a $j$ as in Proposition 87.6 (3) for each $i \in I'_4$ if $\ell$ is odd and enlarging $I'_4$ to a directed set if $\ell$ is even—we get a sequence of subsets $I'_\ell \subset I$ for $\ell \geq 0$. The union $I' = \bigcup I'_\ell$ satisfies:

1. $I'$ is countable and directed;
2. each $x_n$ is in the image of $f_i : M_i \to M$ for some $i \in I'$;
3. if $i \in I'$, then there is an $j \in I'$ such that $j \geq i$ and $f_{ij} : M_i \to M_j$ factors through $f_{ik} : M_i \to M_k$ for all $k \in I$ with $k \geq i$. In particular, $\text{Ker}(f_{ik}) \subset \text{Ker}(f_{ij})$ for $k \geq i$.

We claim that the canonical map $\text{colim}_{i \in I'} M_i \to \text{colim}_{i \in I} M_i = M$ is an isomorphism. By (2) it is surjective. For injectivity, suppose $x \in \text{colim}_{i \in I'} M_i$ maps to 0 in $\text{colim}_{i \in I} M_i$. Representing $x$ by an element $\tilde{x} \in M_i$ for some $i \in I'$, this means that $f_{ik}(\tilde{x}) = 0$ for some $k \in I, k \geq i$. But then by (3) there is $j \in I', j \geq i$, such that $f_{ij}(\tilde{x}) = 0$. Hence $x = 0$ in $\text{colim}_{i \in I'} M_i$. □

**Lemma 91.1.** implies that a countably generated Mittag-Leffler module $M$ over $R$ is the colimit of a system

$$M_1 \to M_2 \to M_3 \to M_4 \to \ldots$$

with each $M_n$ a finitely presented $R$-module. To see this argue as in the proof of Lemma 85.3 to see that a countable directed set has a cofinal subset isomorphic to $\mathbb{N}$. Suppose $R = k[x_1, x_2, x_3, \ldots]$ and $M = R/(x_i)$. Then $M$ is finitely generated but not finitely presented, hence not Mittag-Leffler (see Example 90.1 part (1)). But of course you can write $M = \text{colim}_n M_n$ by taking $M_n = R/(x_1, \ldots, x_n)$, hence the condition that you can write $M$ as such a limit does not imply that $M$ is Mittag-Leffler.

**Lemma 91.2.** Let $R$ be a ring. Let $M$ be an $R$-module. Assume $M$ is Mittag-Leffler and countably generated. For any $R$-module map $f : P \to M$ with $P$ finitely generated there exists an endomorphism $\alpha : M \to M$ such that

1. $\alpha : M \to M$ factors through a finitely presented $R$-module, and
2. $\alpha \circ f = f$.

**Proof.** Write $M = \text{colim}_{i \in I} M_i$ as a directed colimit of finitely presented $R$-modules with $I$ countable, see Lemma 91.1. The transition maps are denoted $f_{ij}$ and we use $f_i : M_i \to M$ to denote the canonical maps into $M$. Set $N = \bigprod_{s \in I} M_s$. Denote

$$M_i^* = \text{Hom}_R(M_i, N) = \prod_{s \in I} \text{Hom}_R(M_i, M_s)$$

so that $(M_i^*)$ is an inverse system of $R$-modules over $I$. Note that $\text{Hom}_R(M, N) = \lim M_i^*$. As $M$ is Mittag-Leffler, we find for every $i \in I$ an index $k(i) \geq i$ such that

$$E_i := \bigcap_{i' \geq i} \text{Im}(M_{i'}^* \to M_i^*) = \text{Im}(M_{k(i)}^* \to M_i^*)$$
Choose and fix \( j \in I \) such that \( \text{Im}(P \to M) \subset \text{Im}(M_j \to M) \). This is possible as \( P \) is finitely generated. Set \( k = k(j) \). Let \( x = (0, \ldots, 0, \text{id}_{M_k}, 0, \ldots, 0) \in M_k^* \) and note that this maps to \( y = (0, \ldots, 0, f_{jk}, 0, \ldots, 0) \in M_j^* \). By our choice of \( k \) we see that \( y \in E_j \). By Example 85.2 the transition maps \( E_i \to E_j \) are surjective for each \( i \geq j \) and \( \lim E_i = \lim M_i^* = \text{Hom}_R(M, N) \). Hence Lemma 85.3 guarantees there exists an element \( z \in \text{Hom}_R(M, N) \) which maps to \( y \) in \( E_j \subset M_j^* \). Let \( z_k \) be the \( k \)th component of \( z \). Then \( z_k : M \to M_k \) is a homomorphism such that

\[
\begin{array}{ccc}
M & \xrightarrow{z_k} & M_k \\
f_j & & f_{jk} \\
\downarrow & & \downarrow \\
M_j & & \\
\end{array}
\]

commutes. Let \( \alpha : M \to M \) be the composition \( f_k \circ z_k : M \to M_k \to M \). Then \( \alpha \) factors through a finitely presented module by construction and \( \alpha \circ f_j = f_j \). Since the image of \( f \) is contained in the image of \( f_j \), this also implies that \( \alpha \circ f = f \). \qed

We will see later (see Lemma 148.13) that Lemma 91.2 means that a countably generated Mittag-Leffler module over a henselian local ring is a direct sum of finitely presented modules.

### 92. Characterizing projective modules

**Lemma 92.1.** Let \( M \) be an \( R \)-module. If \( M \) is flat, Mittag-Leffler, and countably generated, then \( M \) is projective.

**Proof.** By Lazard’s theorem (Theorem 80.4), we can write \( M = \text{colim}_{i \in I} M_i \) for a directed system of finite free \( R \)-modules \( (M_i, f_{ij}) \) indexed by a set \( I \). By Lemma 91.1 we may assume \( I \) is countable. Now let

\[
0 \to N_1 \to N_2 \to N_3 \to 0
\]

be an exact sequence of \( R \)-modules. We must show that applying \( \text{Hom}_R(M, -) \) preserves exactness. Since \( M_i \) is finite free,

\[
0 \to \text{Hom}_R(M_i, N_1) \to \text{Hom}_R(M_i, N_2) \to \text{Hom}_R(M_i, N_3) \to 0
\]

is exact for each \( i \). Since \( M \) is Mittag-Leffler, \( (\text{Hom}_R(M_i, N_1)) \) is a Mittag-Leffler inverse system. So by Lemma 85.3

\[
0 \to \lim_{i \in I} \text{Hom}_R(M_i, N_1) \to \lim_{i \in I} \text{Hom}_R(M_i, N_2) \to \lim_{i \in I} \text{Hom}_R(M_i, N_3) \to 0
\]

is exact. But for any \( R \)-module \( N \) there is a functorial isomorphism \( \text{Hom}_R(M, N) \cong \lim_{i \in I} \text{Hom}_R(M_i, N) \), so

\[
0 \to \text{Hom}_R(M, N_1) \to \text{Hom}_R(M, N_2) \to \text{Hom}_R(M, N_3) \to 0
\]

is exact. \qed

**Remark 92.2.** Lemma 92.1 does not hold without the countable generation assumption. For example, the \( \mathbb{Z} \)-module \( M = \mathbb{Z}[[x]] \) is flat and Mittag-Leffler but not projective. It is Mittag-Leffler by Lemma 90.4. Subgroups of free abelian groups are free, hence a projective \( \mathbb{Z} \)-module is in fact free and so are its submodules.
Thus to show $M$ is not projective it suffices to produce a non-free submodule. Fix a prime $p$ and consider the submodule $N$ consisting of power series $f(x) = \sum a_i x^i$ such that for every integer $m \geq 1$, $p^m$ divides $a_i$ for all but finitely many $i$. Then $\sum a_i p^m x^i$ is in $N$ for all $a_i \in \mathbb{Z}$, so $N$ is uncountable. Thus if $N$ were free it would have uncountable rank and the dimension of $N/pN$ over $\mathbb{Z}/p$ would be uncountable. This is not true as the elements $x^i \in N/pN$ for $i \geq 0$ span $N/pN$.

**Theorem 92.3.** Let $M$ be an $R$-module. Then $M$ is projective if and only it satisfies:

1. $M$ is flat,
2. $M$ is Mittag-Leffler,
3. $M$ is a direct sum of countably generated $R$-modules.

**Proof.** First suppose $M$ is projective. Then $M$ is a direct summand of a free module, so $M$ is flat and Mittag-Leffler since these properties pass to direct summands. By Kaplansky’s theorem (Theorem 83.5), $M$ satisfies (3).

Conversely, suppose $M$ satisfies (1)-(3). Since being flat and Mittag-Leffler passes to direct summands, $M$ is a direct sum of flat, Mittag-Leffler, countably generated $R$-modules. Lemma 92.1 implies $M$ is a direct sum of projective modules. Hence $M$ is projective. □

**Lemma 92.4.** Let $f : M \to N$ be universally injective map of $R$-modules. Suppose $M$ is a direct sum of countably generated $R$-modules, and suppose $N$ is flat and Mittag-Leffler. Then $M$ is projective.

**Proof.** By Lemmas 81.7 and 88.7, $M$ is flat and Mittag-Leffler, so the conclusion follows from Theorem 92.3. □

**Lemma 92.5.** Let $R$ be a Noetherian ring and let $M$ be an $R$-module. Suppose $M$ is a direct sum of countably generated $R$-modules, and suppose there is a universally injective map $M \to R[[t_1, \ldots, t_n]]$ for some $n$. Then $M$ is projective.

**Proof.** Follows from Lemmas 92.4 and 90.4. □

### 93. Ascending properties of modules

All of the properties of a module in Theorem 92.3 ascend along arbitrary ring maps:

**Lemma 93.1.** Let $R \to S$ be a ring map. Let $M$ be an $R$-module. Then:

1. If $M$ is flat, then the $S$-module $M \otimes_R S$ is flat.
2. If $M$ is Mittag-Leffler, then the $S$-module $M \otimes_R S$ is Mittag-Leffler.
3. If $M$ is a direct sum of countably generated $R$-modules, then the $S$-module $M \otimes_R S$ is a direct sum of countably generated $S$-modules.
4. If $M$ is projective, then the $S$-module $M \otimes_R S$ is projective.

**Proof.** All are obvious except (2). For this, use formulation (3) of being Mittag-Leffler from Proposition 87.6 and the fact that tensoring commutes with taking colimits. □
94. Descending properties of modules

We address the faithfully flat descent of the properties from Theorem 92.3 that characterize projectivity. In the presence of flatness, the property of being a Mittag-Leffler module descends:

**Lemma 94.1.** Let \( R \to S \) be a faithfully flat ring map. Let \( M \) be an \( R \)-module. If the \( S \)-module \( M \otimes_R S \) is Mittag-Leffler, then \( M \) is Mittag-Leffler.

**Proof.** Write \( M = \text{colim}_{i \in I} M_i \) as a directed colimit of finitely presented \( R \)-modules \( M_i \). Using Proposition 87.6, we see that we have to prove that for each \( i \in I \) there exists \( j \geq i \) such that \( M_i \to M_j \) dominates \( M_i \to M \).

Take \( N \) the pushout

\[
\begin{array}{c}
M_i \\
\downarrow \\
M \\
\downarrow \\
M \otimes_R S \\
\downarrow \\
N \otimes_R S
\end{array}
\]

Then the lemma is equivalent to the existence of \( j \) such that \( M_j \to N \) is universally injective, see Lemma 87.4. Observe that the tensorization by \( S \)

\[
\begin{array}{c}
M_i \otimes_R S \\
\downarrow \\
M \otimes_R S \\
\downarrow \\
N \otimes_R S
\end{array}
\]

Is a pushout diagram. So because \( M \otimes_R S = \text{colim}_{i \in I} M_i \otimes_R S \) expresses \( M \otimes_R S \) as a colimit of \( S \)-modules of finite presentation, and \( M \otimes_R S \) is Mittag-Leffler, there exists \( j \geq i \) such that \( M_j \otimes_R S \to N \otimes_R S \) is universally injective. So using that \( R \to S \) is faithfully flat we conclude that \( M_j \to N \) is universally injective too. \( \square \)

At this point the faithfully flat descent of countably generated projective modules follows easily.

**Lemma 94.2.** Let \( R \to S \) be a faithfully flat ring map. Let \( M \) be an \( R \)-module. If the \( S \)-module \( M \otimes_R S \) is countably generated and projective, then \( M \) is countably generated and projective.

**Proof.** Follows from Lemma 82.2, Lemma 94.1, the fact that countable generation descends, and Theorem 92.3. \( \square \)

All that remains is to use dévissage to reduce descent of projectivity in the general case to the countably generated case. First, two simple lemmas.

**Lemma 94.3.** Let \( R \to S \) be a ring map, let \( M \) be an \( R \)-module, and let \( Q \) be a countably generated \( S \)-submodule of \( M \otimes_R S \). Then there exists a countably generated \( R \)-submodule \( P \) of \( M \) such that \( \text{Im}(P \otimes_R S \to M \otimes_R S) \) contains \( Q \).

**Proof.** Let \( y_1, y_2, \ldots \) be generators for \( Q \) and write \( y_j = \sum_k x_{jk} \otimes s_{jk} \) for some \( x_{jk} \in M \) and \( s_{jk} \in S \). Then take \( P \) to be the submodule of \( M \) generated by the \( x_{jk} \). \( \square \)

**Lemma 94.4.** Let \( R \to S \) be a ring map, and let \( M \) be an \( R \)-module. Suppose \( M \otimes_R S = \bigoplus_{i \in I} Q_i \) is a direct sum of countably generated \( S \)-modules \( Q_i \). If \( N \) is a countably generated submodule of \( M \), then there is a countably generated submodule
Suppose that $N' \supset N$ and $\text{Im}(N' \otimes_R S \to M \otimes_R S) = \bigoplus_{i \in I'} Q_i$ for some subset $I' \subset I$.

**Proof.** Let $N_0 = N$. We construct by induction an increasing sequence of countably generated submodules $N_\ell \subset M$ for $\ell = 0, 1, 2, \ldots$ such that: if $I'_\ell$ is the set of $i \in I$ such that the projection of $\text{Im}(N'_\ell \otimes_R S \to M \otimes_R S)$ onto $Q_i$ is nonzero, then $\text{Im}(N'_{\ell+1} \otimes_R S \to M \otimes_R S)$ contains $Q_i$ for all $i \in I'_\ell$. To construct $N'_{\ell+1}$ from $N'_\ell$, let $Q$ be the sum of (the countably many) $Q_i$ for $i \in I'_\ell$, choose $P$ as in Lemma 94.3, and then let $N'_{\ell+1} = N'_\ell + P$. Having constructed the $N'_{\ell}$, just take $N' = \bigcup_{\ell} N'_\ell$ and $I' = \bigcup_{\ell} I'_\ell$. □

**Theorem 94.5.** Let $R \to S$ be a faithfully flat ring map. Let $M$ be an $R$-module. If the $S$-module $M \otimes_R S$ is projective, then $M$ is projective.

**Proof.** We are going to construct a Kaplansky dévissage of $M$ to show that it is a direct sum of projective modules and hence projective. By Theorem [83.5] we can write $M \otimes_R S = \bigoplus_{i \in I} Q_i$ as a direct sum of countably generated $S$-modules $Q_i$. Choose a well-ordering on $M$. By transfinite induction we are going to define an increasing family of submodules $M_\alpha$ of $M$, one for each ordinal $\alpha$, such that $M_\alpha \otimes_R S$ is a direct sum of some subset of the $Q_i$.

For $\alpha = 0$ let $M_0 = 0$. If $\alpha$ is a limit ordinal and $M_\beta$ has been defined for all $\beta < \alpha$, then define $M_\alpha = \bigcup_{\beta < \alpha} M_\beta$. Since each $M_\beta \otimes_R S$ for $\beta < \alpha$ is a direct sum of a subset of the $Q_i$, the same will be true of $M_\alpha \otimes_R S$. If $\alpha+1$ is a successor ordinal and $M_\alpha$ has been defined, then define $M_{\alpha+1}$ as follows. If $M_\alpha = M$, then let $M_{\alpha+1} = M$. Otherwise choose the smallest $x \in M$ (with respect to the fixed well-ordering) such that $x \notin M_\alpha$. Since $S$ is flat over $R$, $(M/M_\alpha) \otimes_R S = M \otimes_R S/M_\alpha \otimes_R S$, so since $M_\alpha \otimes_R S$ is a direct sum of some $Q_i$, the same is true of $(M/M_\alpha) \otimes_R S$. By Lemma 94.4 we can find a countably generated $R$-submodule $P$ of $M/M_\alpha$ containing the image of $x$ in $M/M_\alpha$ and such that $P \otimes_R S$ (which equals $\text{Im}(P \otimes_R S \to M \otimes_R S)$ since $S$ is flat over $R$) is a direct sum of some $Q_i$. Since $M \otimes_R S = \bigoplus_{i \in I} Q_i$ is projective and projectivity passes to direct summands, $P \otimes_R S$ is also projective. Thus by Lemma 94.2, $P$ is projective. Finally we define $M_{\alpha+1}$ to be the preimage of $P$ in $M$, so that $M_{\alpha+1}/M_\alpha = P$ is countably generated and projective. In particular $M_\alpha$ is a direct summand of $M_{\alpha+1}$ since projectivity of $M_{\alpha+1}/M_\alpha$ implies the sequence $0 \to M_\alpha \to M_{\alpha+1} \to M_{\alpha+1}/M_\alpha \to 0$ splits.

Transfinite induction on $M$ (using the fact that we constructed $M_{\alpha+1}$ to contain the smallest $x \in M$ not contained in $M_\alpha$) shows that each $x \in M$ is contained in some $M_\alpha$. Thus, there is some large enough ordinal $S$ satisfying: for each $x \in M$ there is $\alpha \in S$ such that $x \in M_\alpha$. This means $(M_\alpha)_{\alpha \in S}$ satisfies property (1) of a Kaplansky dévissage of $M$. The other properties are clear by construction. We conclude $M = \bigoplus_{\alpha \in S} M_{\alpha+1}/M_\alpha$. Since each $M_{\alpha+1}/M_\alpha$ is projective by construction, $M$ is projective. □

**95. Completion**

Suppose that $R$ is a ring and $I$ is an ideal. We define the completion of $R$ with respect to $I$ to be the limit

$$R^\wedge = \lim_n R/I^n.$$

An element of $R^\wedge$ is given by a sequence of elements $f_n \in R/I^n$ such that $f_n = f_{n+1} \mod I^n$ for all $n$. We will view $R^\wedge$ as an $R$-algebra. Similarly, if $M$ is an...
Lemma 95.1. Let \( R \) be a ring. Let \( I \subset R \) be an ideal. Let \( \varphi : M \to N \) be a map of \( R \)-modules.

1. If \( M/I^nM \to N/I^nN \) is surjective, then \( M^\wedge \to N^\wedge \) is surjective.
2. If \( M \to N \) is surjective, then \( M^\wedge \to N^\wedge \) is surjective.
3. If \( 0 \to K \to M \to N \to 0 \) is a short exact sequence of \( R \)-modules and \( N \) is flat, then \( 0 \to K^\wedge \to M^\wedge \to N^\wedge \to 0 \) is a short exact sequence.
4. The map \( M \otimes_R R^\wedge \to M^\wedge \) is surjective for any finite \( R \)-module \( M \).

Proof. Assume \( M/I^nM \to N/I^nN \) is surjective. Then the map \( M/I^nM \to N/I^nN \) is surjective for each \( n \geq 1 \) by Nakayama’s lemma. More precisely, apply Lemma 19.1 part (11) to the map \( M/I^nM \to N/I^nN \) over the ring \( R/I^n \) and the nilpotent ideal \( I/I^n \) to see this. Set \( K_n = \{ x \in M \mid \varphi(x) \in I^nN \} \). Thus we get short exact sequences

\[
0 \to K_n/I^nM \to M/I^nM \to N/I^nN \to 0
\]

We claim that the canonical map \( K_{n+1}/I^{n+1}M \to K_n/I^nM \) is surjective. Namely, if \( x \in K_n \), write \( \varphi(x) = \sum z_j n_j \) with \( z_j \in I^n, n_j \in N \). By assumption we can write

\[
\varphi(x - \sum z_j m_j) = \sum z_j z_j n_j n_{jk}.
\]

This means that \( x' = x - \sum z_j m_j \in K_{n+1} \) maps to \( x \) which proves the claim. Now we may apply Lemma 86.1 to the inverse system of short exact sequences above to see (1). Part (2) is a special case of (1). If the assumptions of (3) hold, then for each \( n \) the sequence

\[
0 \to K/I^nK \to M/I^nM \to N/I^nN \to 0
\]

is short exact by Lemma 88.12. Hence we can directly apply Lemma 86.1 to conclude (3) is true. To see (4) choose generators \( x_i \in M, i = 1, \ldots, n \). Then the map \( R^\oplus n \to M, (a_1, \ldots, a_n) \mapsto \sum a_i x_i \) is surjective. Hence by (2) we see \( (R^\wedge)^{\oplus n} \to M^\wedge, (a_1, \ldots, a_n) \mapsto \sum a_i x_i \) is surjective. Assertion (4) follows from this. \( \square \)
Definition 95.2. Let \( R \) be a ring. Let \( I \subset R \) be an ideal. Let \( M \) be an \( R \)-module. We say \( M \) is \( I \)-adically complete if the map
\[
M \to M^\wedge = \lim_{n} M/I^n M
\]
is an isomorphism. We say \( R \) is \( I \)-adically complete if \( R \) is \( I \)-adically complete as an \( R \)-module.

It is not true that the completion of an \( \mathbb{R} \)-module \( M \) is an isomorphism \( M \to M^\wedge \). We say \( R \) is \( I \)-adically complete if \( R \) is \( I \)-adically complete as an \( R \)-module.

We say \( M \) is \( I \)-adically complete if \( M \) is \( I \)-adically complete as an \( \mathbb{R} \)-module.

In particular, \( R^\wedge \) is \( I \)-adically complete, \( I^n R^\wedge = (I^n R)^\wedge \), and \( R^\wedge /I^n R^\wedge = R/I^n \).

Lemma 95.3. Let \( R \) be a ring. Let \( I \) be a finitely generated ideal of \( R \). Let \( M \) be an \( R \)-module. Then

\[
\begin{align*}
(1) & \text{ the completion } M^\wedge \text{ is } I \text{-adically complete, and} \\
(2) & I^n M^\wedge = \ker(M^\wedge \to M/I^n M) = (I^n M)^\wedge \text{ for all } n \geq 1.
\end{align*}
\]

In particular, \( R^\wedge \) is \( I \)-adically complete, \( I^n R^\wedge = (I^n M)^\wedge \), and \( R^\wedge /I^n R^\wedge = R/I^n \).

Proof. Since \( I \) is finitely generated, \( I^n \) is finitely generated, say by \( f_1, \ldots, f_r \).

Applying Lemma 95.1 part (2) to the surjection \((f_1, \ldots, f_r) : M^\oplus r \to I^n M\) yields a surjection
\[
(M^\wedge)^\oplus r \xrightarrow{(f_1, \ldots, f_r)} (I^n M)^\wedge = \lim_{n} I^n M/I^n M = \ker(M^\wedge \to M/I^n M).
\]

On the other hand, the image of \((f_1, \ldots, f_r) : (M^\wedge)^\oplus r \to M^\wedge \) is \( I^n M^\wedge \). Thus \( M^\wedge /I^n M^\wedge \approx M/I^n M \). Taking inverse limits yields \((M^\wedge)^\wedge \approx M^\wedge \); that is, \( M^\wedge \) is \( I \)-adically complete.

Lemma 95.4. Let \( R \) be a ring. Let \( I \subset R \) be an ideal. Let \( 0 \to M \to N \to Q \to 0 \) be an exact sequence of \( R \)-modules such that \( Q \) is annihilated by a power of \( I \). Then completion produces an exact sequence \( 0 \to M^\wedge \to N^\wedge \to Q \to 0 \).

Proof. Say \( I^n Q = 0 \). Then \( Q/I^n Q = Q \) for \( n \geq c \). On the other hand, it is clear that \( I^n M \subset M \cap I^n N \subset I^n M \) for \( n \geq c \). Thus \( M^\wedge = \lim M/(M \cap I^n N) \). Apply Lemma 96.1 to the system of exact sequences
\[
0 \to M/(M \cap I^n N) \to N/I^n N \to Q \to 0
\]
for \( n \geq c \) to conclude.

Lemma 95.5. Let \( R \) be a ring. Let \( I \subset R \) be an ideal. Let \( M \) be an \( R \)-module. Denote \( K_n = \ker(M^\wedge \to M/I^n M) \). Then \( M^\wedge \) is \( I \)-adically complete if and only if \( K_n \) is equal to \( I^n M^\wedge \) for all \( n \geq 1 \).

Proof. The module \( I^n M^\wedge \) is contained in \( K_n \). Thus for each \( n \geq 1 \) there is a canonical exact sequence
\[
0 \to K_n/I^n M^\wedge \to M^\wedge/I^n M^\wedge 
\]
As \( I^n M^\wedge \) maps onto \( I^n M/I^{n+1} M \) we see that \( K_{n+1} + I^n M^\wedge = K_n \). Thus the inverse system \([K_n/I^n M^\wedge]_{n \geq 1}\) has surjective transition maps. By Lemma 86.1 we see that there is a short exact sequence
\[
0 \to \lim_{n} K_n/I^n M^\wedge \to (M^\wedge)^\wedge \to M^\wedge \to 0
\]
Hence \( M^\wedge \) is complete if and only if \( K_n/I^n M^\wedge = 0 \) for all \( n \geq 1 \).

\footnote{This includes the condition that \( \bigcap I^n M = \{0\} \).}
Let $R$ be a ring, let $I \subset R$ be an ideal, and let $R^\wedge = \lim R/I^n$.

1. any element of $R^\wedge$ which maps to a unit of $R/I$ is a unit,
2. any element of $1 + I$ maps to an invertible element of $R^\wedge$,
3. any element of $1 + IR^\wedge$ is invertible in $R^\wedge$, and
4. the ideals $IR^\wedge$ and $\ker(R^\wedge \to R/I)$ are contained in the Jacobson radical of $R^\wedge$.

Proof. Let $x \in R^\wedge$ map to a unit $x_1$ in $R/I$. Then $x$ maps to a unit $x_n$ in $R/I^n$ for every $n$ by Lemma 31.4. Hence $y = (x_n^{-1}) \in \lim R/I^n = R^\wedge$ is an inverse to $x$. Parts (2) and (3) follow immediately from (1). Part (4) follows from (1) and Lemma 18.1.

Let $A$ be a ring. Let $I = (f_1, \ldots, f_r)$ be a finitely generated ideal. If $M \to \lim M/f_i^n M$ is surjective for each $i$, then $M \to \lim M/I^n M$ is surjective.

Proof. Note that $\lim M/I^n M = \lim M/(f_1^n, \ldots, f_r^n) M$ as $I^n \supset (f_1^n, \ldots, f_r^n) \supset I^n$. An element $\xi$ of $\lim M/(f_1^n, \ldots, f_r^n) M$ can be symbolically written as

$$\xi = \sum_{n \geq 0} \sum_i f_i^n x_{n,i}$$

with $x_{n,i} \in M$. If $M \to \lim M/f_i^n M$ is surjective, then there is an $x_i \in M$ mapping to $\sum x_{n,i} f_i^n$ in $\lim M/f_i^n M$. Then $x = \sum x_i$ maps to $\xi$ in $\lim M/I^n M$.

Let $A$ be a ring. Let $I \subset J \subset A$ be ideals. If $M$ is $J$-adically complete and $I$ is finitely generated, then $M$ is $I$-adically complete.

Proof. Assume $M$ is $J$-adically complete and $I$ is finitely generated. We have $\bigcap I^n M = 0 = \bigcap J^n M$. By Lemma 95.7 it suffices to prove the surjectivity of $M \to \lim M/I^n M$ in case $I$ is generated by a single element. Say $I = (f)$. Let $x_n \in M$ with $x_{n+1} - x_n \in f^n M$. We have to show there exists an $x \in M$ such that $x_n - x \in f^n M$ for all $n$. As $x_{n+1} - x_n \in f^n M$ and as $M$ is $J$-adically complete, there exists an element $x \in M$ such that $x_n - x \in J^n M$. Replacing $x_n$ by $x_n - x$ we may assume that $x_n \in J^n M$. To finish the proof we will show that this implies $x_n \in I^n M$. Namely, write $x_{n+1} - x_n = f^n z_n$. Then

$$x_n = f^n (z_n + f z_{n+1} + f^2 z_{n+2} + \ldots)$$

The sum $z_n + f z_{n+1} + f^2 z_{n+2} + \ldots$ converges in $M$ as $f^c \in J^c$. The sum $f^n (z_n + f z_{n+1} + f^2 z_{n+2} + \ldots)$ converges in $M$ to $x_n$, because the partial sums equal $x_{n-c} - x_{n+c}$ and $x_{n+c} \in J^{n+c} M$.

Let $R$ be a ring. Let $I, J$ be ideals of $R$. Assume there exist integers $c, d > 0$ such that $I^c \subset J$ and $J^d \subset I$. Then completion with respect to $I$ agrees with completion with respect to $J$ for any $R$-module. In particular an $R$-module $M$ is $I$-adically complete if and only if it is $J$-adically complete.

Proof. Consider the system of maps $M/I^n M \to M/J^{[n/d]} M$ and the system of maps $M/J^m M \to M/I^{[m/c]} M$ to get mutually inverse maps between the completions.

Let $R$ be a ring. Let $I$ be an ideal of $R$. Let $M$ be an $I$-adically complete $R$-module, and let $K \subset M$ be an $R$-submodule. The following are equivalent

1. $K = \bigcap (K + I^n M)$ and
(2) $M/K$ is $I$-adically complete.

**Proof.** Set $N = M/K$. By Lemma 95.1 the map $M = M^\wedge \to N^\wedge$ is surjective. Hence $N \to N^\wedge$ is surjective. It is easy to see that the kernel of $N \to N^\wedge$ is the module $(K + I^nM)/K$. \qed

**Lemma 95.11.** Let $R$ be a ring. Let $I$ be an ideal of $R$. Let $M$ be an $R$-module.

If (a) $R$ is $I$-adically complete, (b) $M$ is a finite $R$-module, and (c) $\bigcap I^nM = (0)$, then $M$ is $I$-adically complete.

**Proof.** By Lemma 95.1 the map $M = M \otimes_R R = M \otimes_R I^nM \to M^\wedge$ is surjective. The kernel of this map is $\bigcap I^nM$ hence zero by assumption. Hence $M \cong M^\wedge$ and $M$ is complete. \qed

**Lemma 95.12.** Let $R$ be a ring. Let $I \subset R$ be an ideal. Let $M$ be an $R$-module.

Assume

1. $R$ is $I$-adically complete,
2. $\bigcap_{n \geq 1} I^nM = (0)$, and
3. $M/IM$ is a finite $R/I$-module.

Then $M$ is a finite $R$-module.

**Proof.** Let $x_1, \ldots, x_n \in M$ be elements whose images in $M/IM$ generate $M/IM$ as a $R/I$-module. Denote $M' \subset M$ the $R$-submodule generated by $x_1, \ldots, x_n$. By Lemma 95.1 the map $(M')^\wedge \to M^\wedge$ is surjective. Since $\bigcap I^nM = 0$ we see in particular that $\bigcap I^nM' = (0)$. Hence by Lemma 95.11 we see that $M'$ is complete, and we conclude that $M' \to M^\wedge$ is surjective. Finally, the kernel of $M \to M^\wedge$ is zero since it is equal to $\bigcap I^nM = (0)$. Hence we conclude that $M \cong M' \cong M^\wedge$ is finitely generated. \qed

96. Completion for Noetherian rings

In this section we discuss completion with respect to ideals in Noetherian rings.

**Lemma 96.1.** Let $I$ be an ideal of a Noetherian ring $R$. Denote $^\wedge$ completion with respect to $I$.

(1) If $K \to N$ is an injective map of finite $R$-modules, then the map on completions $K^\wedge \to N^\wedge$ is injective.

(2) If $0 \to K \to N \to M \to 0$ is a short exact sequence of finite $R$-modules, then $0 \to K^\wedge \to N^\wedge \to M^\wedge \to 0$ is a short exact sequence.

(3) If $M$ is a finite $R$-module, then $M^\wedge = M \otimes_R R^\wedge$.

**Proof.** Setting $M = N/K$ we find that part (1) follows from part (2). Let $0 \to K \to N \to M \to 0$ be as in (2). For each $n$ we get the short exact sequence

$$0 \to K/(I^nN \cap K) \to N/I^nN \to M/I^nM \to 0.$$

By Lemma 86.1 we obtain the exact sequence

$$0 \to \lim K/(I^nN \cap K) \to N^\wedge \to M^\wedge \to 0.$$

By the Artin-Rees Lemma 50.2 we may choose $c$ such that $I^nK \subset I^nN \cap K \subset I^{n-c}K$ for $n \geq c$. Hence $K^\wedge = \lim K/I^nK = \lim K/(I^nN \cap K)$ and we conclude that (2) is true.
Let \( M \) be as in (3) and let \( 0 \to K \to R^{\oplus t} \to M \to 0 \) be a presentation of \( M \). We get a commutative diagram

\[
\begin{array}{ccccccc}
K \otimes R^\wedge & \longrightarrow & R^{\oplus t} \otimes R^\wedge & \longrightarrow & M \otimes R^\wedge & \longrightarrow & 0 \\
\downarrow & & \downarrow & & \downarrow & & \\
0 & \longrightarrow & K^\wedge & \longrightarrow & (R^{\oplus t})^\wedge & \longrightarrow & M^\wedge & \longrightarrow & 0 \\
\end{array}
\]

The top row is exact, see Section 38. The bottom row is exact by part (2). By Lemma 95.1 the vertical arrows are surjective. The middle vertical arrow is an isomorphism. We conclude (3) holds by the Snake Lemma 4.1. □

**Lemma 96.2.** Let \( I \) be an ideal of a Noetherian ring \( R \). Denote \( ^\wedge \) completion with respect to \( I \).

1. The ring map \( R \to R^\wedge \) is flat.
2. The functor \( M \mapsto M^\wedge \) is exact on the category of finitely generated \( R \)-modules.

**Proof.** Consider \( J \otimes R^\wedge \to R \otimes R^\wedge = R^\wedge \) where \( J \) is an arbitrary ideal of \( R \). According to Lemma 96.1 this is identified with \( J^\wedge \to R^\wedge \) and \( J^\wedge \to R^\wedge \) is injective. Part (1) follows from Lemma 38.5. Part (2) is a reformulation of Lemma 96.1 part (2). □

**Lemma 96.3.** Let \( (R, m) \) be a Noetherian local ring. Let \( I \subset m \) be an ideal. Denote \( R^\wedge \) the completion of \( R \) with respect to \( I \). The ring map \( R \to R^\wedge \) is faithfully flat. In particular the completion with respect to \( m \), namely \( \lim_n R/m^n \) is faithfully flat.

**Proof.** By Lemma 96.2 it is flat. The composition \( R \to R^\wedge \to R/m \) where the last map is the projection map \( R^\wedge \to R/I \) combined with \( R/I \to R/m \) shows that \( m \) is in the image of \( \text{Spec}(R^\wedge) \to \text{Spec}(R) \). Hence the map is faithfully flat by Lemma 38.15. □

**Lemma 96.4.** Let \( R \) be a Noetherian ring. Let \( I \) be an ideal of \( R \). Let \( M \) be an \( R \)-module. Then the completion \( M^\wedge \) of \( M \) with respect to \( I \) is \( I \)-adically complete, \( I^n M^\wedge = (I^n M)^\wedge \), and \( M^\wedge/I^n M^\wedge = M/I^n M \).

**Proof.** This is a special case of Lemma 95.3 because \( I \) is a finitely generated ideal. □

**Lemma 96.5.** Let \( I \) be an ideal of a ring \( R \). Assume

1. \( R/I \) is a Noetherian ring,
2. \( I \) is finitely generated.

Then the completion \( R^\wedge \) of \( R \) with respect to \( I \) is a Noetherian ring complete with respect to \( IR^\wedge \).

**Proof.** By Lemma 95.3 we see that \( R^\wedge \) is \( I \)-adically complete. Hence it is also \( IR^\wedge \)-adically complete. Since \( R^\wedge/IR^\wedge = R/I \) is Noetherian we see that after replacing \( R \) by \( R^\wedge \) we may in addition to assumptions (1) and (2) assume that also \( R \) is \( I \)-adically complete.

Let \( f_1, \ldots, f_t \) be generators of \( I \). Then there is a surjection of rings \( R/I[T_1, \ldots, T_t] \to \bigoplus I^n/I^{n+1} \) mapping \( T_i \) to the element \( f_i \in I/I^2 \). Hence \( \bigoplus I^n/I^{n+1} \) is a Noetherian
Let \( J \subset R \) be an ideal. Consider the ideal 
\[
\bigoplus J \cap I^n/J \cap I^{n+1} \subset \bigoplus I^n/I^{n+1}.
\]

Let \( \mathfrak{g}_1, \ldots, \mathfrak{g}_m \) be generators of this ideal. We may choose \( \mathfrak{g}_j \) to be a homogeneous element of degree \( d_j \) and we may pick \( g_j \in J \cap I^{d_j}/J \cap I^{d_j+1} \). We claim that \( g_1, \ldots, g_m \) generate \( J \).

Let \( x \in J \cap I^n \). There exist \( a_j \in I^{\max(0,n-d_j)} \) such that \( x - \sum a_j g_j \in J \cap I^{n+1} \). The reason is that \( J \cap I^n/J \cap I^{n+1} \) is equal to \( \bigoplus \mathfrak{g}_j I^{n-d_j}/I^{n-d_j+1} \) by our choice of \( g_1, \ldots, g_m \). Hence starting with \( x \in J \) we can find a sequence of vectors \( (a_{1,n}, \ldots, a_{m,n})_{n \geq 0} \) with \( a_{j,n} \in I^{\max(0,n-d_j)} \) such that
\[
 x = \sum_{n=0}^{\infty} \sum_{j=1}^{m} a_{j,n} g_j \mod I^{n+1}
\]
Setting \( A_j = \sum_{n \geq 0} a_{j,n} \) we see that \( x = \sum A_j g_j \) as \( R \) is complete. Hence \( J \) is finitely generated and we win. \( \square \)

**Lemma 96.6.** Let \( R \) be a Noetherian ring. Let \( I \) be an ideal of \( R \). The completion \( \widehat{R}^I \) of \( R \) with respect to \( I \) is Noetherian.

**Proof.** This is a consequence of Lemma 96.5. It can also be seen directly as follows. Choose generators \( f_1, \ldots, f_n \) of \( I \). Consider the map
\[
 R[[x_1, \ldots, x_n]] \longrightarrow \widehat{R}^I, \quad x_i \longmapsto f_i.
\]
This is a well defined and surjective ring map (details omitted). Since \( R[[x_1, \ldots, x_n]] \) is Noetherian (see Lemma 30.2) we win. \( \square \)

Suppose \( R \to S \) is a local homomorphism of local rings \((R, m)\) and \((S, n)\). Let \( S^\wedge \) be the completion of \( S \) with respect to \( n \). In general \( S^\wedge \) is not the \( m \)-adic completion of \( S \). If \( n^t \subset mS \) for some \( t \geq 1 \) then we do have \( S^\wedge = \lim S/m^nS \) by Lemma 95.9. In some cases this even implies that \( S^\wedge \) is finite over \( R^\wedge \).

**Lemma 96.7.** Let \( R \to S \) be a local homomorphism of local rings \((R, m)\) and \((S, n)\). Let \( R^\wedge \), resp. \( S^\wedge \) be the completion of \( R \), resp. \( S \) with respect to \( m \), resp. \( n \). If \( m \) and \( n \) are finitely generated and \( \dim_{m(m)} S/mS < \infty \), then
\[
(1) \quad S^\wedge = \text{the } m \text{-adic completion of } S, \quad \text{and}
\]
\[
(2) \quad S^\wedge \text{ is a finite } R^\wedge \text{-module}.
\]

**Proof.** We have \( mS \subset n \) because \( R \to S \) is a local ring map. The assumption \( \dim_{m(m)} S/mS < \infty \) implies that \( S/mS \) is an Artinian ring, see Lemma 52.2. Hence has dimension 0, see Lemma 59.4, hence \( n = \sqrt{mS} \). This and the fact that \( n \) is finitely generated implies that \( n^t \subset mS \) for some \( t \geq 1 \). By Lemma 95.9 we see that \( S^\wedge \) can be identified with the \( m \)-adic completion of \( S \). As \( m \) is finitely generated we see from Lemma 95.3 that \( S^\wedge \) and \( R^\wedge \) are \( m \)-adically complete. At this point we may apply Lemma 95.12 to \( S^\wedge \) as an \( R^\wedge \)-module to conclude. \( \square \)

**Lemma 96.8.** Let \( R \) be a Noetherian ring. Let \( R \to S \) be a finite ring map. Let \( \mathfrak{p} \subset R \) be a prime and let \( q_1, \ldots, q_m \) be the primes of \( S \) lying over \( \mathfrak{p} \) (Lemma 35.27). Then
\[
 R^\wedge \otimes_R S = (S^\wedge)^\wedge = S_{q_1}^\wedge \times \ldots \times S_{q_m}^\wedge,
\]
where the \((S^\wedge)^\wedge\) is the completion with respect to \( \mathfrak{p} \) and the local rings \( R_\mathfrak{p} \) and \( S_{q_i} \) are completed with respect to their maximal ideals.
In this section we discuss what happens when we take a limit of modules.

**Proof.** The first equality follows from Lemma 96.1. We may replace $R$ by the localization $R_\mathfrak{p}$ and $S$ by $S_\mathfrak{p} = S \otimes_R R_\mathfrak{p}$. Hence we may assume that $R$ is a local Noetherian ring and that $\mathfrak{m}$ is its maximal ideal. The $q_i S_{\mathfrak{q}_i}$-adic completion $S_{\mathfrak{q}_i}^\wedge$ is equal to the $\mathfrak{m}$-adic completion by Lemma 96.7. For every $n \geq 1$ prime ideals of $S/m^n S$ are in 1-to-1 correspondence with the maximal ideals $q_1, \ldots, q_m$ of $S$ (by going up for $S$ over $R$, see Lemma 35.22). Hence $S/m^n S = \prod S_{\mathfrak{q}_i}/m^n S_{\mathfrak{q}_i}$, by Lemma 52.6 (using for example Proposition 59.6 to see that $S/m^n S$ is Artinian). Hence the $\mathfrak{m}$-adic completion $S^\wedge$ of $S$ is equal to $\prod S_{\mathfrak{q}_i}^\wedge$. Finally, we have $R^\wedge \otimes_R S = S^\wedge$ by Lemma 96.1. □

**Lemma 96.9.** Let $R$ be a ring. Let $I \subset R$ be an ideal. Let $0 \to K \to P \to M \to 0$ be a short exact sequence of $R$-modules. If $M$ is flat over $R$ and $M/IM$ is a projective $R/I$-module, then the sequence of $I$-adic completions

$$0 \to K^\wedge \to P^\wedge \to M^\wedge \to 0$$

is a split exact sequence.

**Proof.** As $M$ is flat, each of the sequences

$$0 \to K/I^n K \to P/I^n P \to M/I^n M \to 0$$

is short exact, see Lemma 38.12 and the sequence $0 \to K^\wedge \to P^\wedge \to M^\wedge \to 0$ is a short exact sequence, see Lemma 95.1. It suffices to show that we can find splittings $s_n : M/I^n M \to P/I^n P$ such that $s_{n+1} \bmod I^n = s_n$. We will construct these $s_n$ by induction on $n$. Pick any splitting $s_1$, which exists as $M/IM$ is a projective $R/I$-module. Assume given $s_n$ for some $n > 0$. Set $P_{n+1} = \{ x \in P \mid x \bmod I^n P \in \text{Im}(s_n) \}$. The map $\pi : P_{n+1}/I^{n+1} P_{n+1} \to M/I^{n+1} M$ is surjective (details omitted). As $M/I^{n+1} M$ is projective as a $R/I^{n+1}$-module by Lemma 76.6 we may choose a section $t : M/I^{n+1} M \to P_{n+1}/I^{n+1} P_{n+1}$ of $\pi$. Setting $s_{n+1}$ equal to the composition of $t$ with the canonical map $P_{n+1}/I^{n+1} P_{n+1} \to P/I^{n+1} P$ works. □

**Lemma 96.10.** Let $A$ be a Noetherian ring. Let $I, J \subset A$ be ideals. If $A$ is $I$-adically complete and $A/I$ is $J$-adically complete, then $A$ is $J$-adically complete.

**Proof.** Let $B$ be the $(I + J)$-adic completion of $A$. By Lemma 96.2 $B/IB$ is the $J$-adic completion of $A/I$ hence isomorphic to $A/I$ by assumption. Moreover $B$ is $I$-adically complete by Lemma 95.8. Hence $B$ is a finite $A$-module by Lemma 95.12. By Nakayama’s lemma (Lemma 19.1 using $I$ is in the Jacobson radical of $A$ by Lemma 95.6) we find that $A \to B$ is surjective. The map $A \to B$ is flat by Lemma 96.2. The image of $\text{Spec}(B) \to \text{Spec}(A)$ contains $V(I)$ and as $I$ is contained in the Jacobson radical of $A$ we find $A \to B$ is faithfully flat (Lemma 38.16). Thus $A \to B$ is injective. Thus $A$ is complete with respect to $I + J$, hence a fortiori complete with respect to $J$. □

97. Taking limits of modules

**Lemma 97.1.** Let $A$ be a ring. Let $I \subset A$ be an ideal. Let $(M_n)$ be an inverse system of $A$-modules. Set $M = \varinjlim M_n$. If $M_n = M_{n+1}/I^n M_{n+1}$ and $I$ is finitely generated then $M/I^n M = M_n$ and $M$ is $I$-adically complete.
Proof. As $M_{n+1} \to M_n$ is surjective, the map $M \to M_1$ is surjective. Pick $x_t \in M$, $t \in T$ mapping to generators of $M_1$. This gives a map $\bigoplus_{t \in T} A \to M$. Note that the images of $x_t$ in $M_n$ generate $M_n$ for all $n$ too. Consider the exact sequences

$$0 \to K_n \to \bigoplus_{t \in T} A/I^n \to M_n \to 0$$

We claim the map $K_{n+1} \to K_n$ is surjective. Namely, if $y \in K_n$ choose a lift $y' \in \bigoplus_{t \in T} A/I^{n+1}$. Then $y'$ maps to an element of $I^n M_{n+1}$ by our assumption $M_n = M_{n+1}/I^n M_{n+1}$. Hence we can modify our choice of $y'$ by an element of $\bigoplus_{t \in T} I^n/I^{n+1}$ so that $y'$ maps to zero in $M_{n+1}$. Then $y' \in K_{n+1}$ maps to $y$. Hence $(K_n)$ is a sequence of modules with surjective transition maps and we obtain an exact sequence

$$0 \to \lim_{\to} K_n \to \left( \bigoplus_{t \in T} A \right)^\wedge \to M \to 0$$

by Lemma [86.1]. Fix an integer $m$. As $I$ is finitely generated, the completion with respect to $I$ is complete and $(\bigoplus_{t \in T} A)^\wedge/I^m (\bigoplus_{t \in T} A)^\wedge = \bigoplus_{t \in T} A/I^m$ (Lemma 95.3). We obtain a short exact sequence

$$(\lim_{\to} K_n)/I^m (\lim_{\to} K_n) \to \bigoplus_{t \in T} A/I^m \to M/I^m M = 0$$

Since $\lim_{\to} K_n \to K_m$ is surjective we conclude that $M/I^m M = M_m$. It follows in particular that $M$ is $I$-adically complete. \qed

0EKC Lemma 97.2. Let $A$ be a Noetherian graded ring. Let $I \subset A_+$ be a homogeneous ideal. Let $(N_n)$ be an inverse system of finite graded $A$-modules with $N_n = N_{n+1}/I^n N_{n+1}$. Then there is a finite graded $A$-module $N$ such that $N_n = N/I^n N$ as graded modules for all $n$.

Proof. Pick $r$ and homogeneous elements $x_{1,1}, \ldots, x_{1,r} \in N_1$ of degrees $d_1, \ldots, d_r$ generating $N_1$. Since the transition maps are surjective, we can pick a compatible system of homogeneous elements $x_{n,i} \in N_n$ lifting $x_{1,i}$. By the graded Nakayama lemma (Lemma 55.1) we see that $N_n$ is generated by the elements $x_{n,1}, \ldots, x_{n,r}$ sitting in degrees $d_1, \ldots, d_r$. Thus for $m \leq n$ we see that $N_n \to N_n/I^m N_n$ is an isomorphism in degrees $< \min(d_i) + m$ (as $I^m N_n$ is zero in those degrees). Thus the inverse system of degree $d$ parts

$$\ldots = N_{2+d-\min(d_i)}, d = N_{1+d-\min(d_i)}, d = N_{1+d-\min(d_i)}, d \to N_{1+d-\min(d_i)}, d \to \ldots$$

stabilizes as indicated. Let $N$ be the graded $A$-module whose $d$th graded part is this stabilization. In particular, we have the elements $x_i = \lim x_{n,i}$ in $N$. We claim the $x_i$ generate $N$: any $x \in N_d$ is a linear combination of $x_{1,1}, \ldots, x_{1,r}$ because we can check this in $N_{d-\min(d_i)}, d$ where it holds as $x_{d-\min(d_i)}, i$ generate $N_{d-\min(d_i)}$. Finally, the reader checks that the surjective map $N/I^n N \to N_n$ is an isomorphism by checking to see what happens in each degree as before. Details omitted. \qed

0EKD Lemma 97.3. Let $A$ be a graded ring. Let $I \subset A_+$ be a homogeneous ideal. Denote $A' = \lim A/I^n$. Let $(G_n)$ be an inverse system of graded $A$-modules with $G_n$ annihilated by $I^n$. Let $M$ be a graded $A$-module and let $\varphi_n : M \to G_n$ be a compatible system of graded $A$-module maps. If the induced map

$$\varphi : M \otimes_A A' \to \lim G_n$$

is an isomorphism, then $M_d \to \lim G_{n,d}$ is an isomorphism for all $d \in \mathbb{Z}$. 
Proof. By convention graded rings are in degrees $\geq 0$ and graded modules may have nonzero parts of any degree, see Section 55. The map $\varphi$ exists because $\lim G_n$ is a module over $A'$ as $G_n$ is annihilated by $I^n$. Another useful thing to keep in mind is that we have
\[
\bigoplus_{d \in \mathbb{Z}} \lim_{\to} G_{n,d} \subset \lim_{\to} G_n \subset \prod_{d \in \mathbb{Z}} \lim_{\to} G_{n,d}
\]
where a subscript $d$ indicates the $d$th graded part.

Injective. Let $x \in M_d$. If $x \to 0$ in $\lim G_{n,d}$ then $x \otimes 1 = 0$ in $M \otimes A A'$. Then we can find a finitely generated submodule $M' \subset M$ with $x \in M'$ such that $x \otimes 1$ is zero in $M' \otimes A A'$. Say $M'$ is generated by homogeneous elements sitting in degrees $d_1, \ldots, d_r$. Let $n = d - \min(d_i) + 1$. Since $A'$ has a map to $A/I^n$ and since $A \to A/I^n$ is an isomorphism in degrees $\leq n - 1$ we see that $M' \to A' \otimes A A'$ is injective in degrees $\leq n - 1$. Thus $x = 0$ as desired.

Surjective. Let $y \in \lim G_{n,d}$. Choose a finite sum $\sum x_i \otimes f'_i$ in $M \otimes A A'$ mapping to $y$. We may assume $x_i$ is homogeneous, say of degree $d_i$. Observe that although $A'$ is not a graded ring, it is a limit of the graded rings $A/I^n A$ and moreover, in any given degree the transition maps eventually become isomorphisms (see above). This gives
\[
A = \bigoplus_{d \geq 0} A_d \subset A' \subset \prod_{d \geq 0} A_d
\]
Thus we can write
\[
f'_i = \sum_{j=0}^{d_i-1} f_{i,j} + f_i + g'_i
\]
with $f_{i,j} \in A_j$, $f_i \in A_{d_i-d_i}$, and $g'_i \in A'$ mapping to zero in $\prod_{j \leq d_i-d_i} A_j$. Now if we compute $\varphi_n(\sum_{i,j} f_{i,j} x_i) \in G_n$, then we get a sum of homogeneous elements of degree $< d$. Hence $\varphi(\sum x_i \otimes f'_i)$ maps to zero in $\lim G_{n,d}$. Similarly, a computation shows the element $\varphi(\sum x_i \otimes g'_i)$ maps to zero in $\lim G_{n,d'}$. Since we know that $\varphi(\sum x_i \otimes f'_i)$ is $y$, we conclude that $\sum f_i x_i \in M_d$ maps to $y$ as desired. $\square$

98. Criteria for flatness

00MD In this section we prove some important technical lemmas in the Noetherian case. We will (partially) generalize these to the non-Noetherian case in Section 127.

00ME Lemma 98.1. Suppose that $R \to S$ is a local homomorphism of Noetherian local rings. Denote $m$ the maximal ideal of $R$. Let $M$ be a flat $R$-module and $N$ a finite $S$-module. Let $u : N \to M$ be a map of $R$-modules. If $\varpi : N/m^n N \to M/m^n M$ is injective then $u$ is injective. In this case $M/u(N)$ is flat over $R$.

Proof. First we claim that $u_n : N/m^n N \to M/m^n M$ is injective for all $n \geq 1$. We proceed by induction, the base case is that $u = u_1$ is injective. By our assumption that $M$ is flat over $R$ we have a short exact sequence $0 \to M \otimes_R m^n/m^{n+1} \to M/m^{n+1}M \to M/m^n M \to 0$. Also, $M \otimes_R m^n/m^{n+1} = M/mM \otimes_R m m^n/m^{n+1}$. We have a similar exact sequence $N \otimes_R m^n/m^{n+1} \to N/m^{n+1}N \to N/m^n N \to 0$ for $N$ except that we do not have the zero on the left. We also have $N \otimes_R m^n/m^{n+1} = N/mN \otimes_R m^n/m^{n+1}$. Thus the map $u_{n+1}$ is injective as both $u_n$ and the map $\varpi \otimes \text{id}_{m^n/m^{n+1}}$ are.

By Krull’s intersection theorem (Lemma 50.4) applied to $N$ over the ring $S$ and the ideal $mS$ we have $\bigcap m^n N = 0$. Thus the injectivity of $u_n$ for all $n$ implies $u$ is injective.
To show that \( M/u(N) \) is flat over \( R \), it suffices to show that \( I \otimes_R M/u(N) \rightarrow M/u(N) \) is injective for every ideal \( I \subset R \), see Lemma \[38.5\]. Consider the diagram

\[
\begin{array}{ccc}
0 & 0 & 0 \\
\uparrow & \uparrow & \uparrow \\
N/IN & M/IM & M/(IM + u(N)) \rightarrow 0 \\
\uparrow & \uparrow & \uparrow \\
0 & N & M \rightarrow M/u(N) \rightarrow 0 \\
\uparrow & \uparrow & \uparrow \\
N \otimes_R I & M \otimes_R I \rightarrow M/u(N) \otimes_R I \rightarrow 0
\end{array}
\]

The arrow \( M \otimes_R I \rightarrow M \) is injective. By the snake lemma (Lemma \[4.1\]) we see that it suffices to prove that \( N/IN \) injects into \( M/IM \). Note that \( R/I \rightarrow S/IS \) is a local homomorphism of Noetherian local rings. \( N/IN \rightarrow M/IM \) is a map of \( R/I \)-modules, \( N/IN \) is finite over \( S/IS \), and \( M/IM \) is flat over \( R/I \) and \( u \mod I : N/IN \rightarrow M/IM \) is injective modulo \( m \). Thus we may apply the first part of the proof to \( u \mod I \) and we conclude. \( \square \)

**Lemma 98.2.** Suppose that \( R \rightarrow S \) is a flat and local ring homomorphism of Noetherian local rings. Denote \( m \) the maximal ideal of \( R \). Suppose \( f \in S \) is a nonzerodivisor in \( S/mS \). Then \( S/fS \) is flat over \( R \), and \( f \) is a nonzerodivisor in \( S \).

**Proof.** Follows directly from Lemma \[98.1\]. \( \square \)

**Lemma 98.3.** Suppose that \( R \rightarrow S \) is a flat and local ring homomorphism of Noetherian local rings. Denote \( m \) the maximal ideal of \( R \). Suppose \( f_1, \ldots, f_c \) is a sequence of elements of \( S \) such that the images \( f_1, \ldots, f_c \) form a regular sequence in \( S/mS \). Then \( f_1, \ldots, f_c \) is a regular sequence in \( S \) and each of the quotients \( S/(f_1, \ldots, f_i) \) is flat over \( R \).

**Proof.** Induction and Lemma \[98.2\]. \( \square \)

**Lemma 98.4.** Let \( R \rightarrow S \) be a local homomorphism of Noetherian local rings. Let \( m \) be the maximal ideal of \( R \). Let \( M \) be a finite \( S \)-module. Suppose that (a) \( M/mM \) is a free \( S/mS \)-module, and (b) \( M \) is flat over \( R \). Then \( M \) is free and \( S \) is flat over \( R \).

**Proof.** Let \( \overline{x}_1, \ldots, \overline{x}_n \) be a basis for the free module \( M/mM \). Choose \( x_1, \ldots, x_n \in M \) with \( x_i \) mapping to \( \overline{x}_i \). Let \( u : S^{\otimes n} \rightarrow M \) be the map which maps the \( i \)th standard basis vector to \( x_i \). By Lemma \[98.1\] we see that \( u \) is injective. On the other hand, by Nakayama’s Lemma \[19.1\] the map is surjective. The lemma follows. \( \square \)

**Lemma 98.5.** Let \( R \rightarrow S \) be a local homomorphism of local Noetherian rings. Let \( m \) be the maximal ideal of \( R \). Let \( 0 \rightarrow F_c \rightarrow F_{c-1} \rightarrow \ldots \rightarrow F_0 \) be a finite complex of finite \( S \)-modules. Assume that each \( F_i \) is \( R \)-flat, and that the complex \( 0 \rightarrow F_c/mF_c \rightarrow F_{c-1}/mF_{c-1} \rightarrow \ldots \rightarrow F_0/mF_0 \) is exact. Then \( 0 \rightarrow F_c \rightarrow F_{c-1} \rightarrow \ldots \rightarrow F_0 \) is exact, and moreover the module \( \text{Coker}(F_1 \rightarrow F_0) \) is \( R \)-flat.

**Proof.** By induction on \( e \). If \( e = 1 \), then this is exactly Lemma \[98.1\]. If \( e > 1 \), we see by Lemma \[98.1\] that \( F_c \rightarrow F_{c-1} \) is injective and that \( C = \text{Coker}(F_c \rightarrow F_{c-1}) \) is a finite \( S \)-module flat over \( R \). Hence we can apply the induction hypothesis to the complex \( 0 \rightarrow C \rightarrow F_{e-2} \rightarrow \ldots \rightarrow F_0 \). We deduce that \( C \rightarrow F_{e-2} \) is injective.
and the exactness of the complex follows, as well as the flatness of the cokernel of $F_1 \to F_0$. □

In the rest of this section we prove two versions of what is called the “local criterion of flatness”. Note also the interesting Lemma 127.1 below.

00MJ **Lemma 98.6.** Let $R$ be a local ring with maximal ideal $m$ and residue field $\kappa = R/m$. Let $M$ be an $R$-module. If $\operatorname{Tor}_1^R(\kappa, M) = 0$, then for every finite length $R$-module $N$ we have $\operatorname{Tor}_1^R(N, M) = 0$.

**Proof.** By descending induction on the length of $N$. If the length of $N$ is 1, then $N \cong \kappa$ and we are done. If the length of $N$ is more than 1, then we can fit $N$ into a short exact sequence $0 \to N' \to N \to N'' \to 0$ where $N'$, $N''$ are finite length $R$-modules of smaller length. The vanishing of $\operatorname{Tor}_1^R(N, M)$ follows from the vanishing of $\operatorname{Tor}_1^R(N', M)$ and $\operatorname{Tor}_1^R(N'', M)$ (induction hypothesis) and the long exact sequence of Tor groups, see Lemma 74.2. □

00MK **Lemma 98.7** (Local criterion for flatness). Let $R \to S$ be a local homomorphism of local Noetherian rings. Let $m$ be the maximal ideal of $R$, and let $\kappa = R/m$. Let $M$ be a finite $S$-module. If $\operatorname{Tor}_1^R(\kappa, M) = 0$, then $M$ is flat over $R$.

**Proof.** Let $I \subset R$ be an ideal. By Lemma 38.5, it suffices to show that $I \otimes_R M \to M$ is injective. By Remark 74.9, we see that this kernel is equal to $\operatorname{Tor}_1^R(M, R/I)$. By Lemma 98.6, we see that $J \otimes_R M \to M$ is injective for all ideals of finite colength. Choose $n >> 0$ and consider the following short exact sequence

$$0 \to I \cap m^n \to I \oplus m^n \to I + m^n \to 0$$

This is a sub sequence of the short exact sequence $0 \to R \to R^{\oplus 2} \to R \to 0$. Thus we get the diagram

$$(I \cap m^n) \otimes_R M \longrightarrow I \otimes_R M \oplus m^n \otimes_R M \longrightarrow (I + m^n) \otimes_R M$$

$$M \longrightarrow M \oplus M \longrightarrow M$$

Note that $I + m^n$ and $m^n$ are ideals of finite colength. Thus a diagram chase shows that $\operatorname{Ker}((I \cap m^n) \otimes_R M \to M) \to \operatorname{Ker}(I \otimes_R M \to M)$ is surjective. We conclude in particular that $K = \operatorname{Ker}(I \otimes_R M \to M)$ is contained in the image of $(I \cap m^n) \otimes_R M$ in $I \otimes_R M$. By Artin-Rees, Lemma 50.2, we see that $K$ is contained in $m^{n-c}(I \otimes_R M)$ for some $c > 0$ and all $n >> 0$. Since $I \otimes_R M$ is a finite $S$-module (!) and since $S$ is Noetherian, we see that this implies $K = 0$. Namely, the above implies $K$ maps to zero in the $mS$-adic completion of $I \otimes_R M$. But the map from $S$ to its $mS$-adic completion is faithfully flat by Lemma 96.3. Hence $K = 0$, as desired. □

In the following we often encounter the conditions “$M/IM$ is flat over $R/I$ and $\operatorname{Tor}_1^R(R/I, M) = 0$”. The following lemma gives some consequences of these conditions (it is a generalization of Lemma 98.6).

051C **Lemma 98.8.** Let $R$ be a ring. Let $I \subset R$ be an ideal. Let $M$ be an $R$-module. If $M/IM$ is flat over $R/I$ and $\operatorname{Tor}_1^R(R/I, M) = 0$ then

1. $M/I^nM$ is flat over $R/I^n$ for all $n \geq 1$, and
(2) for any module \( N \) which is annihilated by \( I^m \) for some \( m \geq 0 \) we have \( \text{Tor}_1^R(N, M) = 0 \).

In particular, if \( I \) is nilpotent, then \( M \) is flat over \( R \).

**Proof.** Assume \( M/IM \) is flat over \( R/I \) and \( \text{Tor}_1^R(R/I, M) = 0 \). Let \( N \) be an \( R/I \)-module. Choose a short exact sequence

\[
0 \to K \to \bigoplus_{i \in I} R/I \to N \to 0
\]

By the long exact sequence of \( \text{Tor} \) and the vanishing of \( \text{Tor}_1^R(R/I, M) \) we get

\[
0 \to \text{Tor}_1^R(N, M) \to K \otimes_R M \to \left( \bigoplus_{i \in I} R/I \right) \otimes_R M \to N \otimes_R M \to 0
\]

But since \( K, \bigoplus_{i \in I} R/I, \) and \( N \) are all annihilated by \( I \) we see that

\[
K \otimes_R M = K \otimes_{R/I} M/IM,
\]

\[
\left( \bigoplus_{i \in I} R/I \right) \otimes_R M = \left( \bigoplus_{i \in I} R/I \right) \otimes_{R/I} M/IM,
\]

\[
N \otimes_R M = N \otimes_{R/I} M/IM.
\]

As \( M/IM \) is flat over \( R/I \) we conclude that

\[
0 \to K \otimes_{R/I} M/IM \to \left( \bigoplus_{i \in I} R/I \right) \otimes_{R/I} M/IM \to N \otimes_{R/I} M/IM \to 0
\]

is exact. Combining this with the above we conclude that \( \text{Tor}_1^R(N, M) = 0 \) for any \( R \)-module \( N \) annihilated by \( I \).

In particular, if we apply this to the module \( I/I^2 \), then we conclude that the sequence

\[
0 \to I^2 \otimes_R M \to I \otimes_R M \to I/I^2 \otimes_R M \to 0
\]

is short exact. This implies that \( I^2 \otimes_R M \to M \) is injective and it implies that \( I/I^2 \otimes_{R/I} M/IM = I'M/I^2M \).

Let us prove that \( M/I^2M \) is flat over \( R/I^2 \). Let \( I^2 \subseteq J \) be an ideal. We have to show that \( J/I^2 \otimes_{R/I^2} M/I^2M \to M/I^2M \) is injective, see Lemma 38.5. As \( M/IM \) is flat over \( R/I \) we know that the map \( (I+J)/I \otimes_{R/I} M/IM \to M/IM \) is injective. The sequence

\[
(I \cap J)/I^2 \otimes_{R/I^2} M/I^2M \to J/I^2 \otimes_{R/I^2} M/I^2M \to (I+J)/I \otimes_{R/I} M/IM \to 0
\]

is exact, as you get it by tensoring the exact sequence \( 0 \to (I \cap J) \to J \to (I+J)/I \to 0 \) by \( M/I^2M \). Hence suffices to prove the injectivity of the map \( (I \cap J)/I^2 \otimes_{R/I} M/IM \to I/M \otimes_{R/I} M/IM \). However, the map \( (I \cap J)/I^2 \to I/I^2 \) is injective and as \( M/IM \) is flat over \( R/I \) the map \( (I \cap J)/I^2 \otimes_{R/I} M/IM \to I/I^2 \otimes_{R/I} M/IM \) is injective. Since we have previously seen that \( I/I^2 \otimes_{R/I} M/IM = IM/I^2M \) we obtain the desired injectivity.

Hence we have proven that the assumptions imply: (a) \( \text{Tor}_1^R(N, M) = 0 \) for all \( N \) annihilated by \( I \), (b) \( I^2 \otimes_R M \to M \) is injective, and (c) \( M/I^2M \) is flat over \( R/I^2 \). Thus we can continue by induction to get the same results for \( I^n \) for all \( n \geq 1 \). □

**Lemma 98.9.** Let \( R \) be a ring. Let \( I \subseteq R \) be an ideal. Let \( M \) be an \( R \)-module.

1. If \( M/IM \) is flat over \( R/I \) and \( M \otimes_R I/I^2 \to IM/I^2M \) is injective, then \( M/I^2M \) is flat over \( R/I^2 \).
(2) If $M/IM$ is flat over $R/I$ and $M \otimes_R I^n/IM : I^{n+1} \to I^nM/I^{n+1}M$ is injective for $n = 1, \ldots, k$, then $M/I^{k+1}M$ is flat over $R/I^{k+1}$.

**Proof.** The first statement is a consequence of Lemma 98.10 applied with $R$ replaced by $R/I$ and $M$ replaced by $M/I^nM$ using that

\[
\text{Tor}^R_1(I^2, R/I) = \text{Ker}(M \otimes_R I^2 \to IM/I^2M),
\]

see Remark 74.9. The second statement follows in the same manner using induction on $n$ to show that $M/I^{n+1}M$ is flat over $R/I^{n+1}$ for $n = 1, \ldots, k$. Here we use that

\[
\text{Tor}^R_1(I^{n+1}, M/R/I) = \text{Ker}(M \otimes_R I^{n+1} \to I^nM/I^{n+1}M)
\]

for every $n$. \hfill \Box

**Lemma 98.10** (Variant of the local criterion). Let $R \to S$ be a local homomorphism of Noetherian local rings. Let $I \neq R$ be an ideal in $R$. Let $M$ be a finite $S$-module. If $\text{Tor}^R_i(M, R/I) = 0$ and $M/IM$ is flat over $R/I$, then $M$ is flat over $R$.

**Proof.** First proof: By Lemma 98.8 we see that $\text{Tor}_1^R(\kappa, M)$ is zero where $\kappa$ is the residue field of $R$. Hence we see that $M$ is flat over $R$ by Lemma 98.7.

Second proof: Let $m$ be the maximal ideal of $R$. We will show that $m \otimes_R M \to M$ is injective, and then apply Lemma 98.7. Suppose that $\sum f_i \otimes x_i \in m \otimes_R M$ and that $\sum f_i x_i = 0$ in $M$. By the equational criterion for flatness Lemma 38.11 applied to $M/IM$ over $R/I$ we see there exist $\pi_i, j \in R/I$ and $\pi_j \in M/IM$ such that $x_i \mod IM = \sum_j \pi_i, j y_j$ and $0 = \sum_i (f_i \mod I) \pi_i, j$. Let $a_{ij} \in R$ be a lift of $\pi_i, j$ and similarly let $y_j \in M$ be a lift of $\pi_j$. Then we see that

\[
\sum f_i \otimes x_i = \sum f_i \otimes x_i + \sum f_i a_{ij} \otimes y_j - \sum f_i \otimes a_{ij} y_j
\]

\[
= \sum f_i \otimes (x_i - \sum a_{ij} y_j) + \sum (f_i a_{ij}) \otimes y_j
\]

Since $x_i - \sum a_{ij} y_j \in IM$ and $\sum f_i a_{ij} \in I$ we see that there exists an element in $I \otimes_R M$ which maps to our given element $\sum f_i \otimes x_i$ in $m \otimes_R M$. Thus $I \otimes_R M \to M$ is injective by assumption (see Remark 74.9) and we win. \hfill \Box

In particular, in the situation of Lemma 98.10 suppose that $I = (x)$ is generated by a single element $x$ which is a nonzerodivisor in $R$. Then $\text{Tor}^R_1(M, R/(x)) = (0)$ if and only if $x$ is a nonzerodivisor on $M$.

**Lemma 98.11.** Let $R \to S$ be a ring map. Let $I \subset R$ be an ideal. Let $M$ be an $S$-module. Assume

1. $R$ is a Noetherian ring,
2. $S$ is a Noetherian ring,
3. $M$ is a finite $S$-module, and
4. for each $n \geq 1$ the module $M/I^n M$ is flat over $R/I^n$.

Then for every $q \in V(IS)$ the localization $M_q$ is flat over $R$. In particular, if $S$ is local and $IS$ is contained in its maximal ideal, then $M$ is flat over $R$.

**Proof.** We are going to use Lemma 98.10. By assumption $M/IM$ is flat over $R/I$. Hence it suffices to check that $\text{Tor}^1_1(M, R/I)$ is zero on localization at $q$. By Remark 74.9 this Tor group is equal to $K = \text{Ker}(I \otimes_R M \to M)$. We know for each $n \geq 1$ that the kernel $\text{Ker}(I/I^n \otimes_R M/I^n M \to M/I^n M)$ is zero. Since there
is a module map \( I/I^n \otimes_R I/I^n \) \( M \otimes I/I^n = (I \otimes R) M \) \( I/I^n-1(I \otimes R) M \) we conclude that \( K \subset I^n-1(I \otimes R) M \) for each \( n \). By the Artin-Rees lemma, and more precisely Lemma 50.5, we conclude that \( K_q = 0 \), as desired.

**Lemma 98.12.** Let \( R \to R' \to R'' \) be ring maps. Let \( M \) be an \( R \)-module. Suppose that \( M \otimes R' \) is flat over \( R' \). Then the natural map \( \text{Tor}_1^R(M, R') \otimes_R R'' \to \text{Tor}_1^R(M, R'') \) is onto.

**Proof.** Let \( F_* \) be a free resolution of \( M \) over \( R \). The complex \( F_2 \otimes_R R' \to F_1 \otimes_R R' \to F_0 \otimes_R R' \) computes \( \text{Tor}_1^R(M, R') \). The complex \( F_2 \otimes_R R'' \to F_1 \otimes_R R'' \to F_0 \otimes_R R'' \) computes \( \text{Tor}_1^R(M, R'') \). Note that \( F_i \otimes_R R' \otimes_R R'' = F_i \otimes_R R'' \). Let \( K' = \text{Ker}(F_1 \otimes_R R' \to F_0 \otimes_R R') \) and similarly \( K'' = \text{Ker}(F_1 \otimes_R R'' \to F_0 \otimes_R R'') \). Thus we have an exact sequence

\[
0 \to K' \to F_1 \otimes_R R' \to F_0 \otimes_R R' \to M \otimes_R R' \to 0.
\]

By the assumption that \( M \otimes_R R' \) is flat over \( R' \), the sequence

\[
K' \otimes_{R'} R'' \to F_1 \otimes_{R'} R'' \to F_0 \otimes_{R'} R'' \to M \otimes_{R'} R'' \to 0
\]

is still exact. This means that \( K' \otimes_{R'} R'' \to K'' \) is surjective. Since \( \text{Tor}_1^R(M, R') \) is a quotient of \( K' \) and \( \text{Tor}_1^R(M, R'') \) is a quotient of \( K'' \), we win.

**Lemma 98.13.** Let \( R \to R' \) be a ring map. Let \( I \subset R \) be an ideal and \( I' = IR' \). Let \( M \) be an \( R \)-module and set \( M' = M \otimes_R R' \). The natural map \( \text{Tor}_1^R(R'/I', M) \to \text{Tor}_1^R(R'/I', M') \) is surjective.

**Proof.** Let \( F_2 \to F_1 \to F_0 \to M \to 0 \) be a free resolution of \( M \) over \( R \). Set \( F'_1 = F_i \otimes_R R' \). The sequence \( F'_2 \to F'_1 \to F'_0 \to M' \to 0 \) may no longer be exact at \( F'_1 \). A free resolution of \( M' \) over \( R' \) therefore looks like

\[
F'_2 \oplus F''_2 \to F'_1 \to F'_0 \to M' \to 0
\]

for a suitable free module \( F''_2 \) over \( R' \). Next, note that \( F_i \otimes_R R'/I' = F'_i/IF'_i = F_i/I'F_i \). So the complex \( F'_2 \otimes_R R'/I' \to F'_1 \otimes_R R'/I' \to F'_0 \otimes_R R'/I' \) computes \( \text{Tor}_1^R(M, R'/I') \). On the other hand \( F'_1 \otimes_R R'/I' = F'_1/I'F'_1 \) and similarly for \( F''_2 \). Thus the complex \( F'_2 \otimes_R R'/I' \to F'_1 \otimes_R R'/I' \to F'_0 \otimes_R R'/I' \) computes \( \text{Tor}_1^R(M', R'/I') \). Since the vertical map on complexes

\[
\begin{array}{ccc}
F'_2 \otimes_R R'/I' & \longrightarrow & F'_1 \otimes_R R'/I' \\
\downarrow & & \downarrow \\
F'_2 \otimes_R R'/I' \oplus F''_2 \otimes_R R'/I' & \longrightarrow & F'_1 \otimes_R R'/I'
\end{array}
\]

clearly induces a surjection on cohomology we win.

**Lemma 98.14.** Let

\[
\begin{array}{ccc}
S & \longrightarrow & S' \\
\uparrow & & \uparrow \\
R & \longrightarrow & R'
\end{array}
\]

be a commutative diagram of local homomorphisms of local Noetherian rings. Let \( I \subset R \) be a proper ideal. Let \( M \) be a finite \( S \)-module. Denote \( I' = IR' \) and \( M' = M \otimes_S S' \). Assume that
Let some lemmas which deal with what happens with flatness when doing a base change. Since $M$ implies that it suffices to show that $\text{Tor}^R(M, R/I) \to \text{Tor}^R(M', R'/I')$ is zero.

**Proof.** Since $S'$ is a localization of $S \otimes_R R'$ we see that $M'$ is a localization of $M \otimes_R R'$. Note that by Lemma 98.10 the module $M/IM \otimes_R R'/I' = M \otimes_R R'/I'(M \otimes_R R')$ is flat over $R'/I'$. Hence also $M'/IM'$ is flat over $R'/I'$ as the localization of a flat module is flat. By Lemma 98.10 it suffices to show that $\text{Tor}^R(M', R'/I')$ is zero. Since $M'$ is a localization of $M \otimes_R R'$, the last assumption implies that it suffices to show that $\text{Tor}^R(M, R/I) \otimes_R R' \to \text{Tor}^R(M \otimes_R R', R'/I')$ is surjective.

By Lemma 98.13 we see that $\text{Tor}^R(M, R'/I') \to \text{Tor}^R(M \otimes_R R', R'/I')$ is surjective. So now it suffices to show that $\text{Tor}^R(M, R/I) \otimes_R R' \to \text{Tor}^R(M, R'/I')$ is surjective. This follows from Lemma 98.12 by looking at the ring maps $R \to R/I \to R'/I'$ and the module $M$.

Please compare the lemma below to Lemma 100.8 (the case of a nilpotent ideal) and Lemma 127.8 (the case of finitely presented algebras).

**Lemma 98.15** (Critère de platitude par fibres; Noetherian case). Let $R$, $S$, $S'$ be Noetherian local rings and let $R \to S \to S'$ be local ring homomorphisms. Let $m \subset R$ be the maximal ideal. Let $M$ be an $S'$-module. Assume

1. The module $M$ is finite over $S'$.
2. The module $M$ is not zero.
3. The module $M/mM$ is a flat $S/mS$-module.
4. The module $M$ is a flat $R$-module.

Then $S$ is flat over $R$ and $M$ is a flat $S$-module.

**Proof.** Set $I = mS \subset S$. Then we see that $M/IM$ is a flat $S/I$-module because of (3). Since $m \otimes_R S' \to I \otimes_S S'$ is surjective we see that also $m \otimes_R M \to I \otimes_S M$ is surjective. Consider $m \otimes_R M \to I \otimes_S M \to M$.

As $M$ is flat over $R$ the composition is injective and so both arrows are injective. In particular $\text{Tor}^S_1(S/I, M) = 0$ see Remark 74.9. By Lemma 98.10 we conclude that $M$ is flat over $S$. Note that since $M/mS:M$ is not zero by Nakayama’s Lemma 19.1 we see that actually $M$ is faithfully flat over $S$ by Lemma 38.15 (since it forces $M/mS:M \neq 0$).

Consider the exact sequence $0 \to m \to R \to \kappa \to 0$. This gives an exact sequence $0 \to \text{Tor}^R_1(\kappa, S) \to m \otimes_R S \to I \to 0$. Since $M$ is flat over $S$ this gives an exact sequence $0 \to \text{Tor}^R_1(\kappa, S) \otimes_S M \to m \otimes_R M \to I \otimes_S M \to 0$. By the above this implies that $\text{Tor}^R_1(\kappa, S) \otimes_S M = 0$. Since $M$ is faithfully flat over $S$ this implies that $\text{Tor}^R_1(\kappa, S) = 0$ and we conclude that $S$ is flat over $R$ by Lemma 98.7.

99. Base change and flatness

Some lemmas which deal with what happens with flatness when doing a base change.
Lemma 99.1. Let

\[
\begin{array}{c}
S \\
\downarrow \\
R
\end{array}
\quad \begin{array}{c}
\longrightarrow \\
\downarrow \\
\longrightarrow
\end{array}
\begin{array}{c}
S' \\
\downarrow \\
R'
\end{array}
\]

be a commutative diagram of local homomorphisms of local rings. Assume that \( S' \) is a localization of the tensor product \( S \otimes_R R' \). Let \( M \) be an \( S \)-module and set \( M' = S' \otimes_S M \).

1. If \( M \) is flat over \( R \) then \( M' \) is flat over \( R' \).
2. If \( M' \) is flat over \( R' \) and \( R \to R' \) is flat then \( M \) is flat over \( R \).

In particular we have

3. If \( S \) is flat over \( R \) then \( S' \) is flat over \( R' \).
4. If \( R' \to S' \) and \( R \to R' \) are flat then \( S \) is flat over \( R \).

**Proof.** Proof of (1). If \( M \) is flat over \( R \), then \( M \otimes_R R' \) is flat over \( R' \) by Lemma 38.7. If \( W \subset S \otimes_R R' \) is the multiplicative subset such that \( W^{-1}(S \otimes_R R') = S' \) then \( M' = W^{-1}(M \otimes_R R') \). Hence \( M' \) is flat over \( R' \) as the localization of a flat module, see Lemma 38.19 part (5). This proves (1) and in particular, we see that (3) holds.

Proof of (2). Suppose that \( M' \) is flat over \( R' \) and \( R \to R' \) is flat. By (3) applied to the diagram reflected in the northwest diagonal we see that \( S \to S' \) is flat. Thus \( S \to S' \) is faithfully flat by Lemma 38.17. We are going to use the criterion of Lemma 38.5 (3) to show that \( M \) is flat. Let \( I \subset R \) be an ideal. If \( I \otimes_R M \to M \) has a kernel, so does \( (I \otimes_R M) \otimes_S S' \to M \otimes_S S' = M' \). Note that \( I \otimes_R R' = IR' \) as \( R \to R' \) is flat, and that

\[
(I \otimes_R M) \otimes_S S' = (I \otimes_R R') \otimes_{R'} (M \otimes_S S') = IR' \otimes_{R'} M'.
\]

From flatness of \( M' \) over \( R' \) we conclude that this maps injectively into \( M' \). This concludes the proof of (2), and hence (4) is true as well.

\[\square\]

100. Flatness criteria over Artinian rings

We discuss some flatness criteria for modules over Artinian rings. Note that an Artinian local ring has a nilpotent maximal ideal so that the following two lemmas apply to Artinian local rings.

Lemma 100.1. Let \((R, \mathfrak{m})\) be a local ring with nilpotent maximal ideal \( \mathfrak{m} \). Let \( M \) be a flat \( R \)-module. If \( A \) is a set and \( x_\alpha \in M, \alpha \in A \) is a collection of elements of \( M \), then the following are equivalent:

1. \( \{x_\alpha\}_{\alpha \in A} \) forms a basis for the vector space \( M/\mathfrak{m}M \) over \( R/\mathfrak{m} \), and
2. \( \{x_\alpha\}_{\alpha \in A} \) forms a basis for \( M \) over \( R \).

**Proof.** The implication (2) \( \Rightarrow \) (1) is immediate. Assume (1). By Nakayama’s Lemma 19.1 the elements \( x_\alpha \) generate \( M \). Then one gets a short exact sequence

\[
0 \to K \to \bigoplus_{\alpha \in A} R \to M \to 0
\]

tensoring with \( R/\mathfrak{m} \) and using Lemma 38.12 we obtain \( K/\mathfrak{m}K = 0 \). By Nakayama’s Lemma 19.1 we conclude \( K = 0 \).

\[\square\]
Lemma 100.2. Let $R$ be a local ring with nilpotent maximal ideal. Let $M$ be an $R$-module. The following are equivalent

1. $M$ is flat over $R$,
2. $M$ is a free $R$-module, and
3. $M$ is a projective $R$-module.

Proof. Since any projective module is flat (as a direct summand of a free module) and every free module is projective, it suffices to prove that a flat module is free. Let $M$ be a flat module. Let $A$ be a set and let $x_α ∈ M$, $α ∈ A$ be elements such that $x_α \in M/mM$ forms a basis over the residue field of $R$. By Lemma 100.1 the $x_α$ are bases for $M$ over $R$ and we win.

Lemma 100.3. Let $R$ be a ring. Let $I ⊂ R$ be an ideal. Let $M$ be an $R$-module. Let $A$ be a set and let $x_α ∈ M$, $α ∈ A$ be a collection of elements of $M$. Assume

1. $I$ is nilpotent,
2. $\{x_α\}_{α ∈ A}$ forms a basis for $M/IM$ over $R/I$, and
3. $Tor^R_1(R/I, M) = 0$.

Then $M$ is free on $\{x_α\}_{α ∈ A}$ over $R$.

Proof. Let $R$, $I$, $M$, $\{x_α\}_{α ∈ A}$ be as in the lemma and satisfy assumptions (1), (2), and (3). By Nakayama’s Lemma the elements $x_α$ generate $M$ over $R$. The assumption $Tor^R_1(R/I, M) = 0$ implies that we have a short exact sequence

$$0 → I ⊗_R M → M → M/IM → 0.$$ 

Let $\sum f_α x_α = 0$ be a relation in $M$. By choice of $x_α$ we see that $f_α \in I$. Hence we conclude that $\sum f_α ⊗ x_α = 0$ in $I ⊗_R M$. The map $I ⊗_R M → I/I^2 ⊗_R/I M/IM$ and the fact that $\{x_α\}_{α ∈ A}$ forms a basis for $M/IM$ implies that $f_α \in I^2$! Hence we conclude that there are no relations among the images of the $x_α$ in $M/I^2M$. In other words, we see that $M/I^2M$ is free with basis the images of the $x_α$. Using the map $I ⊗_R M → I/I^3 ⊗_R/I^2 M/I^2M$ we then conclude that $f_α \in I^3$! And so on. Since $I^n = 0$ for some $n$ by assumption (1) we win.

Lemma 100.4. Let $φ : R → R’$ be a ring map. Let $I ⊂ R$ be an ideal. Let $M$ be an $R$-module. Assume

1. $M/IM$ is flat over $R/I$, and
2. $R’ ⊗_R M$ is flat over $R’$.

Set $I_2 = φ^{-1}(φ(I^2) R’)$. Then $M/I_2M$ is flat over $R/I_2$.

Proof. We may replace $R$, $M$, and $R’$ by $R/I_2$, $M/I_2M$, and $R’/φ(I^2) R’$. Then $I^2 = 0$ and $φ$ is injective. By Lemma 98.8 and the fact that $I^2 = 0$ it suffices to prove that $Tor^R_1(R/I, M) = K = Ker(I ⊗_R M → M)$ is zero. Set $M’ = M ⊗_R R’$ and $I’ = IR’$. By assumption the map $I’ ⊗_R M’ → M’$ is injective. Hence $K$ maps to zero in

$$I’ ⊗_R M’ = I’ ⊗_R M = I’ ⊗_{R/I} M/IM.$$ 

Then $I → I’$ is an injective map of $R/I$-modules. Since $M/IM$ is flat over $R/I$ the map

$$I ⊗_{R/I} M/IM → I’ ⊗_{R/I} M/IM$$

is injective. This implies that $K$ is zero in $I ⊗_R M = I ⊗_{R/I} M/IM$ as desired.
Lemma 100.5. Let \( \varphi : R \to R' \) be a ring map. Let \( I \subset R \) be an ideal. Let \( M \) be an \( R \)-module. Assume

1. \( I \) is nilpotent,
2. \( R \to R' \) is injective,
3. \( M/IM \) is flat over \( R/I \), and
4. \( R' \otimes_R M \) is flat over \( R' \).

Then \( M \) is flat over \( R \).

Proof. Define inductively \( I_1 = I \) and \( I_{n+1} = \varphi^{-1}(\varphi(I_n)^2 R') \) for \( n \geq 1 \). Note that by Lemma 100.4 we find that \( M/I_nM \) is flat over \( R/I^n \) for each \( n \geq 1 \). It is clear that \( \varphi(I_n) \subset \varphi(I)^2 R' \). Since \( I \) is nilpotent we see that \( \varphi(I_n) = 0 \) for some \( n \). As \( \varphi \) is injective we conclude that \( I_n = 0 \) for some \( n \) and we win. \( \square \)

Here is the local Artinian version of the local criterion for flatness.

Lemma 100.6. Let \( R \) be an Artinian local ring. Let \( M \) be an \( R \)-module. Let \( I \subset R \) be a proper ideal. The following are equivalent

1. \( M \) is flat over \( R \), and
2. \( M/IM \) is flat over \( R/I \) and \( \text{Tor}_1^R(R/I, M) = 0 \).

Proof. The implication (1) \( \Rightarrow \) (2) follows immediately from the definitions. Assume \( M/IM \) is flat over \( R/I \) and \( \text{Tor}_1^R(R/I, M) = 0 \). By Lemma 100.2 this implies that \( M/IM \) is free over \( R/I \). Pick a set \( A \) and elements \( x_\alpha \in M \) such that the images in \( M/IM \) form a basis. By Lemma 100.3 we conclude that \( M \) is free and in particular flat. \( \square \)

It turns out that flatness descends along injective homomorphism whose source is an Artinian ring.

Lemma 100.7. Let \( R \to S \) be a ring map. Let \( M \) be an \( R \)-module. Assume

1. \( R \) is Artinian
2. \( R \to S \) is injective, and
3. \( M \otimes_R S \) is a flat \( S \)-module.

Then \( M \) is a flat \( R \)-module.

Proof. First proof: Let \( I \subset R \) be the Jacobson radical of \( R \). Then \( I \) is nilpotent and \( M/IM \) is flat over \( R/I \) as \( R/I \) is a product of fields, see Section 52. Hence \( M \) is flat by an application of Lemma 100.5.

Second proof: By Lemma 52.6 we may write \( R = \prod R_i \) as a finite product of local Artinian rings. This induces similar product decompositions for both \( R \) and \( S \). Hence we reduce to the case where \( R \) is local Artinian (details omitted).

Assume that \( R \to S \), \( M \) are as in the lemma satisfying (1), (2), and (3) and in addition that \( R \) is local with maximal ideal \( m \). Let \( A \) be a set and \( x_\alpha \in A \) be elements such that \( \pi_\alpha \) forms a basis for \( M/mM \) over \( R/m \). By Nakayama’s Lemma 19.1 we see that the elements \( x_\alpha \) generate \( M \) as an \( R \)-module. Set \( N = S \otimes_R M \) and \( I = mS \). Then \( \{ 1 \otimes x_\alpha \}_{\alpha \in A} \) is a family of elements of \( N \) which form a basis for \( N/I \cdot N \). Moreover, since \( N \) is flat over \( S \) we have \( \text{Tor}_1^S(S/I, N) = 0 \). Thus we conclude from Lemma 100.3 that \( N \) is free on \( \{ 1 \otimes x_\alpha \}_{\alpha \in A} \). The injectivity of \( R \to S \) then guarantees that there cannot be a nontrivial relation among the \( x_\alpha \) with coefficients in \( R \). \( \square \)
Please compare the lemma below to Lemma 98.15 (the case of Noetherian local rings), Lemma 127.8 (the case of finitely presented algebras), and Lemma 127.10 (the case of locally nilpotent ideals).

**Lemma 100.8** (Critère de platitude par fibres: Nilpotent case). Let $S \twoheadrightarrow S'$ be a commutative diagram in the category of rings. Let $I \subset R$ be a nilpotent ideal and $M$ an $S'$-module. Assume

1. The module $M/IM$ is a flat $S/IS$-module.
2. The module $M$ is a flat $R$-module.

Then $M$ is a flat $S$-module and $S_q$ is flat over $R$ for every $q \subset S$ such that $M \otimes_S \kappa(q)$ is nonzero.

**Proof.** As $M$ is flat over $R$ tensoring with the short exact sequence $0 \to I \to R \to R/I \to 0$ gives a short exact sequence

$$0 \to I \otimes_R M \to M \to M/IM \to 0.$$

Note that $I \otimes_R M \to IS \otimes_S M$ is surjective. Combined with the above this means both maps in

$$I \otimes_R M \to IS \otimes_S M \to M$$

are injective. Hence $\text{Tor}^S_1(IS, M) = 0$ (see Remark 74.9) and we conclude that $M$ is a flat $S$-module by Lemma 98.8. To finish we need to show that $S_q$ is flat over $R$ for any prime $q \subset S$ such that $M \otimes_S \kappa(q)$ is nonzero. This follows from Lemma 38.15 and 38.10. □

101. What makes a complex exact?

Some of this material can be found in the paper [BE73] by Buchsbaum and Eisenbud.

**Situation 101.1.** Here $R$ is a ring, and we have a complex

$$0 \to R^{n_e} \xrightarrow{\varphi_e} R^{n_{e-1}} \xrightarrow{\varphi_{e-1}} \ldots \xrightarrow{\varphi_1} R^n \xrightarrow{\varphi_0} R^{n-1} \xrightarrow{\varphi_{-1}} \ldots.$$  

In other words we require $\varphi_i \circ \varphi_{i+1} = 0$ for $i = 1, \ldots, e - 1$.

**Lemma 101.2.** Suppose $R$ is a ring. Let

$$\ldots \xrightarrow{\varphi_{i+1}} R^{n_i} \xrightarrow{\varphi_i} R^{n_{i-1}} \xrightarrow{\varphi_{i-1}} \ldots$$

be a complex of finite free $R$-modules. Suppose that for some $i$ some matrix coefficient of the map $\varphi_i$ is invertible. Then the displayed complex is isomorphic to the direct sum of a complex

$$\ldots \to R^{n_{i+2}} \xrightarrow{\varphi_{i+2}} R^{n_{i+1}} \to R^{n_i} \to R^{n_{i-1}} \to R^{n_{i-2}} \to R^{n_{i-3}} \to \ldots$$

and the complex $\ldots \to 0 \to R \to R \to 0 \to \ldots$ where the map $R \to R$ is the identity map.
In Situation 101.1. Let \( R \) be a ring. Suppose that \( 0 \) is a maximal ideal of \( R \). Assume \( m \in \text{Ass}(R) \), in other words \( R \) has depth 0. Suppose that \( 0 \to R^n \to R^{n-1} \to \cdots \to R^0 \) is exact at \( R^n \). Then the complex is isomorphic to a direct sum of trivial complexes.

**Proof.** Pick \( x \in R \), \( x \neq 0 \), with \( mx = 0 \). Let \( i \) be the biggest index such that \( n_i > 0 \). If \( i = 0 \), then the statement is true. If \( i > 0 \) denote \( f_1 \) the first basis vector of \( R^{n_i} \). Since \( xf_1 \) is not mapped to zero by exactness of the complex we deduce that some matrix coefficient of the map \( R^{n_i} \to R^{n_{i-1}} \) is not in \( m \). Lemma 101.2 then allows us to decrease \( n_i \) + \( \cdots + n_1 \). Induction finishes the proof.

In Situation 101.1 we say a complex of the form
\[
0 \to \cdots \to 0 \to R \xrightarrow{1} R \to 0 \to \cdots \to 0
\]
or of the form
\[
0 \to \cdots \to 0 \to R
\]
is trivial. More precisely, we say \( 0 \to R^n \to R^{n-1} \to \cdots \to R^0 \) is trivial if either there exists an \( e \geq i \geq 1 \) with \( n_i = n_{i-1} = 1 \), \( \varphi_i = \text{id}_R \), and \( n_j = 0 \) for \( j \not\in \{i, i-1\} \) or \( n_0 = 1 \) and \( n_i = 0 \) for \( i > 0 \). The lemma above clearly says that any finite complex of finite free modules over a local ring is up to direct sums with trivial complexes the same as a complex all of whose maps have all matrix coefficients in the maximal ideal.

**Lemma 101.3.** In Situation 101.1. Suppose \( R \) is a local Noetherian ring with maximal ideal \( m \). Assume \( m \in \text{Ass}(R) \), in other words \( R \) has depth 0. Suppose that \( 0 \to R^n \to R^{n-1} \to \cdots \to R^0 \) is exact at \( R^n \). Then the complex is isomorphic to a direct sum of trivial complexes.

**Proof.** This is a special case of Lemma 101.3 because an Artinian local ring has depth 0.

Below we define the rank of a map of finite free modules. This is just one possible definition of rank. It is just the definition that works in this section; there are others that may be more convenient in other settings.

**Definition 101.5.** Let \( R \) be a ring. Suppose that \( \varphi : R^m \to R^n \) is a map of finite free modules.

1. The rank of \( \varphi \) is the maximal \( r \) such that \( \wedge^r \varphi : \wedge^r R^m \to \wedge^r R^n \) is nonzero.
2. We let \( I(\varphi) \subset R \) be the ideal generated by the \( r \times r \) minors of the matrix of \( \varphi \), where \( r \) is the rank as defined above.

**Lemma 101.6.** In Situation 101.1, suppose the complex is isomorphic to a direct sum of trivial complexes. Then we have
In Situation 101.1. Suppose $R$ is a local ring with maximal ideal $m$. Suppose that $0 \to R^{n_e} \to R^{n_{e-1}} \to \cdots \to R^{n_0}$ is exact at $R^{n_e}, \ldots, R^{n_1}$. Let $x \in m$ be a nonzerodivisor. The complex $0 \to (R/xR)^{n_e} \to \cdots \to (R/xR)^{n_1}$ is exact at $(R/xR)^{n_e}, \ldots, (R/xR)^{n_2}$.

Proof. Denote $F_i$ the complex with terms $F_i = R^{n_i}$ and differential given by $\varphi_i$. Then we have a short exact sequence of complexes

$$0 \to F_i \to F_{i+1} / xF_{i+1} \to 0$$

Applying the snake lemma we get a long exact sequence

$$H_i(F_i) \to H_i(F_{i+1} / xF_{i+1}) \to H_{i-1}(F_i) \to H_{i+1}(F_i)$$

The lemma follows.

Lemma 101.8 (Acyclicity lemma). Let $R$ be a local Noetherian ring. Let $0 \to M_e \to M_{e-1} \to \cdots \to M_0$ be a complex of finite $R$-modules. Assume $\text{depth}(M_i) \geq i$. Let $i$ be the largest index such that the complex is not exact at $M_i$. If $i > 0$ then $\text{Ker}(M_i \to M_{i-1}) / \text{Im}(M_{i+1} \to M_i)$ has depth $\geq 1$.

Proof. Let $H = \text{Ker}(M_i \to M_{i-1}) / \text{Im}(M_{i+1} \to M_i)$ be the cohomology group in question. We may break the complex into short exact sequences $0 \to M_e \to M_{e-1} \to 0, 0 \to K_j \to M_j \to K_{j-1} \to 0, \text{for } i+2 \leq j \leq e-2, 0 \to K_{i+1} \to M_{i+1} \to B_i \to 0, 0 \to K_i \to M_i \to M_{i-1},$ and $0 \to B_i \to K_i \to H \to 0$. We proceed up through these complexes to prove the statements about depths, repeatedly using Lemma 71.6. First of all, since $\text{depth}(M_e) \geq e$, and $\text{depth}(M_{e-1}) \geq e-1$ we deduce that $\text{depth}(K_e) \geq e-1$. At this point the sequences $0 \to K_j \to M_j \to K_{j-1} \to 0$ for $i+2 \leq j \leq e-2$ imply similarly that $\text{depth}(K_{j-1}) \geq j$ for $i+2 \leq j \leq e-2$. The sequence $0 \to K_{i+1} \to M_{i+1} \to B_i \to 0$ then shows that $\text{depth}(B_i) \geq i+1$. The sequence $0 \to K_i \to M_i \to M_{i-1}$ shows that $\text{depth}(K_i) \geq 1$ since $M_i$ has depth $\geq i \geq 1$ by assumption. The sequence $0 \to B_i \to K_i \to H \to 0$ then implies the result.

Proposition 101.9. In Situation 101.1 suppose $R$ is a local Noetherian ring. The following are equivalent

1. $0 \to R^{n_e} \to R^{n_{e-1}} \to \cdots \to R^{n_0}$ is exact at $R^{n_e}, \ldots, R^{n_1}$, and
2. for all $i, 1 \leq i \leq e$ the following two conditions are satisfied:
   a. $\text{rank}(\varphi_i) = r_i$, where $r_i = n_i - n_{i+1} + \cdots + (-1)^{e-i}n_{e-1} + (-1)^{e-i}n_e$,
   b. $I(\varphi_i) = R$, or $I(\varphi_i)$ contains a regular sequence of length $i$.
Here we show that Cohen-Macaulay modules have good properties. We postpone using Ext groups to establish the connection with duality and so on.

**Definition 102.1.** Let $R$ be a Noetherian local ring. Let $M$ be a finite $R$-module. We say $M$ is **Cohen-Macaulay** if $\text{dim}(\text{Supp}(M)) = \text{depth}(M)$.

A first goal will be to establish Proposition 102.4. We do this by a (perhaps nonstandard) sequence of elementary lemmas involving almost none of the earlier results on depth. Let us introduce some notation.

Let $R$ be a local Noetherian ring. Let $M$ be a Cohen-Macaulay module, and let $f_1, \ldots, f_d$ be an $M$-regular sequence with $d = \text{dim}(\text{Supp}(M))$. We say that $g \in \mathfrak{m}$ is **good with respect to** $(M, f_1, \ldots, f_d)$ if for all $i = 0, 1, \ldots, d - 1$ we have $\text{dim}(\text{Supp}(M) \cap V(g, f_1, \ldots, f_i)) = d - i - 1$. This is equivalent to the condition that $\text{dim}(\text{Supp}(M/(f_1, \ldots, f_i)M) \cap V(g)) = d - i - 1$ for $i = 0, 1, \ldots, d - 1$. 

**Proof.** If for some $i$ some matrix coefficient of $\varphi_i$ is not in $\mathfrak{m}$, then we apply Lemma 101.2. It is easy to see that the proposition for a complex and for the same complex with a trivial complex added to it are equivalent. Thus we may assume that all matrix entries of each $\varphi_i$ are elements of the maximal ideal. We may also assume that $e \geq 1$.

Assume the complex is exact at $R^{n_0}, \ldots, R^{n_1}$. Let $q \in \text{Ass}(R)$. Note that the ring $R_q$ has depth 0 and that the complex remains exact after localization at $q$. We apply Lemmas 101.3 and 101.6 to the localized complex over $R_q$. We conclude that $\varphi_{1,q}$ has rank $r_i$ for all $i$. Since $R \to \bigoplus_{q \in \text{Ass}(R)} R_q$ is injective (Lemma 62.10), we conclude that $\varphi_i$ has rank $r_i$ over $R$ by the definition of rank as given in Definition 101.5. Therefore we see that $\text{Ass}(R)$ injective (Lemma 62.19), we may choose $x \in \phi_i$ for all $q \in \text{Ass}(R)$.

Observe that $x$ is a nonzero divisor (Lemma 62.9). According to Lemma 101.7 the complex $0 \to (R/xR)^{n_0} \to \cdots \to (R/xR)^{n_1}$ is exact at $(R/xR)^{n_0}, \ldots, (R/xR)^{n_2}$. By induction on $e$ all the ideals $\phi_i/xR$ have a regular sequence of length $i - 1$. This proves that $\phi_i$ contains a regular sequence of length $i$.

Assume (2)(a) and (2)(b) hold. We claim that for any prime $p \subseteq R$ conditions (2)(a) and (2)(b) hold for the complex $0 \to R_p^{n_0} \to R_p^{n_1} \to \cdots \to R_p^{n_0}$ with maps $\varphi_{1,p}$ over $R_p$. Namely, since $I(\varphi_i)$ contains a nonzero divisor, the image of $I(\varphi_i)$ in $R_p$ is nonzero. This implies that the rank of $\varphi_{1,p}$ is the same as the rank of $\varphi_i$: the rank as defined above of a matrix $\varphi$ over a ring $R$ can only drop when passing to an $R$-algebra $R'$ and this happens if and only if $I(\varphi)$ maps to zero in $R'$. Thus (2)(a) holds. Having said this we know that $I(\varphi_{1,p}) = I(\varphi_i)_p$ and we see that (2)(b) is preserved under localization as well. By induction on the dimension of $R$ we may assume the complex is exact when localized at any nonmaximal prime $p$ of $R$. Thus $\text{Ker}(\phi_i)/\text{Im}(\phi_{i+1})$ has support contained in $\{ \mathfrak{m} \}$ and hence if nonzero has depth 0. As $I(\phi_i) \subseteq \mathfrak{m}$ for all $i$ because of what was said in the first paragraph of the proof, we see that (2)(b) implies $\text{depth}(R) \geq e$. By Lemma 101.8 we see that the complex is exact at $R^{n_0}, \ldots, R^{n_1}$ concluding the proof. 

**102. Cohen-Macaulay modules**
Lemma 102.2. Notation and assumptions as above. If \( g \) is good with respect to \((M, f_1, \ldots, f_d)\), then (a) \( g \) is a nonzerodivisor on \( M \), and (b) \( M/gM \) is Cohen-Macaulay with maximal regular sequence \( f_1, \ldots, f_{d-1} \).

Proof. We prove the lemma by induction on \( d \). If \( d = 0 \), then \( M \) is finite and there is no case to which the lemma applies. If \( d = 1 \), then we have to show that \( g : M \to M \) is injective. The kernel \( K \) has support \( \{m\} \) because by assumption \( \dim \text{Supp}(M) \cap V(g) = 0 \). Hence \( K \) has finite length. Hence \( f_1 : K \to K \) injective implies the length of the image is the length of \( K \), and hence \( f_1K = K \), which by Nakayama’s Lemma \([19.1]\) implies \( K = 0 \). Also, \( \dim \text{Supp}(M/gM) = 0 \) and so \( M/gM \) is Cohen-Macaulay of depth 0.

Assume \( d > 1 \). Observe that \( g \) is good for \((M/f_1M, f_2, \ldots, f_d)\), as is easily seen from the definition. By induction, we have that (a) \( g \) is a nonzerodivisor on \( M/f_1M \) and (b) \( M/(g, f_1)M \) is Cohen-Macaulay with maximal regular sequence \( f_2, \ldots, f_{d-1} \). By Lemma [67.3] we see that \( g, f_1 \) is an \( M \)-regular sequence. Hence \( g \) is a nonzerodivisor on \( M \) and \( f_1, \ldots, f_{d-1} \) is an \( M/gM \)-regular sequence. \( \square \)

Lemma 102.3. Let \( R \) be a Noetherian local ring. Let \( M \) be a Cohen-Macaulay module over \( R \). Suppose \( g \in m \) is such that \( \dim (\text{Supp}(M) \cap V(g)) = \dim (\text{Supp}(M)) - 1 \). Then (a) \( g \) is a nonzerodivisor on \( M \), and (b) \( M/gM \) is Cohen-Macaulay of depth one less.

Proof. Choose a \( M \)-regular sequence \( f_1, \ldots, f_d \) with \( d = \dim (\text{Supp}(M)) \). If \( g \) is good with respect to \((M, f_1, \ldots, f_d)\) we win by Lemma [102.2]. In particular the lemma holds if \( d = 1 \). (The case \( d = 0 \) does not occur.) Assume \( d > 1 \). Choose an element \( h \in R \) such that (i) \( h \) is good with respect to \((M, f_1, \ldots, f_d)\), and (ii) \( \dim (\text{Supp}(M) \cap V(h,g)) = d - 2 \). To see \( h \) exists, let \( \{q_j\} \) be the (finite) set of minimal primes of the closed sets \( \text{Supp}(M), \text{Supp}(M) \cap V(f_1, \ldots, f_i), i = 1, \ldots, d - 1 \), and \( \text{Supp}(M) \cap V(g) \). None of these \( q_j \) is equal to \( m \) and hence we may find \( h \in m, h \not\in q_j \) by Lemma [14.2]. It is clear that \( h \) satisfies (i) and (ii). From Lemma [102.2] we conclude that \( M/hM \) is Cohen-Macaulay. By (ii) we see that the pair \((M/hM, g)\) satisfies the induction hypothesis. Hence \( M/(h,g)M \) is Cohen-Macaulay and \( g : M/hM \to M/hM \) is injective. By Lemma [67.3] we see that \( g : M \to M \) and \( h : M/gM \to M/gM \) are injective. Combined with the fact that \( M/(h,g)M \) is Cohen-Macaulay this finishes the proof. \( \square \)

Proposition 102.4. Let \( R \) be a Noetherian local ring, with maximal ideal \( m \). Let \( M \) be a Cohen-Macaulay module over \( R \) whose support has dimension \( d \). Suppose that \( g_1, \ldots, g_c \) are elements of \( m \) such that \( \dim (\text{Supp}(M/(g_1, \ldots, g_c)M)) = d - c \). Then \( g_1, \ldots, g_c \) is an \( M \)-regular sequence, and can be extended to a maximal \( M \)-regular sequence.

Proof. Let \( Z = \text{Supp}(M) \subset \text{Spec}(R) \). By Lemma [59.12] in the chain \( Z \supset Z \cap V(g_1) \supset \cdots \supset Z \cap V(g_1, \ldots, g_c) \) each step decreases the dimension at most by 1. Hence by assumption each step decreases the dimension by exactly 1 each time. Thus we may successively apply Lemma [102.3] to the modules \( M/(g_1, \ldots, g_i) \) and the element \( g_{i+1} \).

To extend \( g_1, \ldots, g_c \) by one element if \( c < d \) we simply choose an element \( g_{c+1} \in m \) which is not in any of the finitely many minimal primes of \( Z \cap V(g_1, \ldots, g_c) \), using Lemma [14.2]. \( \square \)
Having proved Proposition 102.4 we continue the development of standard theory.

**Lemma 102.5.** Let \( R \) be a Noetherian local ring with maximal ideal \( m \). Let \( M \) be a finite \( R \)-module. Let \( x \in m \) be a nonzerodivisor on \( M \). Then \( M \) is Cohen-Macaulay if and only if \( M/xM \) is Cohen-Macaulay.

**Proof.** By Lemma 71.7 we have \( \text{depth}(M/xM) = \text{depth}(M) - 1 \). By Lemma 62.10 we have \( \dim(\text{Supp}(M)) = \text{depth}(M) - 1 \).

**Lemma 102.6.** Let \( R \to S \) be a surjective homomorphism of Noetherian local rings. Let \( N \) be a finite \( S \)-module. Then \( N \) is Cohen-Macaulay as an \( S \)-module if and only if \( N \) is Cohen-Macaulay as an \( R \)-module.

**Proof.** Omitted.

**Lemma 102.7.** Let \( R \) be a Noetherian local ring. Let \( M \) be a finite Cohen-Macaulay \( R \)-module. If \( p \in \text{Ass}(M) \), then \( \dim(R/p) = \dim(\text{Supp}(M)) \) and \( p \) is a minimal prime in the support of \( M \). In particular, \( M \) has no embedded associated primes.

**Proof.** By Lemma 71.9 we have \( \text{depth}(M) \leq \dim(R/p) \). Of course \( \dim(R/p) \leq \dim(\text{Supp}(M)) \) as \( p \in \text{Supp}(M) \) (Lemma 62.2). Thus we have equality in both inequalities as \( M \) is Cohen-Macaulay. Then \( p \) must be minimal in \( \text{Supp}(M) \) otherwise we would have \( \dim(R/p) < \dim(\text{Supp}(M)) \). Finally, minimal primes in the support of \( M \) are equal to the minimal elements of \( \text{Ass}(M) \) (Proposition 62.6) hence \( M \) has no embedded associated primes (Definition 66.1).

**Definition 102.8.** Let \( R \) be a Noetherian local ring. A finite module \( M \) over \( R \) is called a maximal Cohen-Macaulay module if \( \text{depth}(M) = \dim(R) \).

In other words, a maximal Cohen-Macaulay module over a Noetherian local ring is a finite module with the largest possible depth over that ring. Equivalently, a maximal Cohen-Macaulay module over a Noetherian local ring \( R \) is a Cohen-Macaulay module of dimension equal to the dimension of the ring. In particular, if \( M \) is a Cohen-Macaulay \( R \)-module with \( \text{Spec}(R) = \text{Supp}(M) \), then \( M \) is maximal Cohen-Macaulay. Thus the following two lemmas are on maximal Cohen-Macaulay modules.

**Lemma 102.9.** Let \( R \) be a Noetherian local ring. Assume there exists a Cohen-Macaulay module \( M \) with \( \text{Spec}(R) = \text{Supp}(M) \). Then any maximal chain of ideals \( p_0 \subset p_1 \subset \ldots \subset p_n \) has length \( n = \dim(R) \).

**Proof.** We will prove this by induction on \( \dim(R) \). If \( \dim(R) = 0 \), then the statement is clear. Assume \( \dim(R) > 0 \). Then \( n > 0 \). Choose an element \( x \in p_1 \), with \( x \) not in any of the minimal primes of \( R \), and in particular \( x \not\in p_0 \). (See Lemma 14.2.) Then \( \dim(R/xR) = \dim(R) - 1 \) by Lemma 69.12. The module \( M/xM \) is Cohen-Macaulay over \( R/xR \) by Proposition 102.4 and Lemma 102.6. The support of \( M/xM \) is \( \text{Spec}(R/xR) \) by Lemma 39.9. After replacing \( x \) by \( x^n \) for some \( n \), we may assume that \( p_1 \) is an associated prime of \( M/xM \), see Lemma 71.8. By Lemma 102.7 we conclude that \( p_1/(x) \) is a minimal prime of \( R/xR \). It follows that the chain \( p_1/(x) \subset \ldots \subset p_n/(x) \) is a maximal chain of primes in \( R/xR \). By induction we find that this chain has length \( \dim(R/xR) = \dim(R) - 1 \) as desired.
Lemma 102.10. Suppose $R$ is a Noetherian local ring. Assume there exists a Cohen-Macaulay module $M$ with $\text{Spec}(R) = \text{Supp}(M)$. Then for a prime $\mathfrak{p} \subset R$ we have
\[ \dim(R) = \dim(R_{\mathfrak{p}}) + \dim(R/\mathfrak{p}). \]

Proof. Follows immediately from Lemma 102.9.

Lemma 102.11. Suppose $R$ is a Noetherian local ring. Let $M$ be a Cohen-Macaulay module over $R$. For any prime $\mathfrak{p} \subset R$ the module $M_{\mathfrak{p}}$ is Cohen-Macaulay over $R_{\mathfrak{p}}$.

Proof. We may and do assume $\mathfrak{p} \neq \mathfrak{m}$ and $M$ not zero. Choose a maximal chain of primes $\mathfrak{p} = \mathfrak{p}_c \subset \mathfrak{p}_{c-1} \subset \ldots \subset \mathfrak{p}_1 \subset \mathfrak{m}$. If we prove the result for $M_{\mathfrak{p}_c}$ over $R_{\mathfrak{p}_1}$, then the lemma will follow by induction on $c$. Thus we may assume that there is no prime strictly between $\mathfrak{p}$ and $\mathfrak{m}$. Note that $\dim(\text{Supp}(M_{\mathfrak{p}})) \leq \dim(\text{Supp}(M)) - 1$ because any chain of primes in the support of $M_{\mathfrak{p}}$ can be extended by one more prime (namely $\mathfrak{m}$) in the support of $M$. On the other hand, we have $\text{depth}(M_{\mathfrak{p}}) \geq \text{depth}(M) - \dim(R/\mathfrak{p}) = \text{depth}(M) - 1$ by Lemma 71.10 and our choice of $\mathfrak{p}$. Thus $\text{depth}(M_{\mathfrak{p}}) \geq \dim(\text{Supp}(M_{\mathfrak{p}}))$ as desired (the other inequality is Lemma 71.3).

Definition 102.12. Let $R$ be a Noetherian ring. Let $M$ be a finite $R$-module. We say $M$ is Cohen-Macaulay if $M_{\mathfrak{p}}$ is a Cohen-Macaulay module over $R_{\mathfrak{p}}$ for all primes $\mathfrak{p}$ of $R$.

By Lemma 102.11 it suffices to check this in the maximal ideals of $R$.

Lemma 102.13. Let $R$ be a Noetherian ring. Let $M$ be a Cohen-Macaulay module over $R$. Then $M \otimes_R R[x_1, \ldots, x_n]$ is a Cohen-Macaulay module over $R[x_1, \ldots, x_n]$.

Proof. By induction on the number of variables it suffices to prove this for $M[x] = M \otimes_R R[x]$ over $R[x]$. Let $\mathfrak{m} \subset R[x]$ be a maximal ideal, and let $\mathfrak{p} = R \cap \mathfrak{m}$. Let $f_1, \ldots, f_d$ be a $M_{\mathfrak{p}}$-regular sequence in the maximal ideal of $R_{\mathfrak{p}}$ of length $d = \dim(\text{Supp}(M_{\mathfrak{p}}))$. Note that since $R[x]$ is flat over $R$ the localization $R[x]_{\mathfrak{m}}$ is flat over $R_{\mathfrak{m}}$. Hence, by Lemma 67.5, the sequence $f_1, \ldots, f_d$ is a $M[x]_{\mathfrak{m}}$-regular sequence of length $d$ in $R[x]_{\mathfrak{m}}$. The quotient
\[ Q = M[x]_{\mathfrak{m}}/(f_1, \ldots, f_d)M[x]_{\mathfrak{m}} = M_{\mathfrak{p}}/(f_1, \ldots, f_d)M_{\mathfrak{p}} \otimes_{R_{\mathfrak{p}}} R[x]_{\mathfrak{m}} \]
has support equal to the primes lying over $\mathfrak{p}$ because $R_{\mathfrak{p}} \rightarrow R[x]_{\mathfrak{m}}$ is flat and the support of $M_{\mathfrak{p}}/(f_1, \ldots, f_d)M_{\mathfrak{p}}$ is equal to $\{\mathfrak{p}\}$ (details omitted; hint: follows from Lemmas 39.4 and 39.5). Hence the dimension is 1. To finish the proof it suffices to find an $f \in \mathfrak{m}$ which is a nonzerodivisor on $Q$. Since $\mathfrak{m}$ is a maximal ideal, the field extension $\kappa(\mathfrak{p}) \subset \kappa(\mathfrak{m})$ is finite (Theorem 33.1). Hence we can find $f \in \mathfrak{m}$ which viewed as a polynomial in $x$ has leading coefficient not in $\mathfrak{p}$. Such an $f$ acts as a nonzerodivisor on
\[ M_{\mathfrak{p}}/(f_1, \ldots, f_d)M_{\mathfrak{p}} \otimes_R R[x] = \bigoplus_{n \geq 0} M_{\mathfrak{p}}/(f_1, \ldots, f_d)M_{\mathfrak{p}} \cdot x^n \]
as desired.□

103. Cohen-Macaulay rings

Most of the results of this section are special cases of the results in Section 102.

Definition 103.1. A Noetherian local ring $R$ is called Cohen-Macaulay if it is Cohen-Macaulay as a module over itself.
Note that this is equivalent to requiring the existence of a $R$-regular sequence $x_1, \ldots, x_d$ of the maximal ideal such that $R/(x_1, \ldots, x_d)$ has dimension 0. We will usually just say “regular sequence” and not “$R$-regular sequence”.

**Lemma 103.2.** Let $R$ be a Noetherian local Cohen-Macaulay ring with maximal ideal $m$. Let $x_1, \ldots, x_c \in m$ be elements. Then

$x_1, \ldots, x_c$ is a regular sequence $\iff \dim(R/(x_1, \ldots, x_c)) = \dim(R) - c$

If so $x_1, \ldots, x_c$ can be extended to a regular sequence of length $\dim(R)$ and each quotient $R/(x_1, \ldots, x_i)$ is a Cohen-Macaulay ring of dimension $\dim(R) - i$.

**Proof.** Special case of Proposition 102.4.

**Lemma 103.3.** Let $R$ be Noetherian local. Suppose $R$ is Cohen-Macaulay of dimension $d$. Any maximal chain of ideals $p_0 \subset p_1 \subset \ldots \subset p_n$ has length $n = d$.

**Proof.** Special case of Lemma 102.9.

**Lemma 103.4.** Suppose $R$ is a Noetherian local Cohen-Macaulay ring of dimension $d$. For any prime $p \subset R$ we have

$$\dim(R) = \dim(R_p) + \dim(R/p).$$

**Proof.** Follows immediately from Lemma 103.3. (Also, this is a special case of Lemma 102.10.)

**Lemma 103.5.** Suppose $R$ is a Cohen-Macaulay local ring. For any prime $p \subset R$ the ring $R_p$ is Cohen-Macaulay as well.

**Proof.** Special case of Lemma 102.11.

**Definition 103.6.** A Noetherian ring $R$ is called Cohen-Macaulay if all its local rings are Cohen-Macaulay.

**Lemma 103.7.** Suppose $R$ is a Noetherian Cohen-Macaulay ring. Any polynomial algebra over $R$ is Cohen-Macaulay.

**Proof.** Special case of Lemma 102.13.

**Lemma 103.8.** Let $R$ be a Noetherian local Cohen-Macaulay ring of dimension $d$. Let $0 \to K \to R^\oplus n \to M \to 0$ be an exact sequence of $R$-modules. Then either $M = 0$, or $\depth(K) > \depth(M)$, or $\depth(K) = \depth(M) = d$.

**Proof.** If $d = 0$, then every nonzero $R$-module has depth 0 and the lemma is true. Assume $d > 0$. Then $\depth(K) > 0$ as $K$ is a submodule of a module of depth $> 0$. Hence the lemma holds if $\depth(M) = 0$. Assume both $\depth(M) > 0$ and $d > 0$. Then we choose $x \in m$ which is a nonzerodivisor on $M$ and on $R$. Then $x$ is a nonzerodivisor on $M$ and on $K$ and it follows by an easy diagram chase that $0 \to K/xK \to (R/xR)^\oplus n \to M/xM \to 0$ is exact. Using Lemmas 71.7 and 103.2 we find the result follows from the result for $K/xK$ over $R/xR$ which has smaller dimension.

**Lemma 103.9.** Let $R$ be a local Noetherian Cohen-Macaulay ring of dimension $d$. Let $M$ be a finite $R$ module of depth $e$. There exists an exact complex

$$0 \to K \to F_{d-e-1} \to \ldots \to F_0 \to M \to 0$$

with each $F_i$ finite free and $K$ maximal Cohen-Macaulay.
Proof. Immediate from the definition and Lemma 103.8.

06LC Lemma 103.10. Let \( \varphi : A \to B \) be a map of local rings. Assume that \( B \) is Noetherian and Cohen-Macaulay and that \( \mathfrak{m}_B = \sqrt{\varphi(\mathfrak{m}_A)B} \). Then there exists a sequence of elements \( f_1, \ldots, f_{\dim(B)} \) in \( A \) such that \( \varphi(f_1), \ldots, \varphi(f_{\dim(B)}) \) is a regular sequence in \( B \).

Proof. By induction on \( \dim(B) \) it suffices to prove: If \( \dim(B) \geq 1 \), then we can find an element \( f \) of \( A \) which maps to a nonzerodivisor in \( B \). By Lemma 103.2 it suffices to find \( f \in A \) whose image in \( B \) is not contained in any of the finitely many minimal primes \( q_1, \ldots, q_r \) of \( B \). By the assumption that \( \mathfrak{m}_B = \sqrt{\varphi(\mathfrak{m}_A)B} \) we see that \( \mathfrak{m}_A \not\subseteq \varphi^{-1}(q_i) \). Hence we can find \( f \) by Lemma 14.2.

104. Catenary rings

00NH Definition 104.1. A ring \( R \) is said to be catenary if for any pair of prime ideals \( p \subseteq q \), all maximal chains of primes \( p = p_0 \supset p_1 \supset \cdots \supset p_e = q \) have the same (finite) length.

02IH Lemma 104.2. A ring \( R \) is catenary if and only if the topological space \( \text{Spec}(R) \) is catenary (see Topology, Definition 11.4).

Proof. Immediate from the definition and the characterization of irreducible closed subsets in Lemma 25.1.

In general it is not the case that a finitely generated \( R \)-algebra is catenary if \( R \) is. Thus we make the following definition.

00NL Definition 104.3. A Noetherian ring \( R \) is said to be universally catenary if every \( R \)-algebra of finite type is catenary.

We restrict to Noetherian rings as it is not clear this definition is the right one for non-Noetherian rings. By Lemma 104.7 to check a Noetherian ring \( R \) is universally catenary, it suffices to check each polynomial algebra \( R[x_1, \ldots, x_n] \) is catenary.

00NJ Lemma 104.4. Any localization of a catenary ring is catenary. Any localization of a Noetherian universally catenary ring is universally catenary.

Proof. Let \( A \) be a ring and let \( S \subseteq A \) be a multiplicative subset. The description of \( \text{Spec}(S^{-1}A) \) in Lemma 16.5 shows that if \( A \) is catenary, then so is \( S^{-1}A \). If \( S^{-1}A \to C \) is of finite type, then \( C = S^{-1}B \) for some finite type ring map \( A \to B \). Hence if \( A \) is Noetherian and universally catenary, then \( B \) is catenary and we see that \( C \) is catenary too. This proves the lemma.

0ECE Lemma 104.5. Let \( A \) be a Noetherian universally catenary ring. Any \( A \)-algebra essentially of finite type over \( A \) is universally catenary.

Proof. If \( B \) is a finite type \( A \)-algebra, then \( B \) is Noetherian by Lemma 30.1. Any finite type \( B \)-algebra is a finite type \( A \)-algebra and hence catenary by our assumption that \( A \) is universally catenary. Thus \( B \) is universally catenary. Any localization of \( B \) is universally catenary by Lemma 104.4 and this finishes the proof.

0AUN Lemma 104.6. Let \( R \) be a ring. The following are equivalent
(1) \( R \) is catenary,
(2) \( R_p \) is catenary for all prime ideals \( p \),
(3) \( R_m \) is catenary for all maximal ideals \( m \).

Assume \( R \) is Noetherian. The following are equivalent
(1) \( R \) is universally catenary,
(2) \( R_p \) is universally catenary for all prime ideals \( p \),
(3) \( R_m \) is universally catenary for all maximal ideals \( m \).

Proof. The implication (1) \( \Rightarrow \) (2) follows from Lemma 104.4 in both cases. The implication (2) \( \Rightarrow \) (3) is immediate in both cases. Assume \( R \) is Noetherian and \( R_m \) is catenary for all maximal ideals \( m \) of \( R \). If \( p \subset q \) are primes in \( R \), then choose a maximal ideal \( q \subset m \). Chains of primes ideals between \( p \) and \( q \) are in 1-to-1 correspondence with chains of prime ideals between \( p R_m \) and \( q R_m \) hence we see \( R \) is catenary. Assume \( R \) is Noetherian and \( R_m \) is universally catenary for all maximal ideals \( m \) of \( R \). Let \( R \to S \) be a finite type ring map. Let \( q \) be a prime ideal of \( S \) lying over the prime \( p \subset R \). Choose a maximal ideal \( p \subset m \) in \( R \). Then \( R_p \) is a localization of \( R_m \) hence universally catenary by Lemma 104.4. Then \( S_p \) is catenary as a finite type ring over \( R_p \). Hence \( S_q \) is catenary as a localization. Thus \( S \) is catenary by the first case treated above. \( \square \)

Lemma 104.7. Any quotient of a catenary ring is catenary. Any quotient of a Noetherian universally catenary ring is universally catenary.

Proof. Let \( A \) be a ring and let \( I \subset A \) be an ideal. The description of \( \text{Spec}(A/I) \) in Lemma 16.7 shows that if \( A \) is catenary, then so is \( A/I \). The second statement is a special case of Lemma 104.5. \( \square \)

Lemma 104.8. Let \( R \) be a Noetherian ring.
(1) \( R \) is catenary if and only if \( R/p \) is catenary for every minimal prime \( p \).
(2) \( R \) is universally catenary if and only if \( R/p \) is universally catenary for every minimal prime \( p \).

Proof. If \( a \subset b \) is an inclusion of primes of \( R \), then we can find a minimal prime \( p \subset a \) and the first assertion is clear. We omit the proof of the second. \( \square \)

Lemma 104.9. A Noetherian Cohen-Macaulay ring is universally catenary. More generally, if \( R \) is a Noetherian ring and \( M \) is a Cohen-Macaulay \( R \)-module with \( \text{Supp}(M) = \text{Spec}(R) \), then \( R \) is universally catenary.

Proof. Since a polynomial algebra over \( R \) is Cohen-Macaulay, by Lemma 103.7, it suffices to show that a Cohen-Macaulay ring is catenary. Let \( R \) be Cohen-Macaulay and \( p \subset q \) primes of \( R \). By definition \( R_q \) and \( R_p \) are Cohen-Macaulay. Take a maximal chain of primes \( p = p_0 \subset p_1 \subset \ldots \subset p_n = q \). Next choose a maximal chain of primes \( q_0 \subset q_1 \subset \ldots \subset q_m = p \). By Lemma 103.3 we have \( n + m = \dim(R_q) \). And we have \( m = \dim(R_p) \) by the same lemma. Hence \( n = \dim(R_q) - \dim(R_p) \) is independent of choices.

To prove the more general statement, argue exactly as above but using Lemmas 102.13 and 102.9. \( \square \)

Lemma 104.10. Let \( (A, m) \) be a Noetherian local ring. The following are equivalent
(1) \( A \) is catenary, and
(2) \( p \mapsto \dim(A/p) \) is a dimension function on \( \text{Spec}(A) \).

**Proof.** If \( A \) is catenary, then \( \text{Spec}(A) \) has a dimension function \( \delta \) by Topology, Lemma \( \text{[20.3]} \) (and Lemma \( \text{[104.2]} \)). We may assume \( \delta(\mathfrak{m}) = 0 \). Then we see that

\[
\delta(p) = \text{codim}(V(\mathfrak{m}), V(p)) = \dim(A/p)
\]

by Topology, Lemma \( \text{[20.2]} \). In this way we see that (1) implies (2). The reverse implication follows from Topology, Lemma \( \text{[20.2]} \) as well. \( \square \)

### 105. Regular local rings

**Lemma 105.1.** Let \((R, \mathfrak{m}, \kappa)\) be a regular local ring of dimension \(d\). The graded ring \( \bigoplus \mathfrak{m}^n/\mathfrak{m}^{n+1} \) is isomorphic to the graded polynomial algebra \( \kappa[X_1, \ldots, X_d] \).

**Proof.** Let \( x_1, \ldots, x_d \) be a minimal set of generators for the maximal ideal \( \mathfrak{m} \), see Definition \( \text{[59.9]} \). There is a surjection \( \kappa[X_1, \ldots, X_d] \to \bigoplus \mathfrak{m}^n/\mathfrak{m}^{n+1} \), which maps \( X_i \) to the class of \( x_i \) in \( \mathfrak{m}/\mathfrak{m}^2 \). Since \( \dim(R) = d \) by Proposition \( \text{[59.8]} \) we know that the numerical polynomial \( n \mapsto \dim_\kappa \mathfrak{m}^n/\mathfrak{m}^{n+1} \) has degree \( d - 1 \). By Lemma \( \text{[57.10]} \) we conclude that the surjection \( \kappa[X_1, \ldots, X_d] \to \bigoplus \mathfrak{m}^n/\mathfrak{m}^{n+1} \) is an isomorphism. \( \square \)

**Lemma 105.2.** Any regular local ring is a domain.

**Proof.** We will use that \( \bigcap \mathfrak{m}^n = 0 \) by Lemma \( \text{[30.4]} \). Let \( f, g \in R \) such that \( fg = 0 \). Suppose that \( f \in \mathfrak{m}^a \) and \( g \in \mathfrak{m}^b \), with \( a, b \) maximal. Since \( fg = 0 \in \mathfrak{m}^{a+b+1} \) we see from the result of Lemma \( \text{[105.1]} \) that either \( f \in \mathfrak{m}^{a+1} \) or \( g \in \mathfrak{m}^{b+1} \). Contradiction. \( \square \)

**Lemma 105.3.** Let \( R \) be a regular local ring and let \( x_1, \ldots, x_d \) be a minimal set of generators for the maximal ideal \( \mathfrak{m} \). Then \( x_1, \ldots, x_d \) is a regular sequence, and each \( R/(x_1, \ldots, x_c) \) is a regular local ring of dimension \( d - c \). In particular \( R \) is Cohen-Macaulay.

**Proof.** Note that \( R/x_1R \) is a Noetherian local ring of dimension \( \geq d - 1 \) by Lemma \( \text{[59.12]} \) with \( x_2, \ldots, x_d \) generating the maximal ideal. Hence it is a regular local ring by definition. Since \( R \) is a domain by Lemma \( \text{[105.2]} \), \( x_1 \) is a nonzerodivisor. \( \square \)

**Lemma 105.4.** Let \( R \) be a regular local ring. Let \( I \subset R \) be an ideal such that \( R/I \) is a regular local ring as well. Then there exists a minimal set of generators \( x_1, \ldots, x_d \) for the maximal ideal \( \mathfrak{m} \) of \( R \) such that \( I = (x_1, \ldots, x_c) \) for some \( 0 \leq c \leq d \).

**Proof.** Say \( \dim(R) = d \) and \( \dim(R/I) = d - c \). Denote \( \overline{m} = m/I \) the maximal ideal of \( R/I \). Let \( \kappa = R/m \). We have

\[
\dim_\kappa((I + m^2)/m^2) = \dim_\kappa(m/m^2) - \dim(\overline{m}/\overline{m}^2) = d - (d - c) = c
\]

by the definition of a regular local ring. Hence we can choose \( x_1, \ldots, x_c \in I \) whose images in \( m/m^2 \) are linearly independent and supplement with \( x_{c+1}, \ldots, x_d \) to get a minimal system of generators of \( m \). The induced map \( R/(x_1, \ldots, x_c) \to R/I \) is a surjection between regular local rings of the same dimension (Lemma \( \text{[105.3]} \)). It follows that the kernel is zero, i.e., \( I = (x_1, \ldots, x_c) \). Namely, if not then we would have \( \dim(R/I) < \dim(R/(x_1, \ldots, x_c)) \) by Lemmas \( \text{[105.2]} \) and \( \text{[59.12]} \). \( \square \)
Lemma 105.5. Let $R$ be a Noetherian local ring. Let $x \in \mathfrak{m}$. Let $M$ be a finite $R$-module such that $x$ is a nonzerodivisor on $M$ and $M/xM$ is free over $R/xR$. Then $M$ is free over $R$.

Proof. Let $m_1, \ldots, m_r$ be elements of $M$ which map to a $R/xR$-basis of $M/xM$. By Nakayama’s Lemma 19.1 $m_1, \ldots, m_r$ generate $M$. If $\sum a_i m_i = 0$ is a relation, then $a_i \in xR$ for all $i$. Hence $a_i = b_i x$ for some $b_i \in R$. Hence the kernel $K$ of $R^r \to M$ satisfies $xK = K$ and hence is zero by Nakayama’s lemma.

Lemma 105.6. Let $R$ be a regular local ring. Any maximal Cohen-Macaulay module over $R$ is free.

Proof. Let $M$ be a maximal Cohen-Macaulay module over $R$. Let $x \in \mathfrak{m}$ be part of a regular sequence generating $\mathfrak{m}$. Then $x$ is a nonzerodivisor on $M$ by Proposition 102.4, and $M/xM$ is a maximal Cohen-Macaulay module over $R/xR$. By induction on $\dim(R)$ we see that $M/xM$ is free. We win by Lemma 105.5.

Lemma 105.7. Suppose $R$ is a Noetherian local ring. Let $x \in \mathfrak{m}$ be a nonzerodivisor such that $R/xR$ is a regular local ring. Then $R$ is a regular local ring. More generally, if $x_1, \ldots, x_r$ is a regular sequence in $R$ such that $R/(x_1, \ldots, x_r)$ is a regular local ring, then $R$ is a regular local ring.

Proof. This is true because $x$ together with the lifts of a system of minimal generators of the maximal ideal of $R/xR$ will give $\dim(R)$ generators of $\mathfrak{m}$. Use Lemma 59.12. The last statement follows from the first and induction.

Lemma 105.8. Let $(R_i, \varphi_{i\ell})$ be a directed system of local rings whose transition maps are local ring maps. If each $R_i$ is a regular local ring and $R = \colim R_i$ is Noetherian, then $R$ is a regular local ring.

Proof. Let $\mathfrak{m} \subset R$ be the maximal ideal; it is the colimit of the maximal ideal $\mathfrak{m}_i \subset R_i$. We prove the lemma by induction on $d = \dim(\mathfrak{m}/\mathfrak{m}^2)$. If $d = 0$, then $R = R/\mathfrak{m}$ is a field and $R$ is a regular local ring. If $d > 0$ pick an $x \in \mathfrak{m}$, $x \notin \mathfrak{m}^2$. For some $i$ we can find an $x_i \in \mathfrak{m}_i$ mapping to $x$. Note that $R/xR = \colim_{i \geq 1} R_i/x_i R_i$ is a Noetherian local ring. By Lemma 105.3 we see that $R_i/x_i R_i$ is a regular local ring. Hence by induction we see that $R/xR$ is a regular local ring. Since each $R_i$ is a domain (Lemma 105.1) we see that $R$ is a domain. Hence $x$ is a nonzerodivisor and we conclude that $R$ is a regular local ring by Lemma 105.7.

106. Epimorphisms of rings

In any category there is a notion of an epimorphism. Some of this material is taken from [Laz69] and [Maz68].

Lemma 106.1. Let $R \to S$ be a ring map. The following are equivalent

1. $R \to S$ is an epimorphism,
2. the two ring maps $S \to S \otimes_R S$ are equal,
3. either of the ring maps $S \to S \otimes_R S$ is an isomorphism, and
4. the ring map $S \otimes_R S \to S$ is an isomorphism.

Proof. Omitted.

Lemma 106.2. The composition of two epimorphisms of rings is an epimorphism.

Proof. Omitted. Hint: This is true in any category.
Lemma 106.3. If $R \to S$ is an epimorphism of rings and $R \to R'$ is any ring map, then $R' \to R' \otimes_R S$ is an epimorphism.


Lemma 106.4. If $A \to B \to C$ are ring maps and $A \to C$ is an epimorphism, so is $B \to C$.

Proof. Omitted. Hint: This is true in any category.

This means in particular, that if $R \to S$ is an epimorphism with image $\overline{R} \subset S$, then $R \to S$ is an epimorphism. Hence while proving results for epimorphisms we may often assume the map is injective. The following lemma means in particular that every localization is an epimorphism.

Lemma 106.5. Let $R \to S$ be a ring map. The following are equivalent:

1. $R \to S$ is an epimorphism, and
2. $R_p \to S_p$ is an epimorphism for each prime $p$ of $R$.

Proof. Since $S_p = R_p \otimes_R S$ (see Lemma 11.15) we see that (1) implies (2) by Lemma 106.3 Conversely, assume that (2) holds. Let $a, b : S \to A$ be two ring maps from $S$ to a ring $A$ equalizing the map $R \to S$. By assumption we see that for every prime $p$ of $R$ the induced maps $a_p, b_p : S_p \to A_p$ are the same. Hence $a = b$ as $A \subset \prod_p A_p$, see Lemma 22.1.

Lemma 106.6. Let $R \to S$ be a ring map. The following are equivalent

1. $R \to S$ is an epimorphism and finite, and
2. $R \to S$ is surjective.

Proof. (This lemma seems to have been reproved many times in the literature, and has many different proofs.) It is clear that a surjective ring map is an epimorphism. Suppose that $R \to S$ is a finite ring map such that $S \otimes_R R = 0$. The exact sequence $R \to S \to S/R \to 0$ leads to an exact sequence

$$R \otimes_R S \to S \otimes_R S \to S/R \otimes_R S \to 0.$$  

Our assumption implies that the first arrow is an isomorphism, hence we conclude that $S/R \otimes_R S = 0$. Hence also $S/R \otimes_R R = 0$. By Lemma 5.4 there exists a surjection of $R$-modules $S/R \to R/I$ for some proper ideal $I \subset R$. Hence there exists a surjection $S/R \otimes_R R \to R/I \otimes_R R/I = R/I \neq 0$, contradiction.

Lemma 106.7. A faithfully flat epimorphism is an isomorphism.

Proof. This is clear from Lemma 106.1 part (3) as the map $S \to S \otimes_R S$ is the map $R \to S$ tensored with $S$.

Lemma 106.8. If $k \to S$ is an epimorphism and $k$ is a field, then $S = k$ or $S = 0$.

Proof. This is clear from the result of Lemma 106.7 (as any nonzero algebra over $k$ is faithfully flat), or by arguing directly that $R \to R \otimes_k R$ cannot be surjective unless $\text{dim}_k(R) \leq 1$.

Lemma 106.9. Let $R \to S$ be an epimorphism of rings. Then

1. $\text{Spec}(S) \to \text{Spec}(R)$ is injective, and
2. for $q \subset S$ lying over $p \subset R$ we have $\kappa(p) = \kappa(q)$.
**Proof.** Let \( p \) be a prime of \( R \). The fibre of the map is the spectrum of the fibre ring \( S \otimes_R \kappa(p) \). By Lemma 106.3 the map \( \kappa(p) \to S \otimes_R \kappa(p) \) is an epimorphism, and hence by Lemma 106.8 we have either \( S \otimes_R \kappa(p) = 0 \) or \( S \otimes_R \kappa(p) = \kappa(p) \) which proves (1) and (2). □

**Lemma 106.10.** Let \( R \) be a ring. Let \( M, N \) be \( R \)-modules. Let \( \{x_i\}_{i \in I} \) be a set of generators of \( M \). Let \( \{y_j\}_{j \in J} \) be a set of generators of \( N \). Let \( \{m_j\}_{j \in J} \) be a family of elements of \( M \) with \( m_j = 0 \) for all but finitely many \( j \). Then

\[
\sum_{j \in J} m_j \otimes y_j = 0 \text{ in } M \otimes_R N
\]

is equivalent to the following: There exist \( a_{i,j} \in R \) with \( a_{i,j} = 0 \) for all but finitely many pairs \( (i, j) \) such that

\[
m_j = \sum_{i \in I} a_{i,j} x_i \quad \text{for all } j \in J,
\]

\[
0 = \sum_{j \in J} a_{i,j} y_j \quad \text{for all } i \in I.
\]

**Proof.** The sufficiency is immediate. Suppose that \( \sum_{j \in J} m_j \otimes y_j = 0 \). Consider the short exact sequence

\[
0 \to K \to \bigoplus_{j \in J} R \to N \to 0
\]

where the \( j \)th basis vector of \( \bigoplus_{j \in J} R \) maps to \( y_j \). Tensor this with \( M \) to get the exact sequence

\[
K \otimes_R M \to \bigoplus_{j \in J} M \to N \otimes_R M \to 0.
\]

The assumption implies that there exist elements \( k_i \in K \) such that \( \sum k_i \otimes x_i \) maps to the element \( (m_j)_{j \in J} \) of the middle. Writing \( k_i = (a_{i,j})_{j \in J} \) and we obtain what we want. □

**Lemma 106.11.** Let \( \varphi : R \to S \) be a ring map. Let \( g \in S \). The following are equivalent:

1. \( g \otimes 1 = 1 \otimes g \) in \( S \otimes_R S \), and
2. there exist \( n \geq 0 \) and elements \( y_i, z_j \in S \) and \( x_{i,j} \in R \) for \( 1 \leq i, j \leq n \) such that
   a. \( g = \sum_{i,j \leq n} x_{i,j} y_i z_j \),
   b. for each \( j \) we have \( \sum y_i x_{i,j} \in \varphi(R) \), and
   c. for each \( i \) we have \( \sum x_{i,j} z_j \in \varphi(R) \).

**Proof.** It is clear that (2) implies (1). Conversely, suppose that \( g \otimes 1 = 1 \otimes g \). Choose generators \( \{s_i\}_{i \in I} \) of \( S \) as an \( R \)-module with \( 0, 1 \in I \) and \( s_0 = 1 \) and \( s_1 = g \). Apply Lemma 106.10 to the relation \( g \otimes s_0 + (-1) \otimes s_1 = 0 \). We see that there exist \( a_{i,j} \in R \) such that \( g = \sum a_{i,j} s_i \), \( -1 = \sum a_{i,1} s_i \), and for \( j \neq 0, 1 \) we have \( 0 = \sum a_{i,j} s_i \), and moreover for all \( i \) we have \( \sum a_{i,j} s_j = 0 \). Then we have

\[
\sum a_{i,j} s_i s_j = -g + a_{0,0}
\]

and for each \( j \neq 0 \) we have \( \sum a_{i,j} s_i \in R \). This proves that \( -g + a_{0,0} \) can be written as in (2). It follows that \( g \) can be written as in (2). Details omitted. Hint: Show that the set of elements of \( S \) which have an expression as in (2) form an \( R \)-subalgebra of \( S \). □
04VZ \textbf{Remark 106.12.} Let \( R \to S \) be a ring map. Sometimes the set of elements \( g \in S \) such that \( g \otimes 1 = 1 \otimes g \) is called the \textit{epicenter} of \( S \). It is an \( R \)-algebra. By the construction of Lemma 106.11 we get for each \( g \) in the epicenter a matrix factorization

\[(g) = YXZ\]

with \( X \in \text{Mat}(n \times n, R) \), \( Y \in \text{Mat}(1 \times n, S) \), and \( Z \in \text{Mat}(n \times 1, S) \). Namely, let \( x_{i,j}, y_i, z_j \) be as in part (2) of the lemma. Set \( X = (x_{i,j}) \), let \( y \) be the row vector whose entries are the \( y_i \) and let \( z \) be the column vector whose entries are the \( z_j \). With this notation conditions (b) and (c) of Lemma 106.11 mean exactly that \( YX \in \text{Mat}(1 \times n, R) \), \( XZ \in \text{Mat}(n \times 1, R) \). It turns out to be very convenient to consider the triple of matrices \((X,YX,XZ)\). Given \( n \in \mathbb{N} \) and a triple \((P,U,V)\) we say that \((P,U,V)\) is a \( n \)-\textit{triple associated to} \( g \) if there exists a matrix factorization as above such that \( P = X \), \( U = YX \) and \( V = XZ \).

04W0 \textbf{Lemma 106.13.} Let \( R \to S \) be an epimorphism of rings. Then the cardinality of \( S \) is at most the cardinality of \( R \). In a formula: \(|S| \leq |R|\).

\textbf{Proof.} The condition that \( R \to S \) is an epimorphism means that each \( g \in S \) satisfies \( g \otimes 1 = 1 \otimes g \), see Lemma 106.1. We are going to use the notation introduced in Remark 106.12. Suppose that \( g, g' \in S \) and suppose that \((P,U,V)\) is an \( n \)-triple which is associated to both \( g \) and \( g' \). Then we claim that \( g = g' \). Namely, write \((P,U,V) = (X,YX,XZ)\) for a matrix factorization \((g) = YXZ\) of \( g \) and write \((P,U,V) = (X',Y'X',X'Z')\) for a matrix factorization \((g') = Y'X'Z'\) of \( g' \). Then we see that

\[(g) = YXZ = UZ = Y'X'Z = Y'PX = Y'XZ = Y'V = Y'X'Z' = (g')\]

and hence \( g = g' \). This implies that the cardinality of \( S \) is bounded by the number of possible triples, which has cardinality at most \( \sup_{n \in \mathbb{N}} |R|^n \). If \( R \) is infinite then this is at most \(|R|\), see [Kun83] Ch. I, 10.13.

If \( R \) is a finite ring then the argument above only proves that \( S \) is at worst countable. In fact in this case \( R \) is Artinian and the map \( R \to S \) is surjective. We omit the proof of this case. \hfill \Box

08YS \textbf{Lemma 106.14.} Let \( R \to S \) be an epimorphism of rings. Let \( N_1, N_2 \) be \( S \)-modules. Then \( \text{Hom}_S(N_1,N_2) = \text{Hom}_R(N_1,N_2) \). In other words, the restriction functor \( \text{Mod}_S \to \text{Mod}_R \) is fully faithful.

\textbf{Proof.} Let \( \varphi : N_1 \to N_2 \) be an \( R \)-linear map. For any \( x \in N_1 \) consider the map \( S \otimes_R S \to N_2 \) defined by the rule \( g \otimes g' \mapsto g\varphi(g'x) \). Since both maps \( S \to S \otimes_R S \) are isomorphisms (Lemma 106.1), we conclude that \( g\varphi(g'x) = gg'\varphi(x) = \varphi(gg'x) \). Thus \( \varphi \) is \( S \)-linear. \hfill \Box

107. Pure ideals

04PQ The material in this section is discussed in many papers, see for example [Laz67], [Bko70], and [DM83].

04PR \textbf{Definition 107.1.} Let \( R \) be a ring. We say that \( I \subset R \) is \textit{pure} if the quotient ring \( R/I \) is flat over \( R \).

04PS \textbf{Lemma 107.2.} Let \( R \) be a ring. Let \( I \subset R \) be an ideal. The following are equivalent:
(1) $I$ is pure,  
(2) for every ideal $J \subset R$ we have $J \cap I = IJ$,  
(3) for every finitely generated ideal $J \subset R$ we have $J \cap I = IJ$,  
(4) for every $x \in R$ we have $(x) \cap I = xI$,  
(5) for every $x \in I$ we have $x = xy$ for some $y \in I$,  
(6) for every $x_1, \ldots, x_n \in I$ there exists a $y \in I$ such that $x_i = yx_i$ for all $i = 1, \ldots, n$,  
(7) for every prime $p$ of $R$ we have $IR_p = 0$ or $IR_p = Rp$,  
(8) $\text{Supp}(I) = \text{Spec}(R) \setminus V(I)$,  
(9) $I$ is the kernel of the map $R \to (1 + I)^{-1}R$,  
(10) $R/I \cong S^{-1}R$ as $R$-algebras for some multiplicative subset $S$ of $R$, and  
(11) $R/I \cong (1 + I)^{-1}R$ as $R$-algebras.

**Proof.** For any ideal $J$ of $R$ we have the short exact sequence $0 \to J \to R \to R/J \to 0$. Tensoring with $R/I$ we get an exact sequence $J \otimes_R R/I \to R/I \to R/I + J \to 0$ and $J \otimes_R R/I = J/IJ$. Thus the equivalence of (1), (2), and (3) follows from Lemma 38.5. Moreover, these imply (4).

The implication (4) $\Rightarrow$ (5) is trivial. Assume (5) and let $x_1, \ldots, x_n \in I$. Choose $y_i \in I$ such that $x_i = y_i x_i$. Let $y \in I$ be the element such that $1 - y = \prod_{i=1}^n (1 - y_i)$. Then $x_i = y x_i$ for all $i = 1, \ldots, n$. Hence (6) holds, and it follows that (5) $\Leftrightarrow$ (6).

Assume (5). Let $x \in I$. Then $x = yx$ for some $y \in I$. Hence $x(1 - y) = 0$, which shows that $x$ maps to zero in $(1 + I)^{-1}R$. Of course the kernel of the map $R \to (1 + I)^{-1}R$ is always contained in $I$. Hence we see that (5) implies (9). Assume (9). Then for any $x \in I$ we see that $x(1 - y) = 0$ for some $y \in I$. In other words, $x = yx$. We conclude that (5) is equivalent to (9).

Assume (5). Let $p$ be a prime of $R$. If $p \not\in V(I)$, then $IR_p = Rp$. If $p \in V(I)$, in other words, if $I \subset p$, then $x \in I$ implies $x(1 - y) = 0$ for some $y \in I$, implies $x$ maps to zero in $R_p$, i.e., $IR_p = 0$. Thus we see that (7) holds.

Assume (7). Then $(R/I)_p$ is either 0 or $R_p$ for any prime $p$ of $R$. Hence by Lemma 38.19 we see that (1) holds. At this point we see that all of (1) – (7) and (9) are equivalent.

As $IR_p = I_p$ we see that (7) implies (8). Finally, if (8) holds, then this means exactly that $I_p$ is the zero module if and only if $p \in V(I)$, which is clearly saying that (7) holds. Now (1) – (9) are equivalent.

Assume (1) – (9) hold. Then $R/I \subset (1 + I)^{-1}R$ by (9) and the map $R/I \to (1 + I)^{-1}R$ is also surjective by the description of localizations at primes afforded by (7). Hence (11) holds.

The implication (11) $\Rightarrow$ (10) is trivial. And (10) implies that (1) holds because a localization of $R$ is flat over $R$, see Lemma 38.19. \qed

**Lemma 107.3.** Let $R$ be a ring. If $I, J \subset R$ are pure ideals, then $V(I) = V(J)$ implies $I = J$.

**Proof.** For example, by property (7) of Lemma 107.2 we see that $I = \text{Ker}(R \to \prod_{p \in V(I)} R_p)$ can be recovered from the closed subset associated to it. \qed

**Lemma 107.4.** Let $R$ be a ring. The rule $I \mapsto V(I)$ determines a bijection  
\[
\{I \subset R \text{ pure}\} \leftrightarrow \{Z \subset \text{Spec}(R) \text{ closed and closed under generalizations}\}
\]
Proof. Let $I$ be a pure ideal. Then since $R \to R/I$ is flat, by going up generalizations lift along the map $\text{Spec}(R/I) \to \text{Spec}(R)$. Hence $V(I)$ is closed under generalizations. This shows that the map is well defined. By Lemma 107.3 the map is injective. Suppose that $Z \subset \text{Spec}(R)$ is closed and closed under generalizations. Let $J \subset R$ be the radical ideal such that $Z = V(J)$. Let $I = \{x \in R : x \in xJ\}$. Note that $I$ is an ideal: if $x, y \in I$ then there exist $f, g \in J$ such that $x = xf$ and $y = yg$. Then

$$x + y = (x + y)(f + g - fg)$$

Verification left to the reader. We claim that $I$ is pure and that $V(I) = V(J)$. If the claim is true then the map of the lemma is surjective and the lemma holds.

Note that $I \subset J$, so that $V(J) \subset V(I)$. Let $I \subset p$ be a prime. Consider the multiplicative subset $S = (R \setminus p)(1 + J)$. By definition of $I$ and $I \subset p$ we see that $0 \notin S$. Hence we can find a prime $q$ of $R$ which is disjoint from $S$, see Lemmas 9.4 and 16.5. Hence $q \subset p$ and $q \cap (1 + J) = \emptyset$. This implies that $q + J$ is a proper ideal of $R$. Let $m$ be a maximal ideal containing $q + J$. Then we get $m \in V(J)$ and hence $q \in V(J) = Z$ as $Z$ was assumed to be closed under generalization. This in turn implies $p \in V(J)$ as $q \subset p$. Thus we see that $V(I) = V(J)$.

Finally, since $V(I) = V(J)$ (and $J$ radical) we see that $J = \sqrt{I}$. Pick $x \in I$, so that $x = xy$ for some $y \in J$ by definition. Then $x = xy = xy^2 = \ldots = xy^n$. Since $y^n \in I$ for some $n > 0$ we conclude that property (5) of Lemma 107.2 holds and we see that $I$ is indeed pure. \qed

**Lemma 107.5.** Let $R$ be a ring. Let $I \subset R$ be an ideal. The following are equivalent:

1. $I$ is pure and finitely generated,
2. $I$ is generated by an idempotent,
3. $I$ is pure and $V(I)$ is open, and
4. $R/I$ is a projective $R$-module.

**Proof.** If (1) holds, then $I = I \cap I = I^2$ by Lemma 107.2. Hence $I$ is generated by an idempotent by Lemma 20.5. Thus (1) $\Rightarrow$ (2). If (2) holds, then $I = (e)$ and $R = (1 - e) \oplus (e)$ as an $R$-module hence $R/I$ is flat and $I$ is pure and $V(I) = D(1 - e)$ is open. Thus (2) $\Rightarrow$ (1) + (3). Finally, assume (3). Then $V(I)$ is open and closed, hence $V(I) = D(1 - e)$ for some idempotent $e$ of $R$, see Lemma 20.3. The ideal $J = (e)$ is a pure ideal such that $V(J) = V(I)$ hence $I = J$ by Lemma 107.3. In this way we see that (3) $\Rightarrow$ (2). By Lemma 107.2 we see that (4) is equivalent to the assertion that $I$ is pure and $R/I$ finitely presented. Moreover, $R/I$ is finitely presented if and only if $I$ is finitely generated, see Lemma 5.3. Hence (4) is equivalent to (1). \qed

We can use the above to characterize those rings for which every finite flat module is finitely presented.

**Lemma 107.6.** Let $R$ be a ring. The following are equivalent:

1. every $Z \subset \text{Spec}(R)$ which is closed and closed under generalizations is also open, and
2. any finite flat $R$-module is finite locally free.
The following lemma is often used to compare different projective resolutions of a module.

**Proof.** If any finite flat $R$-module is finite locally free then the support of $R/I$ where $I$ is a pure ideal is open. Hence the implication $(2) \Rightarrow (1)$ follows from Lemma 107.3.

For the converse assume that $R$ satisfies (1). Let $M$ be a finite flat $R$-module. The support $Z = \text{Supp}(M)$ of $M$ is closed, see Lemma 39.5. On the other hand, if $p \subset p'$, then by Lemma 77.4 the module $M_{p'}$ is free, and $M_p = M_{p'} \otimes_{R_{p'}} R_p$. Hence $p' \in \text{Supp}(M) \Rightarrow p \in \text{Supp}(M)$, in other words, the support is closed under generalization. As $R$ satisfies (1) we see that the support of $M$ is open and closed.

Suppose that $M$ is generated by $r$ elements $m_1, \ldots, m_r$. The modules $\wedge^i(M)$, $i = 1, \ldots, r$ are finite flat $R$-modules also, because $\wedge^i(M)_{p'} = \wedge^i(M_{p'})$ is free over $R_{p'}$. Note that $\text{Supp}(\wedge^{i+1}(M)) \subset \text{Supp}(\wedge^i(M))$. Thus we see that there exists a decomposition

$$\text{Spec}(R) = U_0 \amalg U_1 \amalg \cdots \amalg U_r$$

by open and closed subsets such that the support of $\wedge^i(M)$ is $U_i \cup \cdots \cup U_i$ for all $i = 0, \ldots, r$. Let $p$ be a prime of $R$, and say $p \in U_i$. Note that $\wedge^i(M) \otimes_R \kappa(p) = \wedge^i(M \otimes_R \kappa(p))$. Hence, after possibly renumbering $m_1, \ldots, m_r$ we may assume that $m_1, \ldots, m_i$ generate $M \otimes_R \kappa(p)$. By Nakayama’s Lemma 19.1 we get a surjection

$$R^1_{ij} \twoheadrightarrow M_f, \quad (a_1, \ldots, a_i) \mapsto \sum a_i m_i$$

for some $f \in R$, $f \not\in p$. We may also assume that $D(f) \subset U_i$. This means that $\wedge^i(M_f) = \wedge^i(M)\kappa(p)$ is a flat $R_f$ module whose support is all of $\text{Spec}(R_f)$. By the above it is generated by a single element, namely $m_1 \wedge \cdots \wedge m_i$. Hence $\wedge^i(M)\kappa(p) = R_f/J$ for some pure ideal $J \subset R_f$ with $V(J) = \text{Spec}(R_f)$. Clearly this means that $J = (0)$, see Lemma 107.3. Thus $m_1 \wedge \cdots \wedge m_i$ is a basis for $\wedge^i(M_f)$ and it follows that the displayed map is injective as well as surjective. This proves that $M$ is finite locally free as desired. \hfill $\square$

**108. Rings of finite global dimension**

The following lemma is often used to compare different projective resolutions of a given module.

**Lemma 108.1** (Schanuel’s lemma). Let $R$ be a ring. Let $M$ be an $R$-module. Suppose that

$$0 \to K \xrightarrow{\iota_1} P_1 \xrightarrow{p_1} M \to 0 \quad \text{and} \quad 0 \to L \xrightarrow{\iota_2} P_2 \xrightarrow{p_2} M \to 0$$

are two short exact sequences, with $P_1$ projective. Then $K \oplus P_2 \cong L \oplus P_1$. More precisely, there exist a commutative diagram

\[ 0 \to K \oplus P_2 \xrightarrow{(\iota_1, \text{id})} P_1 \oplus P_2 \xrightarrow{(p_1, 0)} M \to 0 \]

\[ 0 \to P_1 \oplus L \xrightarrow{(\text{id}, \iota_2)} P_1 \oplus P_2 \xrightarrow{(0, p_2)} M \to 0 \]

whose vertical arrows are isomorphisms.

**Proof.** Consider the module $N$ defined by the short exact sequence $0 \to N \to P_1 \oplus P_2 \to M \to 0$, where the last map is the sum of the two maps $P_i \to M$. It is easy to see that the projection $N \to P_1$ is surjective with kernel $L$, and that $N \to P_2$ is surjective with kernel $K$. Since $P_i$ are projective we have $N \cong K \oplus P_2 \cong L \oplus P_1$. This proves the first statement.
To prove the second statement (and to reprove the first), choose \( a : P_1 \to P_2 \) and \( b : P_2 \to P_1 \) such that \( p_1 = p_2 \circ a \) and \( p_2 = p_1 \circ b \). This is possible because \( P_1 \) and \( P_2 \) are projective. Then we get a commutative diagram

\[
\begin{array}{c}
0 \to K \oplus P_2 \to P_1 \oplus P_2 \to M \to 0 \\
\downarrow T \quad \downarrow (p_1,0) \\
0 \to N \to P_1 \oplus P_2 \to M \to 0 \\
\downarrow S \\
0 \to P_1 \oplus L \to P_1 \oplus P_2 \to M \to 0 \\
\end{array}
\]

with \( T \) and \( S \) given by the matrices

\[
S = \begin{pmatrix} \text{id} & 0 \\ a & \text{id} \end{pmatrix}
\quad \text{and} \quad
T = \begin{pmatrix} \text{id} & b \\ 0 & \text{id} \end{pmatrix}
\]

Then, \( S \), \( T \) and the maps \( N \to P_1 \oplus L \) and \( N \to K \oplus P_2 \) are isomorphisms as desired. □

**Definition 108.2.** Let \( R \) be a ring. Let \( M \) be an \( R \)-module. We say \( M \) has *finite projective dimension* if it has a finite length resolution by projective \( R \)-modules. The minimal length of such a resolution is called the *projective dimension* of \( M \).

It is clear that the projective dimension of \( M \) is 0 if and only if \( M \) is a projective module. The following lemma explains to what extent the projective dimension is independent of the choice of a projective resolution.

**Lemma 108.3.** Let \( R \) be a ring. Suppose that \( M \) is an \( R \)-module of projective dimension \( d \). Suppose that \( F_e \to F_{e-1} \to \ldots \to F_0 \to M \to 0 \) is exact with \( F_i \) projective and \( e \geq d - 1 \). Then the kernel of \( F_e \to F_{e-1} \) is projective (or the kernel of \( F_0 \to M \) is projective in case \( e = 0 \)).

**Proof.** We prove this by induction on \( d \). If \( d = 0 \), then \( M \) is projective. In this case there is a splitting \( F_0 = \text{Ker}(F_0 \to M) \oplus M \), and hence \( \text{Ker}(F_0 \to M) \) is projective. This finishes the proof if \( e = 0 \), and if \( e > 0 \), then replacing \( M \) by \( \text{Ker}(F_0 \to M) \) we decrease \( e \).

Next assume \( d > 0 \). Let \( 0 \to P_d \to P_{d-1} \to \ldots \to P_0 \to M \to 0 \) be a minimal length finite resolution with \( P_i \) projective. According to Schanuel’s Lemma \[108.1\] we have \( P_0 \oplus \text{Ker}(F_0 \to M) \cong F_0 \oplus \text{Ker}(P_0 \to M) \). This proves the case \( d = 1 \), \( e = 0 \), because then the right hand side is \( F_0 \oplus P_1 \) which is projective. Hence now we may assume \( e > 0 \). The module \( F_0 \oplus \text{Ker}(P_0 \to M) \) has the finite projective resolution

\[
0 \to P_d \to P_{d-1} \to \ldots \to P_2 \to P_1 \oplus F_0 \to \text{Ker}(P_0 \to M) \oplus F_0 \to 0
\]

of length \( d - 1 \). By induction applied to the exact sequence

\[
F_e \to F_{e-1} \to \ldots \to F_2 \to P_0 \oplus F_1 \to P_0 \oplus \text{Ker}(F_0 \to M) \to 0
\]

of length \( e - 1 \) we conclude \( \text{Ker}(F_e \to F_{e-1}) \) is projective (if \( e \geq 2 \)) or that \( \text{Ker}(F_1 \oplus P_0 \to F_0 \oplus P_0) \) is projective. This implies the lemma. □

**Lemma 108.4.** Let \( R \) be a ring. Let \( M \) be an \( R \)-module. Let \( d \geq 0 \). The following are equivalent

0CXC
Let $M$ have projective dimension $\leq d$, 

(2) there exists a resolution $0 \to P_d \to P_{d-1} \to \ldots \to P_0 \to M \to 0$ with $P_i$ projective, 

(3) for some resolution $\ldots \to P_2 \to P_1 \to P_0 \to M \to 0$ with $P_i$ projective we have $\text{Ker}(P_{d-1} \to P_{d-2})$ is projective if $d \geq 2$, or $\text{Ker}(P_0 \to M)$ is projective if $d = 1$, or $M$ is projective if $d = 0$, 

(4) for any resolution $\ldots \to P_2 \to P_1 \to P_0 \to M \to 0$ with $P_i$ projective we have $\text{Ker}(P_{d-1} \to P_{d-2})$ is projective if $d \geq 2$, or $\text{Ker}(P_0 \to M)$ is projective if $d = 1$, or $M$ is projective if $d = 0$.

**Proof.** The equivalence of (1) and (2) is the definition of projective dimension, see Definition 108.2. We have (2) $\Rightarrow$ (4) by Lemma 108.3. The implications (4) $\Rightarrow$ (3) and (3) $\Rightarrow$ (2) are immediate. $\square$

**Lemma 108.5.** Let $R$ be a local ring. Let $M$ be an $R$-module. Let $d \geq 0$. The equivalent conditions (1) – (4) of Lemma 108.4 are also equivalent to

(5) there exists a resolution $0 \to P_d \to P_{d-1} \to \ldots \to P_0 \to M \to 0$ with $P_i$ free.

**Proof.** Follows from Lemma 108.3 and Theorem 84.4. $\square$

**Lemma 108.6.** Let $R$ be a Noetherian ring. Let $M$ be a finite $R$-module. Let $d \geq 0$. The equivalent conditions (1) – (4) of Lemma 108.4 are also equivalent to

(6) there exists a resolution $0 \to P_d \to P_{d-1} \to \ldots \to P_0 \to M \to 0$ with $P_i$ finite projective.

**Proof.** Choose a resolution $\ldots \to F_2 \to F_1 \to F_0 \to M \to 0$ with $F_i$ finite free (Lemma 70.1). By Lemma 108.4 we see that $P_d = \text{Ker}(F_{d-1} \to F_{d-2})$ is projective at least if $d \geq 2$. Then $P_d$ is a finite $R$-module as $R$ is Noetherian and $P_d \subset F_{d-1}$ which is finite free. Whence $0 \to P_d \to F_{d-1} \to \ldots \to F_1 \to F_0 \to M \to 0$ is the desired resolution. $\square$

**Lemma 108.7.** Let $R$ be a local Noetherian ring. Let $M$ be a finite $R$-module. Let $d \geq 0$. The equivalent conditions (1) – (4) of Lemma 108.4, condition (5) of Lemma 108.5, and condition (6) of Lemma 108.6 are also equivalent to

(7) there exists a resolution $0 \to F_d \to F_{d-1} \to \ldots \to F_0 \to M \to 0$ with $F_i$ finite projective.

**Proof.** This follows from Lemmas 108.4, 108.5, and 108.6 and because a finite projective module over a local ring is finite free, see Lemma 77.2. $\square$

**Lemma 108.8.** Let $R$ be a ring. Let $M$ be an $R$-module. Let $n \geq 0$. The following are equivalent

(1) $M$ has projective dimension $\leq n$, 

(2) $\text{Ext}_R^i(M, N) = 0$ for all $R$-modules $N$ and all $i \geq n + 1$, and 

(3) $\text{Ext}_R^{n+1}(M, N) = 0$ for all $R$-modules $N$.

**Proof.** Assume (1). Choose a free resolution $F_* \to M$ of $M$. Denote $d_e : F_e \to F_{e-1}$. By Lemma 108.3 we see that $P_e = \text{Ker}(d_e)$ is projective for $e \geq n - 1$. This implies that $F_e \cong P_e \oplus P_{e-1}$ for $e \geq n$ where $d_e$ maps the summand $P_{e-1}$ isomorphically to $P_{e-1}$ in $F_{e-1}$. Hence, for any $R$-module $N$ the complex $\text{Hom}_R(F_*, N)$
Let $R$ be a ring. Let $0 \to M' \to M \to M'' \to 0$ be a short exact sequence of $R$-modules.

1. If $M$ has projective dimension $\leq n$ and $M''$ has projective dimension $\leq n+1$, then $M'$ has projective dimension $\leq n$.
2. If $M'$ and $M''$ have projective dimension $\leq n$ then $M$ has projective dimension $\leq n$.
3. If $M'$ has projective dimension $\leq n$ and $M$ has projective dimension $\leq n+1$ then $M''$ has projective dimension $\leq n+1$.

**Proof.** Combine the characterization of projective dimension in Lemma 108.8 with the long exact sequence of Ext groups in Lemma 70.7.

**Definition 108.10.** Let $R$ be a ring. The ring $R$ is said to have **finite global dimension** if there exists an integer $n$ such that every $R$-module has a resolution by projective $R$-modules of length at most $n$. The minimal such $n$ is then called the **global dimension** of $R$.

The argument in the proof of the following lemma can be found in the paper [Aus55] by Auslander.

**Lemma 108.11.** Let $R$ be a ring. Suppose we have a module $M = \bigcup_{e \in E} M_e$ where the $M_e$ are submodules well-ordered by inclusion. Assume the quotients $M_e/\bigcup_{e' < e} M_{e'}$ have projective dimension $\leq n$. Then $M$ has projective dimension $\leq n$.

**Proof.** We will prove this by induction on $n$.

Base case: $n = 0$. Then $P_e = M_e/\bigcup_{e' < e} M_{e'}$ is projective. Thus we may choose a section $P_e \to M_e$ of the projection $M_e \to P_e$. We claim that the induced map $\psi : \bigoplus_{e \in E} P_e \to M$ is an isomorphism. Namely, if $x = \sum x_e \in \bigoplus P_e$ is nonzero, then we let $e_{\text{max}}$ be maximal such that $x_{e_{\text{max}}}$ is nonzero and we conclude that $y = \psi(x) = \psi(\sum x_e)$ is nonzero because $y \in M_{e_{\text{max}}}$ has nonzero image $x_{e_{\text{max}}}$ in $P_{e_{\text{max}}}$. On the other hand, let $y \in M$. Then $y \in M_e$ for some $e$. We show that $y \in \text{Im}(\psi)$ by transfinite induction on $e$. Let $x_e \in P_e$ be the image of $y$. Then $y-\psi(x_e) \in \bigcup_{e' < e} M_{e'}$. By induction hypothesis we conclude that $y-\psi(x_e) \in \text{Im}(\psi)$ hence $y \in \text{Im}(\psi)$. Thus the claim is true and $\psi$ is an isomorphism. We conclude that $M$ is projective as a direct sum of projectives, see Lemma 76.3.

If $n > 0$, then for $e \in E$ we denote $F_e$ the free $R$-module on the set of elements of $M_e$. Then we have a system of short exact sequences

$$0 \to K_e \to F_e \to M_e \to 0$$

is split exact in degrees $\geq n+1$. Whence (2) holds. The implication (2) $\implies$ (3) is trivial.

Assume (3) holds. If $n = 0$ then $M$ is projective by Lemma 76.2 and we see that (1) holds. If $n > 0$ choose a free $R$-module $F$ and a surjection $F \to M$ with kernel $K$. By Lemma 70.7 and the vanishing of $\text{Ext}_R^n(F,N)$ for all $i > 0$ by part (1) we see that $\text{Ext}_R^n(K,N) = 0$ for all $R$-modules $N$. Hence by induction we see that $K$ has projective dimension $\leq n - 1$. Then $M$ has projective dimension $\leq n$ as any finite projective resolution of $K$ gives a projective resolution of length one more for $M$ by adding $F$ to the front. □
over the well-ordered set $E$. Note that the transition maps $F_{e'} \to F_e$ and $K_{e'} \to K_e$ are injective too. Set $F = \bigcup F_e$ and $K = \bigcup K_e$. Then

$$0 \to K_e/\bigcup_{e' < e} K_{e'} \to F_e/\bigcup_{e' < e} F_{e'} \to M_e/\bigcup_{e' < e} M_{e'} \to 0$$

is a short exact sequence of $R$-modules too and $F_e/\bigcup_{e' < e} F_{e'}$ is the free $R$-module on the set of elements in $M_e$ which are not contained in $\bigcup_{e' < e} M_{e'}$. Hence by Lemma 108.9 we see that the projective dimension of $M_e$ is at most $n - 1$. By induction we conclude that $K$ has projective dimension at most $n - 1$. Whence $M$ has projective dimension at most $n$ and we win. \end{proof}

\textbf{Lemma 108.12.} Let $R$ be a ring. The following are equivalent

1. $R$ has finite global dimension $\leq n$,
2. every finite $R$-module has projective dimension $\leq n$, and
3. every cyclic $R$-module $R/I$ has projective dimension $\leq n$.

\begin{proof} It is clear that (1) $\Rightarrow$ (2) and (2) $\Rightarrow$ (3). Assume (3). Choose a set $E \subset M$ of generators of $M$. Choose a well ordering on $E$. For $e \in E$ denote $M_e$ the submodule of $M$ generated by the elements $e' \in E$ with $e' \leq e$. Then $M = \bigcup_{e \in E} M_e$. Note that for each $e \in E$ the quotient

$$M_e/\bigcup_{e' < e} M_{e'}$$

is either zero or generated by one element, hence has projective dimension $\leq n$ by (3). By Lemma 108.11 this means that $M$ has projective dimension $\leq n$. \end{proof}

\textbf{Lemma 108.13.} Let $R$ be a ring. Let $M$ be an $R$-module. Let $S \subset R$ be a multiplicative subset.

1. If $M$ has projective dimension $\leq n$, then $S^{-1}M$ has projective dimension $\leq n$ over $S^{-1}R$.
2. If $R$ has finite global dimension $\leq n$, then $S^{-1}R$ has finite global dimension $\leq n$.

\begin{proof} Let $0 \to P_n \to P_{n-1} \to \ldots \to P_0 \to M \to 0$ be a projective resolution. As localization is exact, see Proposition 9.12 and as each $S^{-1}P_i$ is a projective $S^{-1}R$-module, see Lemma 93.1 we see that $0 \to S^{-1}P_n \to \ldots \to S^{-1}P_0 \to S^{-1}M \to 0$ is a projective resolution of $S^{-1}M$. This proves (1). Let $M'$ be an $S^{-1}R$-module. Note that $M' = S^{-1}M'$. Hence we see that (2) follows from (1). \end{proof}

\section{109. Regular rings and global dimension}

We can use the material on rings of finite global dimension to give another characterization of regular local rings.

\textbf{Proposition 109.1.} Let $R$ be a regular local ring of dimension $d$. Every finite $R$-module $M$ of depth $e$ has a finite free resolution

$$0 \to F_{d-e} \to \ldots \to F_0 \to M \to 0.$$

In particular a regular local ring has global dimension $\leq d$.

\begin{proof} The first part holds in view of Lemma 105.6 and Lemma 103.9. The last part follows from this and Lemma 108.12. \end{proof}
Lemma 109.2. Let $R$ be a Noetherian ring. Then $R$ has finite global dimension if and only if there exists an integer $n$ such that for all maximal ideals $m$ of $R$ the ring $R_m$ has global dimension $\leq n$.

Proof. We saw, Lemma [108.13] that if $R$ has finite global dimension $n$, then all the localizations $R_m$ have finite global dimension at most $n$. Conversely, suppose that all the $R_m$ have global dimension $\leq n$. Let $M$ be a finite $R$-module. Let $0 \to K_n \to F_{n-1} \to \ldots \to F_0 \to M \to 0$ be a resolution with $F_i$ finite free. Then $K_n$ is a finite $R$-module. According to Lemma [108.3] and the assumption all the modules $K_n \otimes_R R_m$ are projective. Hence by Lemma [10.2] the module $K_n$ is finite projective. □

Lemma 109.3. Suppose that $R$ is a Noetherian local ring with maximal ideal $m$ and residue field $\kappa$. In this case the projective dimension of $\kappa$ is $\geq \dim_m m/m^2$.

Proof. Let $x_1, \ldots, x_n$ be elements of $m$ whose images in $m/m^2$ form a basis. Consider the Koszul complex on $x_1, \ldots, x_n$. This is the complex

$$0 \to \wedge^n R^n \to \wedge^{n-1} R^n \to \wedge^{n-2} R^n \to \ldots \to \wedge^1 R^n \to \ldots \to R^n \to R$$

with maps given by

$$e_{j_1} \wedge \ldots \wedge e_{j_i} \mapsto \sum_{a=1}^i (-1)^{i+1} x_{j_a} e_{j_1} \wedge \ldots \wedge \hat{e}_{j_a} \wedge \ldots \wedge e_{j_i}$$

It is easy to see that this is a complex $K_\bullet(R, x_\bullet)$. Note that the cokernel of the last map of $K_\bullet(R, x_\bullet)$ is $\kappa$ by Lemma [19.1] part (8).

If $\kappa$ has finite projective dimension $d$, then we can find a resolution $F_\bullet \to \kappa$ by finite free $R$-modules of length $d$ (Lemma [108.7]). By Lemma [101.2] we may assume all the maps in the complex $F_\bullet$ have the property that $\text{Im}(F_i \to F_{i-1}) \subset mF_{i-1}$, because removing a trivial summand from the resolution can at worst shorten the resolution. By Lemma [70.4] we can find a map of complexes $\alpha : K_\bullet(R, x_\bullet) \to F_\bullet$ inducing the identity on $\kappa$. We will prove by induction that the maps $\alpha_i : \wedge^i R^n = K_i(R, x_\bullet) \to F_i$ have the property that $\alpha_i \otimes \kappa : \wedge^i \kappa^n \to F_i \otimes \kappa$ are injective. This shows that $F_i \neq 0$ and hence $d \geq n$ as desired.

The result is clear for $i = 0$ because the composition $R \xrightarrow{\alpha_0} F_0 \to \kappa$ is nonzero. Note that $F_0$ must have rank 1 since otherwise the map $F_1 \to F_0$ whose cokernel is a single copy of $\kappa$ cannot have image contained in $mF_0$.

Next we check the case $i = 1$ as we feel that it is instructive; the reader can skip this as the induction step will deduce the $i = 1$ case from the case $i = 0$. We saw above that $F_0 = R$ and $F_1 \to F_0 = R$ has image $m$. We have a commutative diagram

$$
\begin{array}{ccc}
R^n & = & K_1(R, x_\bullet) \\
\downarrow & & \downarrow \\
F_1 & \to & F_0 \\
\downarrow & & \downarrow \\
F_0 & = & R
\end{array}
$$

where the rightmost vertical arrow is given by multiplication by a unit. Hence we see that the image of the composition $R^n \to F_1 \to F_0 = R$ is also equal to $m$. Thus the map $R^n \otimes \kappa \to F_1 \otimes \kappa$ has to be injective since $\dim_\kappa (m/m^2) = n$. 

COMMUTATIVE ALGEBRA 253
Let $i \geq 1$ and assume injectivity of $\alpha_j \otimes \kappa$ has been proved for all $j \leq i - 1$. Consider the commutative diagram

$$
\begin{array}{cccc}
\wedge^i R^n = K_i(R, x_\bullet) & \rightarrow & K_{i-1}(R, x_\bullet) = \wedge^{i-1} R^n \\
\downarrow & & \downarrow \\
F_i & \rightarrow & F_{i-1}
\end{array}
$$

We know that $\wedge^{i-1} \kappa^n \rightarrow F_{i-1} \otimes \kappa$ is injective. This proves that $\wedge^{i-1} \kappa^n \otimes \frac{m}{m^2} \rightarrow F_{i-1} \otimes \frac{m}{m^2}$ is injective. Also, by our choice of the complex, $F_i$ maps into $mF_{i-1}$, and similarly for the Koszul complex. Hence we get a commutative diagram

$$
\begin{array}{cccc}
\wedge^i \kappa^n & \rightarrow & \wedge^{i-1} \kappa^n \otimes \frac{m}{m^2} \\
\downarrow & & \downarrow \\
F_i \otimes \kappa & \rightarrow & F_{i-1} \otimes \frac{m}{m^2}
\end{array}
$$

At this point it suffices to verify the map $\wedge^i \kappa^n \rightarrow \wedge^{i-1} \kappa^n \otimes \frac{m}{m^2}$ is injective, which can be done by hand. □

Lemma 109.4. Let $R$ be a Noetherian local ring. Suppose that the residue field $\kappa$ has finite projective dimension $n$ over $R$. In this case $\dim(R) \geq n$.

**Proof.** Let $F_\bullet$ be a finite resolution of $\kappa$ by finite free $R$-modules (Lemma 108.7). By Lemma 101.2 we may assume all the maps in the complex $F_\bullet$ have to property that $\text{Im}(F_i \rightarrow F_{i-1}) \subset mF_{i-1}$, because removing a trivial summand from the resolution can at worst shorten the resolution. Say $F_n \neq 0$ and $F_i = 0$ for $i > n$, so that the projective dimension of $\kappa$ is $n$. By Proposition 101.9 we see that $\text{depth}_{I(\varphi_n)}(R) \geq n$ since $I(\varphi_n)$ cannot equal $R$ by our choice of the complex. Thus by Lemma 71.3 also $\dim(R) \geq n$. □

Proposition 109.5. A Noetherian local ring whose residue field has finite projective dimension is a regular local ring. In particular a Noetherian local ring of finite global dimension is a regular local ring.

**Proof.** By Lemmas 109.3 and 109.4 we see that $\dim(R) \geq \dim_\kappa(\frac{m}{m^2})$. Thus the result follows immediately from Definition 59.9. □

Lemma 109.6. A Noetherian local ring $R$ is a regular local ring if and only if it has finite global dimension. In this case $R_p$ is a regular local ring for all primes $p$.

**Proof.** By Propositions 109.5 and 109.1 we see that a Noetherian local ring is a regular local ring if and only if it has finite global dimension. Furthermore, any localization $R_p$ has finite global dimension, see Lemma 108.13 and hence is a regular local ring. □

By Lemma 109.6 it makes sense to make the following definition, because it does not conflict with the earlier definition of a regular local ring.

Definition 109.7. A Noetherian ring $R$ is said to be regular if all the localizations $R_p$ at primes are regular local rings.

It is enough to require the local rings at maximal ideals to be regular. Note that this is not the same as asking $R$ to have finite global dimension, even assuming $R$ is Noetherian. This is because there is an example of a regular Noetherian ring which does not have finite global dimension, namely because it does not have finite dimension.
Lemma 109.8. Let $R$ be a Noetherian ring. The following are equivalent:

1. $R$ has finite global dimension $n$,
2. there exists an integer $n$ such that all the localizations $R_m$ at maximal ideals are regular of dimension $\leq n$ with equality for at least one $m$, and
3. there exists an integer $n$ such that all the localizations $R_p$ at prime ideals are regular of dimension $\leq n$ with equality for at least one $p$.

Proof. This is a reformulation of Lemma 109.2 in view of the discussion surrounding Definition 109.7. See especially Propositions 109.1 and 109.5.

Lemma 109.9. Let $R \to S$ be a local homomorphism of local Noetherian rings. Assume that $R \to S$ is flat and that $S$ is regular. Then $R$ is regular.

Proof. Let $m \subset R$ be the maximal ideal and let $\kappa = R/m$ be the residue field. Let $d = \dim S$. Choose any resolution $F_* \to \kappa$ with each $F_i$ a finite free $R$-module. Set $K_d = \ker(F_{d-1} \to F_{d-2})$. By flatness of $R \to S$ the complex $0 \to K_d \otimes_R S \to F_{d-1} \otimes_R S \to \cdots \to F_0 \otimes_R S \to \kappa \otimes_R S \to 0$ is still exact. Because the global dimension of $S$ is $d$, see Proposition 109.1, we see that $K_d \otimes_R S$ is a finite free $S$-module (see also Lemma 108.3). By Lemma 77.5 we see that $K_d$ is a finite free $R$-module. Hence $\kappa$ has finite projective dimension and $R$ is regular by Proposition 109.5.

110. Auslander-Buchsbaum

The following result can be found in [AB57].

Proposition 110.1. Let $R$ be a Noetherian local ring. Let $M$ be a nonzero finite $R$-module which has finite projective dimension $\text{pd}_R(M)$. Then we have

$$\text{depth}(R) = \text{pd}_R(M) + \text{depth}(M)$$

Proof. We prove this by induction on $\text{depth}(M)$. The most interesting case is the case $\text{depth}(M) = 0$. In this case, let

$$0 \to R^{e_0} \to R^{e_0-1} \to \cdots \to R^{e_0} \to M \to 0$$

be a minimal finite free resolution, so $e = \text{pd}_R(M)$. By Lemma 101.2 we may assume all matrix coefficients of the maps in the complex are contained in the maximal ideal of $R$. Then on the one hand, by Proposition 101.9 we see that $\text{depth}(R) \geq e$. On the other hand, breaking the long exact sequence into short exact sequences

$$0 \to R^{e_0} \to R^{e_0-1} \to K_{e-2} \to 0,$$
$$0 \to K_{e-2} \to R^{e_0-2} \to K_{e-3} \to 0,$$
$$\cdots,$$
$$0 \to K_0 \to R^{e_0} \to M \to 0$$

we see, using Lemma 71.6 that

$$\text{depth}(K_{e-2}) \geq \text{depth}(R) - 1,$$
$$\text{depth}(K_{e-3}) \geq \text{depth}(R) - 2,$$
$$\cdots,$$
$$\text{depth}(K_0) \geq \text{depth}(R) - (e - 1),$$
$$\text{depth}(M) \geq \text{depth}(R) - e$$
and since depth(M) = 0 we conclude depth(R) ≤ e. This finishes the proof of the case depth(M) = 0.

Induction step. If depth(M) > 0, then we pick x ∈ m which is a nonzerodivisor on both M and R. This is possible, because either pd_R(M) > 0 and depth(R) > 0 by the aforementioned Proposition 101.9 or pd_R(M) = 0 in which case M is finite free hence also depth(R) = depth(M) > 0. Thus depth(R ⊕ M) > 0 by Lemma 71.6 (for example) and we can find an x ∈ m which is a nonzerodivisor on both R and M. Let

0 → R^n → R^{n-1} → \ldots → R^0 → M → 0

be a minimal resolution as above. An application of the snake lemma shows that

0 → (R/xR)^n → (R/xR)^{n-1} → \ldots → (R/xR)^0 → M/xM → 0

is a minimal resolution too. Thus pd_R(M) = pd_{R/xR}(M/xM). By Lemma 111.7 we have depth(R/xR) = depth(R) − 1 and depth(M/xM) = depth(M) − 1. Till now depths have all been depths as R modules, but we observe that depth_R(M/xM) = depth_R/R(xR)(M/xM) and similarly for R/xR. By induction hypothesis we see that the Auslander-Buchsbaum formula holds for M/xM over R/xR. Since the depths of both R/xR and M/xM have decreased by one and the projective dimension has not changed we conclude. □

111. Homomorphisms and dimension

00OG This section contains a collection of easy results relating dimensions of rings when there are maps between them.

00OH **Lemma 111.1.** Suppose R → S is a ring map satisfying either going up, see Definition 40.1 or going down see Definition 40.1. Assume in addition that Spec(S) → Spec(R) is surjective. Then dim(R) ≤ dim(S).

**Proof.** Assume going up. Take any chain p_0 ⊂ p_1 ⊂ \ldots ⊂ p_e of prime ideals in R. By surjectivity we may choose a prime q_0 mapping to p_0. By going up we may extend this to a chain of length e of primes q_i lying over p_i. Thus dim(S) ≥ dim(R).

The case of going down is exactly the same. See also Topology, Lemma 19.9 for a purely topological version. □

00OI **Lemma 111.2.** Suppose that R → S is a ring map with the going up property, see Definition 40.1. If q ⊂ S is a maximal ideal. Then the inverse image of q in R is a maximal ideal too.

**Proof.** Trivial. □

00OJ **Lemma 111.3.** Suppose that R → S is a ring map such that S is integral over R. Then dim(R) ≥ dim(S), and every closed point of Spec(S) maps to a closed point of Spec(R).

**Proof.** Immediate from Lemmas 35.20 and 111.2 and the definitions. □

00OK **Lemma 111.4.** Suppose R ⊂ S and S integral over R. Then dim(R) = dim(S).

**Proof.** This is a combination of Lemmas 35.22, 35.17, 111.1 and 111.3. □

00OL **Definition 111.5.** Suppose that R → S is a ring map. Let q ⊂ S be a prime lying over the prime p of R. The local ring of the fibre at q is the local ring

\[ S_q/pS_q = (S/pS)_q = (S \otimes_R \kappa(p))_q \]
Lemma 111.6. Let \( R \to S \) be a homomorphism of Noetherian rings. Let \( q \subset S \) be a prime lying over the prime \( p \). Then

\[
\dim(S_q) \leq \dim(R_p) + \dim(S_q/pS_q).
\]

Proof. We use the characterization of dimension of Proposition \[59.8\] Let \( x_1, \ldots, x_d \) be elements of \( p \) generating an ideal of definition of \( R_q \) with \( d = \dim(R_p) \). Let \( y_1, \ldots, y_e \) be elements of \( q \) generating an ideal of definition of \( S_q/pS_q \) with \( e = \dim(S_q/pS_q) \). It is clear that \( S_q/(x_1, \ldots, x_d, y_1, \ldots, y_e) \) has a nilpotent maximal ideal. Hence \( x_1, \ldots, x_d, y_1, \ldots, y_e \) generate an ideal of definition if \( S_q \). \(\square\)

Lemma 111.7. Let \( R \to S \) be a homomorphism of Noetherian rings. Let \( q \subset S \) be a prime lying over the prime \( p \). Assume the going down property holds for \( R \to S \) (for example if \( R \to S \) is flat, see Lemma \[38.18\]). Then

\[
\dim(S_q) = \dim(R_p) + \dim(S_q/pS_q).
\]

Proof. By Lemma \[111.6\] we have an inequality \( \dim(S_q) \leq \dim(R_p) + \dim(S_q/pS_q) \). To get equality, choose a chain of primes \( pS \subset q_0 \subset q_1 \subset \ldots \subset q_d = q \) with \( d = \dim(S_q/pS_q) \). On the other hand, choose a chain of primes \( p_0 \subset p_1 \subset \ldots \subset p_e = p \) with \( e = \dim(R_p) \). By the going down theorem we may choose \( q_{e-1} \subset q_0 \) lying over \( p_{e-1} \). And then we may choose \( q_{e-2} \subset q_{e-1} \) lying over \( p_{e-2} \). Inductively we keep going until we get a chain \( q_{-e} \subset \ldots \subset q_d \) of length \( e + d \). \(\square\)

Lemma 111.8. Let \( R \to S \) be a local homomorphism of local Noetherian rings. Assume

1. \( R \) is regular,
2. \( S/m_RS \) is regular, and
3. \( R \to S \) is flat.

Then \( S \) is regular.

Proof. By Lemma \[111.7\] we have \( \dim(S) = \dim(R) + \dim(S/m_RS) \). Pick generators \( x_1, \ldots, x_d \in m_R \) with \( d = \dim(R) \), and pick \( y_1, \ldots, y_e \in m_S \) which generate the maximal ideal of \( S/m_RS \) with \( e = \dim(S/m_RS) \). Then we see that \( x_1, \ldots, x_d, y_1, \ldots, y_e \) are elements which generate the maximal ideal of \( S \) and \( e + d = \dim(S) \). \(\square\)

The lemma below will later be used to show that rings of finite type over a field are Cohen-Macaulay if and only if they are quasi-finite flat over a polynomial ring. It is a partial converse to Lemma \[127.1\]

Lemma 111.9. Let \( R \to S \) be a local homomorphism of Noetherian local rings. Assume \( R \) Cohen-Macaulay. If \( S \) is finite flat over \( R \), or if \( S \) is flat over \( R \) and \( \dim(S) \leq \dim(R) \), then \( S \) is Cohen-Macaulay and \( \dim(R) = \dim(S) \).

Proof. Let \( x_1, \ldots, x_d \in m_R \) be a regular sequence of length \( d = \dim(R) \). By Lemma \[67.5\] this maps to a regular sequence in \( S \). Hence \( S \) is Cohen-Macaulay if \( \dim(S) \leq d \). This is true if \( S \) is finite flat over \( R \) by Lemma \[111.4\] And in the second case we assumed it. \(\square\)
112. The dimension formula

Let \( R \rightarrow S \) be a ring map. Let \( q \) be a prime of \( S \) lying over the prime \( p \) of \( R \). Assume that
\begin{enumerate}
\item \( R \) is Noetherian,
\item \( R \rightarrow S \) is of finite type,
\item \( R, S \) are domains, and
\item \( R \subset S \).
\end{enumerate}
Then we have
\[
\text{height}(q) \leq \text{height}(p) + \text{trdeg}_R(S) - \text{trdeg}_{\kappa(p)}(\kappa(q))
\]
with equality if \( R \) is universally catenary.

**Proof.** Suppose that \( R \subset S' \subset S \) is a finitely generated \( R \)-subalgebra of \( S \). In this case set \( q' = S' \cap q \). The lemma for the ring maps \( R \rightarrow S' \) and \( S' \rightarrow S \) implies the lemma for \( R \rightarrow S \) by additivity of transcendence degree in towers of fields (Fields, Lemma 26.5). Hence we can use induction on the number of generators of \( S \) over \( R \) and reduce to the case where \( S \) is generated by one element over \( R \).

**Case I:** \( S = R[x] \) is a polynomial algebra over \( R \). In this case we have \( \text{trdeg}_R(S) = 1 \). Also \( R \rightarrow S \) is flat and hence
\[
\dim(S_q) = \dim(R_p) + \dim(S_q/pS_q)
\]
see Lemma 111.7. Let \( r = pS \). Then \( \text{trdeg}_{\kappa(p)}(\kappa(q)) = 1 \) is equivalent to \( q = r \), and implies that \( \dim(S_q/pS_q) = 0 \). In the same vein \( \text{trdeg}_{\kappa(p)}(\kappa(q)) = 0 \) is equivalent to having a strict inclusion \( r \subset q \), which implies that \( \dim(S_q/pS_q) = 1 \). Thus we are done with case I with equality in every instance.

**Case II:** \( S = R[x]/n \) with \( n \neq 0 \). In this case we have \( \text{trdeg}_R(S) = 0 \). Denote \( q' \subset R[x] \) the prime corresponding to \( q \). Thus we have
\[
S_q = (R[x])_{q'}/n(R[x])_{q'}
\]
By the previous case we have \( \dim((R[x])_{q'}) = \dim(R_p) + 1 - \text{trdeg}_{\kappa(p)}(\kappa(q)) \). Since \( n \neq 0 \) we see that the dimension of \( S_q \) decreases by at least one, see Lemma 59.12 which proves the inequality of the lemma. To see the equality in case \( R \) is universally catenary note that \( n \subset R[x] \) is a height one prime as it corresponds to a nonzero prime in \( F[x] \) where \( F \) is the fraction field of \( R \). Hence any maximal chain of primes in \( S_q = R[x]_{q'}/nR[x]_{q'} \) corresponds to a maximal chain of primes with length 1 greater between \( q' \) and \( (0) \) in \( R[x] \). If \( R \) is universally catenary these all have the same length equal to the height of \( q' \). This proves that \( \dim(S_q) = \dim(R[x]_{q'}) - 1 \) and this implies equality holds as desired.

The following lemma says that generically finite maps tend to be quasi-finite in codimension 1.

**Lemma 112.2.** Let \( A \rightarrow B \) be a ring map. Assume
\begin{enumerate}
\item \( A \subset B \) is an extension of domains,
\item the induced extension of fraction fields is finite,
\item \( A \) is Noetherian, and
\item \( A \rightarrow B \) is of finite type.
\end{enumerate}
Let \( p \subseteq A \) be a prime of height 1. Then there are at most finitely many primes of \( B \) lying over \( p \) and they all have height 1.

**Proof.** By the dimension formula (Lemma 112.1) for any prime \( q \) lying over \( p \) we have

\[
\dim(B_q) \leq \dim(A_p) - \text{trdeg}_{\kappa(p)}(\kappa(q)).
\]

As the domain \( B_q \) has at least 2 prime ideals we see that \( \dim(B_q) \geq 1 \). We conclude that \( \dim(B_q) = 1 \) and that the extension \( \kappa(p) \subseteq \kappa(q) \) is algebraic. Hence \( q \) defines a closed point of its fibre \( \text{Spec}(B \otimes_A \kappa(p)) \), see Lemma 34.9. Since \( B \otimes_A \kappa(p) \) is a Noetherian ring the fibre \( \text{Spec}(B \otimes_A \kappa(p)) \) is a Noetherian topological space, see Lemma 30.5. A Noetherian topological space consisting of closed points is finite, see for example Topology, Lemma 9.2.

\[ \square \]

### 113. Dimension of finite type algebras over fields

**Lemma 113.1.** Let \( m \) be a maximal ideal in \( k[x_1, \ldots, x_n] \). The ideal \( m \) is generated by \( n \) elements. The dimension of \( k[x_1, \ldots, x_n]_m \) is \( n \). Hence \( k[x_1, \ldots, x_n]_m \) is a regular local ring of dimension \( n \).

**Proof.** By the Hilbert Nullstellensatz (Theorem 33.1) we know the residue field \( \kappa = \kappa(m) \) is a finite extension of \( k \). Denote \( \alpha_i \in \kappa \) the image of \( x_i \). Denote \( \kappa_i = k(\alpha_1, \ldots, \alpha_i) \subseteq \kappa \), \( i = 1, \ldots, n \) and \( \kappa_0 = k \). Note that \( \kappa_i = k[\alpha_1, \ldots, \alpha_i] \) by field theory. Define inductively elements \( f_i \in m \cap k[x_1, \ldots, x_i] \) as follows: Let \( P_i(T) \in \kappa_{i-1}[T] \) be the monic minimal polynomial of \( \alpha_i \) over \( \kappa_{i-1} \). Let \( Q_i(T) \in k[x_1, \ldots, x_{i-1}][T] \) be a monic lift of \( P_i(T) \) (of the same degree). Set \( f_i = Q_i(x_i). \) Note that if \( d_i = \deg_P(P_i) = \deg_T(Q_i) = \deg_{x_i}(f_i) \) then \( d_1 d_2 \ldots d_i = [\kappa : k] \) by Fields, Lemmas 7.7 and 9.2.

We claim that for all \( i = 0, 1, \ldots, n \) there is an isomorphism

\[
\psi_i : k[x_1, \ldots, x_i]/(f_1, \ldots, f_i) \cong \kappa_i.
\]

By construction the composition \( k[x_1, \ldots, x_{i-1}] \rightarrow k[x_1, \ldots, x_i] \rightarrow \kappa \) is surjective onto \( \kappa_i \) and \( f_1, \ldots, f_i \) are in the kernel. This gives a surjective homomorphism.

We prove \( \psi_i \) is injective by induction. It is clear for \( i = 0 \). Given the statement for \( i \) we prove it for \( i + 1 \). The ring extension \( k[x_1, \ldots, x_i]/(f_1, \ldots, f_i) \rightarrow k[x_1, \ldots, x_{i+1}]/(f_1, \ldots, f_{i+1}) \) is generated by 1 element over a field and one irreducible equation. By elementary field theory \( k[x_1, \ldots, x_{i+1}]/(f_1, \ldots, f_{i+1}) \) is a field, and hence \( \psi_i \) is injective.

This implies that \( m = (f_1, \ldots, f_n) \). Moreover, we also conclude that

\[
k[x_1, \ldots, x_n]/(f_1, \ldots, f_i) \cong \kappa_i[x_{i+1}, \ldots, x_n].
\]

Hence \( (f_1, \ldots, f_i) \) is a prime ideal. Thus

\[
(0) \subseteq (f_1) \subseteq (f_1, f_2) \subseteq \ldots \subseteq (f_1, \ldots, f_n) = m
\]

is a chain of primes of length \( n \). The lemma follows. \[ \square \]
Proposition 113.2. A polynomial algebra in \( n \) variables over a field is a regular ring. It has global dimension \( n \). All localizations at maximal ideals are regular local rings of dimension \( n \).

Proof. By Lemma 113.1 all localizations \( k[x_1, \ldots, x_n]_m \) at maximal ideals are regular local rings of dimension \( n \). Hence we conclude by Lemma 109.8.

Lemma 113.3. Let \( k \) be a field. Let \( \mathfrak{p} \subset \mathfrak{q} \subset k[x_1, \ldots, x_n] \) be a pair of primes. Any maximal chain of primes between \( \mathfrak{p} \) and \( \mathfrak{q} \) has length \( \text{height}(\mathfrak{q}) - \text{height}(\mathfrak{p}) \).

Proof. By Proposition 113.2 any local ring of \( k[x_1, \ldots, x_n] \) is regular. Hence all local rings are Cohen-Macaulay, see Lemma 105.3. The local rings at maximal ideals have dimension \( n \) hence every maximal chain of primes in \( k[x_1, \ldots, x_n] \) has length \( n \), see Lemma 103.5. Hence every maximal chain of primes between \( (0) \) and \( \mathfrak{p} \) has length \( \text{height}(\mathfrak{p}) \), see Lemma 103.4 for example. Putting these together leads to the assertion of the lemma.

Lemma 113.4. Let \( k \) be a field. Let \( S \) be a finite type \( k \)-algebra which is an integral domain. Then \( \dim(S) = \dim(S_m) \) for any maximal ideal \( \mathfrak{m} \) of \( S \). In words: every maximal chain of primes has length equal to the dimension of \( S \).

Proof. Write \( S = k[x_1, \ldots, x_n]/\mathfrak{p} \). By Proposition 113.2 and Lemma 113.3 all the maximal chains of primes in \( S \) (which necessarily end with a maximal ideal) have length \( n - \text{height}(\mathfrak{p}) \). Thus this number is the dimension of \( S \) and of \( S_m \) for any maximal ideal \( \mathfrak{m} \) of \( S \).

Recall that we defined the dimension \( \dim_x(X) \) of a topological space \( X \) at a point \( x \) in Topology, Definition 10.1.

Lemma 113.5. Let \( k \) be a field. Let \( S \) be a finite type \( k \)-algebra. Let \( X = \text{Spec}(S) \). Let \( \mathfrak{p} \subset \mathfrak{m} \) be a prime ideal and let \( x \in X \) be the corresponding point. The following numbers are equal

1. \( \dim_x(X) \),
2. \( \max \dim(Z) \) where the maximum is over those irreducible components \( Z \) of \( X \) passing through \( x \), and
3. \( \min \dim(S_m) \) where the minimum is over maximal ideals \( \mathfrak{m} \) with \( \mathfrak{p} \subset \mathfrak{m} \).

Proof. Let \( X = \bigcup_{i \in I} Z_i \) be the decomposition of \( X \) into its irreducible components. There are finitely many of them (see Lemmas 30.3 and 30.5). Let \( I' = \{ i \mid x \in Z_i \} \), and let \( T = \bigcup_{i \in I'} Z_i \). Then \( U = X \setminus T \) is an open subset of \( X \) containing the point \( x \). The number (2) is \( \max_{i \in I'} \dim(Z_i) \). For any open \( W \subset U \) with \( x \in W \) the irreducible components of \( W \) are the irreducible sets \( W_i = Z_i \cap W \) for \( i \in I' \) and \( x \) is contained in each of these. Note that each \( W_i \), \( i \in I' \) contains a closed point because \( X \) is Jacobson, see Section 34. Since \( W_i \subset Z_i \) we have \( \dim(W_i) \leq \dim(Z_i) \). The existence of a closed point implies, via Lemma 113.4 that there is a chain of irreducible closed subsets of length equal to \( \dim(Z_i) \) in the open \( W_i \). Thus \( \dim(W_i) = \dim(Z_i) \) for any \( i \in I' \). Hence \( \dim(W) \) is equal to the number (2). This proves that (1) = (2).

Let \( \mathfrak{m} \supset \mathfrak{p} \) be any maximal ideal containing \( \mathfrak{p} \). Let \( x_0 \in X \) be the corresponding point. First of all, \( x_0 \) is contained in all the irreducible components \( Z_i, i \in I' \). Let
q_i denote the minimal primes of S corresponding to the irreducible components Z_i.
For each i such that x_0 \in Z_i (which is equivalent to m \supset q_i) we have a surjection

\[ S_m \twoheadrightarrow S_m/q_i S_m = (S/q_i)_{m} \]

Moreover, the primes q_i S_m so obtained exhaust the minimal primes of the Noetherian local ring S_m, see Lemma 23.3. We conclude, using Lemma 113.4 that the dimension of S_m is the maximum of the dimensions of the Z_i passing through x_0.

To finish the proof of the lemma it suffices to show that we can choose x_0 such that x_0 \in Z_i \Rightarrow i \in I'. Because S is Jacobson (as we saw above) it is enough to show that V(p) \setminus T (with T as above) is nonempty. And this is clear since it contains the point x (i.e. p).

\[ \square \]

00OU \textbf{Lemma 113.6.} Let k be a field. Let S be a finite type k-algebra. Let X = \text{Spec}(S).

Let m \subset S be a maximal ideal and let x \in X be the associated closed point. Then \dim_x(X) = \dim(S_m).

\textbf{Proof.} This is a special case of Lemma 113.5 \[ \square \]

00OV \textbf{Lemma 113.7.} Let k be a field. Let S be a finite type k-algebra. Assume that S is Cohen-Macaulay. Then \text{Spec}(S) = \coprod T_d is a finite disjoint union of open and closed subsets T_d with T_d equidimensional (see Topology, Definition 10.3) of dimension d. Equivalently, S is a product of rings S_d, d = 0, \ldots, \dim(S) such that every maximal ideal m of S_d has height d.

\textbf{Proof.} The equivalence of the two statements follows from Lemma 23.3. Let m \subset S be a maximal ideal. Every maximal chain of primes in S_m has the same length equal to \dim(S_m), see Lemma 103.3. Hence, the dimension of the irreducible components passing through the point corresponding to m all have dimension equal to \dim(S_m), see Lemma 113.4. Since \text{Spec}(S) is a Jacobson topological space the intersection of any two irreducible components of it contains a closed point if nonempty, see Lemmas 34.2 and 34.4. Thus we have shown that any two irreducible components that meet have the same dimension. The lemma follows easily from this, and the fact that \text{Spec}(S) has a finite number of irreducible components (see Lemmas 30.3 and 30.5). \[ \square \]

114. Noether normalization

00OW In this section we prove variants of the Noether normalization lemma. The key ingredient we will use is contained in the following two lemmas.

051M \textbf{Lemma 114.1.} Let n \in N. Let N be a finite nonempty set of multi-indices \( \nu = (\nu_1, \ldots, \nu_n) \). Given \( e = (e_1, \ldots, e_n) \) we set \( e \cdot \nu = \sum e_i \nu_i \). Then for \( e_1 \gg e_2 \gg \ldots \gg e_{n-1} \gg e_n \) we have: If \( \nu, \nu' \in N \) then

\[ (e \cdot \nu = e \cdot \nu') \iff (\nu = \nu') \]

\textbf{Proof.} Say \( N = \{ \nu_j \} \) with \( \nu_j = (\nu_{j1}, \ldots, \nu_{jn}) \). Let \( A_i = \max_j \nu_{ji} - \min_j \nu_{ji} \). If for each i we have \( e_{i-1} > A_i e_i + A_{i+1} e_{i+1} + \ldots + A_n e_n \) then the lemma holds. For suppose that \( e \cdot (\nu - \nu') = 0 \). Then for \( n \geq 2 \),

\[ e_1(\nu_1 - \nu'_1) = \sum_{i=2}^{n} e_i(\nu'_i - \nu_i). \]

We may assume that \( (\nu_1 - \nu'_1) \geq 0 \). If \( (\nu_1 - \nu'_1) > 0 \), then

\[ e_1(\nu_1 - \nu'_1) \geq e_1 > A_2 e_2 + \ldots + A_n e_n \geq \sum_{i=2}^{n} e_i|\nu'_i - \nu_i| \geq \sum_{i=2}^{n} e_i(\nu'_i - \nu_i). \]
This contradiction implies that $\nu'_i = \nu_i$. By induction, $\nu'_i = \nu_i$ for $2 \leq i \leq n$. □

**Lemma 114.2.** Let $R$ be a ring. Let $g \in R[x_1, \ldots, x_n]$ be an element which is nonconstant, i.e., $g \not\in R$. For $e_1 \gg e_2 \gg \ldots \gg e_{n-1} \gg e_n = 1$ the polynomial

$$g(x_1 + x_1^{e_1}, x_2 + x_2^{e_2}, \ldots, x_{n-1} + x_{n-1}^{e_{n-1}}, x_n) = ax_d^n + \text{lower order terms in } x_n$$

where $d > 0$ and $a \in R$ is one of the nonzero coefficients of $g$.

**Proof.** Write $g = \sum_{\nu \in \mathbb{N}} a_{\nu}x^\nu$ with $a_{\nu} \in R$ not zero. Here $N$ is a finite set of multi-indices as in Lemma 114.1, and $x^\nu = x_1^{\nu_1} \ldots x_n^{\nu_n}$. Note that the leading term in

$$(x_1 + x_1^{e_1})^{\nu_1} \ldots (x_{n-1} + x_{n-1}^{e_{n-1}})^{\nu_{n-1}} x_n^{\nu_n} = x_n^{\nu_1 + \ldots + \nu_{n-1} + \nu_n}.$$

Hence the lemma follows from Lemma 114.1 which guarantees that there is exactly one nonzero term $a_{\nu'}x^{\nu'}$ of $g$ which gives rise to the leading term of $g(x_1 + x_1^{e_1}, x_2 + x_2^{e_2}, \ldots, x_{n-1} + x_{n-1}^{e_{n-1}}, x_n)$, i.e., $a = a_{\nu'}$ for the unique $\nu'$ in $N$ such that $e \cdot \nu$ is maximal. □

**Lemma 114.3.** Let $k$ be a field. Let $S = k[x_1, \ldots, x_n]/I$ for some proper ideal $I$. If $I \neq 0$, then there exist $y_1, \ldots, y_{n-1} \in k[x_1, \ldots, x_n]$ such that $S$ is finite over $k[y_1, \ldots, y_{n-1}]$. Moreover we may choose $y_i$ to be in the $\mathbb{Z}$-subalgebra of $k[x_1, \ldots, x_n]$ generated by $x_1, \ldots, x_n$.

**Proof.** Pick $f \in I$, $f \neq 0$. It suffices to show the lemma for $k[x_1, \ldots, x_n]/(f)$ since $S$ is a quotient of that ring. We will take $y_i = x_i - x_i^{e_i}$, $i = 1, \ldots, n-1$ for suitable integers $e_i$. When does this work? It suffices to show that $\mathfrak{m} \in k[x_1, \ldots, x_n]/(f)$ is integral over the ring $k[y_1, \ldots, y_{n-1}]$. The equation for $\mathfrak{m}$ over this ring is

$$f(y_1 + x_1^{e_1}, \ldots, y_{n-1} + x_{n-1}^{e_{n-1}}, x_n) = 0.$$

Hence we are done if we can show there exists integers $e_i$ such that the leading coefficient with respect to $x_n$ of the equation above is a nonzero element of $k$. This can be achieved for example by choosing $e_1 \gg e_2 \gg \ldots \gg e_{n-1}$, see Lemma 114.2. □

**Lemma 114.4.** Let $k$ be a field. Let $S = k[x_1, \ldots, x_n]/I$ for some ideal $I$. If $I \neq (1)$, there exist $r \geq 0$, and $y_1, \ldots, y_r \in k[x_1, \ldots, x_n]$ such that (a) the map $k[y_1, \ldots, y_r] \rightarrow S$ is injective, and (b) the map $k[y_1, \ldots, y_r] \rightarrow S$ is finite. In this case the integer $r$ is the dimension of $S$. Moreover we may choose $y_i$ to be in the $\mathbb{Z}$-subalgebra of $k[x_1, \ldots, x_n]$ generated by $x_1, \ldots, x_n$.

**Proof.** By induction on $n$, with $n = 0$ being trivial. If $I = (0)$, then take $r = n$ and $y_i = x_i$. If $I \neq (0)$, then choose $y_1, \ldots, y_{n-1}$ as in Lemma 114.3. Let $S' \subset S$ be the subring generated by the images of the $y_i$. By induction we can choose $r$ and $z_1, \ldots, z_r \in k[y_1, \ldots, y_{n-1}]$ such that (a), (b) hold for $k[z_1, \ldots, z_r] \rightarrow S'$. Since $S' \rightarrow S$ is injective and finite we see (a), (b) hold for $k[z_1, \ldots, z_r] \rightarrow S$. The last assertion follows from Lemma 114.4. □

**Lemma 114.5.** Let $k$ be a field. Let $S$ be a finite type $k$ algebra and denote $X = \text{Spec}(S)$. Let $\mathfrak{q}$ be a prime of $S$, and let $x \in X$ be the corresponding point. There exists a $g \in S$, $g \not\in \mathfrak{q}$ such that $\dim(S_g) = \dim_x(X) =: d$ and such that there exists a finite injective map $k[y_1, \ldots, y_d] \rightarrow S_g$. 


Proof. Note that by definition \( \dim_x(X) \) is the minimum of the dimensions of \( S_g \) for \( g \in S, g \notin q \), i.e., the minimum is attained. Thus the lemma follows from Lemma \[114.4\] □

**Lemma 114.6.** Let \( k \) be a field. Let \( q \subset k[x_1, \ldots, x_n] \) be a prime ideal. Set \( r = \trdeg_k \kappa(q) \). Then there exists a finite ring map \( \varphi : k[y_1, \ldots, y_n] \to k[x_1, \ldots, x_n] \) such that \( \varphi^{-1}(q) = (y_{r+1}, \ldots, y_n) \).

**Proof.** By induction on \( n \). The case \( n = 0 \) is clear. Assume \( n > 0 \). If \( r = n \), then \( q = (0) \) and the result is clear. Choose a nonzero \( f \in q \). Of course \( f \) is nonconstant. After applying an automorphism of the form

\[
k[x_1, \ldots, x_n] \to k[x_1, \ldots, x_n], \quad x_n \mapsto x_n, \quad x_i \mapsto x_i + x_n^i \quad (i < n)
\]

we may assume that \( f \) is monic in \( x_n \) over \( k[x_1, \ldots, x_n] \), see Lemma \[114.2\]. Hence the ring map

\[
k[y_1, \ldots, y_n] \to k[x_1, \ldots, x_n], \quad y_n \mapsto f, \quad y_i \mapsto x_i \quad (i < n)
\]

is finite. Moreover, \( y_n \in q \cap k[y_1, \ldots, y_n] \) by construction. Thus \( q \cap k[y_1, \ldots, y_n] = p k[y_1, \ldots, y_n] + (y_n) \) where \( p \subset k[y_1, \ldots, y_n] \) is a prime ideal. Note that \( \kappa(p) \subset \kappa(q) \) is finite, and hence \( r = \trdeg_k \kappa(p) \). Apply the induction hypothesis to the pair \((k[y_1, \ldots, y_n-1], p)\) and we obtain a finite ring map \( k[z_1, \ldots, z_{n-1}] \to k[y_1, \ldots, y_{n-1}] \) such that \( p \cap k[z_1, \ldots, z_{n-1}] = (z_{r+1}, \ldots, z_{n-1}) \). We extend the ring map \( k[z_1, \ldots, z_{n-1}] \to k[y_1, \ldots, y_{n-1}] \) to a ring map \( k[z_1, \ldots, z_n] \to k[y_1, \ldots, y_n] \) by mapping \( z_n \) to \( y_n \). The composition of the ring maps

\[
k[z_1, \ldots, z_n] \to k[y_1, \ldots, y_n] \to k[x_1, \ldots, x_n]
\]
solves the problem. □

**Lemma 114.7.** Let \( R \to S \) be an injective finite type map of domains. Then there exists an integer \( d \) and a factorization

\[
R \to R[y_1, \ldots, y_d] \to S' \to S
\]

by injective maps such that \( S' \) is finite over \( R[y_1, \ldots, y_d] \) and such that \( S'_f \cong S_f \) for some nonzero \( f \in R \).

**Proof.** Pick \( x_1, \ldots, x_n \in S \) which generate \( S \) over \( R \). Let \( K \) be the fraction field of \( R \) and \( S_K = S \otimes_R K \). By Lemma \[114.4\] we can find \( y_1, \ldots, y_d \in S \) such that \( K[y_1, \ldots, y_d] \to S_K \) is a finite injective map. Note that \( y_i \in S \) because we may pick the \( y_i \) in the \( \mathbb{Z} \)-algebra generated by \( x_1, \ldots, x_n \). As a finite ring map is integral (see Lemma \[35.3\]) we can find monic \( P_i \in K[y_1, \ldots, y_d][T] \) such that \( P_i(x_i) = 0 \) in \( S_K \). Let \( f \in R \) be a nonzero element such that \( f P_i \in R[y_1, \ldots, y_d][T] \) for all \( i \). Set \( x'_i = f x_i \) and let \( S' \subset S \) be the subalgebra generated by \( y_1, \ldots, y_d \) and \( x'_1, \ldots, x'_n \). Note that \( x'_i \) is integral over \( R[y_1, \ldots, y_d] \) as we have \( Q_i(x'_i) = 0 \) where \( Q_i = f^{\deg_T(P_i)} P_i(T/f) \) which is a monic polynomial in \( T \) with coefficients in \( R[y_1, \ldots, y_d] \) by our choice of \( f \). Hence \( R[y_1, \ldots, y_n] \subset S' \) is finite by Lemma \[35.5\]. By construction \( S'_f \cong S_f \) and we win. □

115. Dimension of finite type algebras over fields, reprise

This section is a continuation of Section \[113\]. In this section we establish the connection between dimension and transcendence degree over the ground field for finite type domains over a field.
Lemma 115.1. Let $k$ be a field. Let $S$ be a finite type $k$ algebra which is an integral domain. Let $K$ be the field of fractions of $S$. Let $r = \text{trdeg}_k(K/k)$ be the transcendence degree of $K$ over $k$. Then $\dim(S) = r$. Moreover, the local ring of $S$ at every maximal ideal has dimension $r$.

Proof. We may write $S = k[x_1, \ldots, x_n]/\mathfrak{p}$. By Lemma 113.3 all local rings of $S$ at maximal ideals have the same dimension. Apply Lemma 114.4 We get a finite injective ring map

$$k[y_1, \ldots, y_d] \to S$$

with $d = \dim(S)$. Clearly, $k(y_1, \ldots, y_d) \subset K$ is a finite extension and we win. □

Lemma 115.2. Let $k$ be a field. Let $S$ be a finite type $k$-algebra. Let $q \subset q' \subset S$ be distinct prime ideals. Then $\text{trdeg}_k \kappa(q') < \text{trdeg}_k \kappa(q)$.

Proof. By Lemma 115.1 we have $\dim V(q) = \text{trdeg}_k \kappa(q)$ and similarly for $q'$. Hence the result follows as the strict inclusion $V(q') \subset V(q)$ implies a strict inequality of dimensions. □

The following lemma generalizes Lemma 113.6.

Lemma 115.3. Let $k$ be a field. Let $S$ be a finite type $k$ algebra. Let $X = \text{Spec}(S)$. Let $p \subset S$ be a prime ideal, and let $x \in X$ be the corresponding point. Then we have

$$\dim_x(X) = \dim(S_p) + \text{trdeg}_k \kappa(p).$$

Proof. By Lemma 115.1 we know that $r = \text{trdeg}_k \kappa(p)$ is equal to the dimension of $V(p)$. Pick any maximal chain of primes $p \subset p_1 \subset \ldots \subset p_r$ starting with $p$ in $S$. This has length $r$ by Lemma 113.4 Let $q_j, j \in J$ be the minimal primes of $S$ which are contained in $p$. These correspond $1-1$ to minimal primes in $S_p$ via the rule $q_j \mapsto q_j S_p$. By Lemma 113.5 we know that $\dim_x(X)$ is equal to the maximum of the dimensions of the rings $S/q_j$. For each $j$ pick a maximal chain of primes $q_j \subset p'_1 \subset \ldots \subset p'_{s(j)} = p$. Then $\dim(S_p) = \max_{j \in J} s(j)$. Now, each chain

$$q_j \subset p'_1 \subset \ldots \subset p'_{s(j)} = p \subset p_1 \subset \ldots \subset p_r$$

is a maximal chain in $S/q_j$, and by what was said before we have $\dim_x(X) = \max_{j \in J} r + s(j)$. The lemma follows. □

The following lemma says that the codimension of one finite type Spec in another is the difference of heights.

Lemma 115.4. Let $k$ be a field. Let $S' \to S$ be a surjection of finite type $k$ algebras. Let $p \subset S$ be a prime ideal, and let $p'$ be the corresponding prime ideal of $S'$. Let $X = \text{Spec}(S)$, resp. $X' = \text{Spec}(S')$, and let $x \in X$, resp. $x' \in X'$ be the point corresponding to $p$, resp. $p'$. Then

$$\dim_{x'} X' - \dim_x X = \text{height}(p') - \text{height}(p).$$

Proof. Immediate from Lemma 115.3 □

Lemma 115.5. Let $k$ be a field. Let $S$ be a finite type $k$-algebra. Let $k \subset K$ be a field extension. Then $\dim(S) = \dim(K \otimes_k S)$.

Proof. By Lemma 114.4 there exists a finite injective map $k[y_1, \ldots, y_d] \to S$ with $d = \dim(S)$. Since $K$ is flat over $k$ we also get a finite injective map $K[y_1, \ldots, y_d] \to K \otimes_k S$. The result follows from Lemma 111.4 □
**Lemma 115.6.** Let $k$ be a field. Let $S$ be a finite type $k$-algebra. Set $X = \text{Spec}(S)$. Let $k \subset K$ be a field extension. Set $S_K = K \otimes_k S$, and $X_K = \text{Spec}(S_K)$. Let $q \subset S$ be a prime corresponding to $x \in X$ and let $q_K \subset S_K$ be a prime corresponding to $x_K \in X_K$ lying over $q$. Then $\dim_x X = \dim_{x_K} X_K$.

**Proof.** Choose a presentation $S = k[x_1, \ldots, x_n]/I$. This gives a presentation $K \otimes_k S = K[x_1, \ldots, x_n]/(K \otimes_k I)$. Let $q_K \subset K[x_1, \ldots, x_n]$, resp. $q' \subset k[x_1, \ldots, x_n]$ be the corresponding primes. Consider the following commutative diagram of Noetherian local rings

$$
\begin{array}{ccc}
K[x_1, \ldots, x_n]_{q_K} & \rightarrow & (K \otimes_k S)_{q_K} \\
\uparrow & & \uparrow \\
k[x_1, \ldots, x_n]_{q'} & \rightarrow & S_q
\end{array}
$$

Both vertical arrows are flat because they are localizations of the flat ring maps $S \rightarrow S_K$ and $k[x_1, \ldots, x_n] \rightarrow K[x_1, \ldots, x_n]$. Moreover, the vertical arrows have the same fibre rings. Hence, we see from Lemma 111.7 that $\text{height}(q') - \text{height}(q) = \text{height}(q'_K) - \text{height}(q_K)$. Denote $x' \in X' = \text{Spec}(k[x_1, \ldots, x_n])$ and $x'_K \in X'_K = \text{Spec}(K[x_1, \ldots, x_n])$ the points corresponding to $q'$ and $q'_K$. By Lemma 115.4 and what we showed above we have

$$
n - \dim_x X = \dim_{x'} X' - \dim_x X = \text{height}(q') - \text{height}(q) = \text{height}(q'_K) - \text{height}(q_K) = \dim_{x'_K} X'_K - \dim_{x_K} X_K = n - \dim_{x_K} X_K
$$

and the lemma follows. \hfill \square

**Lemma 115.7.** Let $k$ be a field. Let $S$ be a finite type $k$-algebra. Let $k \subset K$ be a field extension. Set $S_K = K \otimes_k S$. Let $q \subset S$ be a prime and let $q_K \subset S_K$ be a prime lying over $q$. Then

$$
\dim(S_K \otimes_S \kappa(q))_{q_K} = \dim(S_K)_{q_K} - \dim S_q = \text{trdeg}_k \kappa(q) - \text{trdeg}_K \kappa(q_K)
$$

Moreover, given $q$ we can always choose $q_K$ such that the number above is zero.

**Proof.** Observe that $S_q \rightarrow (S_K)_{q_K}$ is a flat local homomorphism of local Noetherian rings with special fibre $(S_K \otimes_S \kappa(q))_{q_K}$. Hence the first equality by Lemma 111.7. The second equality follows from the fact that we have $\dim_x X = \dim_{x_K} X_K$ with notation as in Lemma 115.6 and we have $\dim_x X = \dim S_q + \text{trdeg}_k \kappa(q)$ by Lemma 115.3 and similarly for $\dim_{x_K} X_K$. If we choose $q_K$ minimal over $q S_K$, then the dimension of the fibre ring will be zero. \hfill \square

### 116. Dimension of graded algebras over a field

**Lemma 116.1.** Let $k$ be a field. Let $S$ be a finitely generated graded algebra over $k$. Assume $S_0 = k$. Let $P(T) \in \mathbb{Q}[T]$ be the polynomial such that $\dim(S_d) = P(d)$ for all $d \gg 0$. See Proposition 57.7. Then

1. The irrelevant ideal $S_+$ is a maximal ideal $m$.
2. Any minimal prime of $S$ is a homogeneous ideal and is contained in $S_+ = m$. 

**Lemma 116.4.** Let $S$ be a graded algebra over $k$. Let $P(T) \in \mathbb{Q}[T]$ be the polynomial such that $\dim(S_d) = P(d)$ for all $d \gg 0$. Then $S$ is a Cohen-Macaulay algebra.
We have \( \dim(S) = \deg(P) + 1 = \dim_x \text{Spec}(S) \) (with the convention that \( \deg(0) = -1 \)) where \( x \) is the point corresponding to the maximal ideal \( S_+ = m \).

The Hilbert function of the local ring \( R = S_m \) is equal to the Hilbert function of \( S \).

**Proof.** The first statement is obvious. The second follows from Lemma 56.8. The equality \( \dim(S) = \dim_x \text{Spec}(S) \) follows from the fact that every irreducible component passes through \( x \) according to (2). Hence we may compute this dimension as the dimension of the local ring \( R = S_m \) with \( m = S_+ \). Since \( m/d/m + 1 \sim m/d + 1 R \) we see that the Hilbert function of the local ring \( R \) is equal to the Hilbert function of \( S \), which is (4). We conclude the last equality of (3) by Proposition 59.8.

**117. Generic flatness**

051Q Basically this says that a finite type algebra over a domain becomes flat after inverting a single element of the domain. There are several versions of this result (in increasing order of strength).

051R **Lemma 117.1.** Let \( R \to S \) be a ring map. Let \( M \) be an \( S \)-module. Assume

(1) \( R \) is Noetherian,
(2) \( R \) is a domain,
(3) \( R \to S \) is of finite type, and
(4) \( M \) is a finite type \( S \)-module.

Then there exists a nonzero \( f \in R \) such that \( M_f \) is a free \( R_f \)-module.

**Proof.** Let \( K \) be the fraction field of \( R \). Set \( S_K = K \otimes_R S \). This is an algebra of finite type over \( K \). We will argue by induction on \( d = \dim(S_K) \) (which is finite for example by Noether normalization, see Section 114). Fix \( d \geq 0 \). Assume we know that the lemma holds in all cases where \( \dim(S_K) < d \).

Suppose given \( R \to S \) and \( M \) as in the lemma with \( \dim(S_K) = d \). By Lemma 61.1 there exists a filtration \( 0 \subset M_1 \subset M_2 \subset \ldots \subset M_n = M \) so that \( M_i/M_{i-1} \) is isomorphic to \( S/q \) for some prime \( q \) of \( S \). Note that \( \dim((S/q)_K) \leq \dim(S_K) \).

Also, note that an extension of free modules is free (see basic notion 50). Thus we may assume \( M = S \) and that \( S \) is a domain of finite type over \( R \).

If \( R \to S \) has a nontrivial kernel, then take a nonzero \( f \in R \) in this kernel. In this case \( S_f = 0 \) and the lemma holds. (This is really the case \( d = -1 \) and the start of the induction.) Hence we may assume that \( R \to S \) is a finite type extension of Noetherian domains.

Apply Lemma 114.7 and replace \( R \) by \( R_f \) (with \( f \) as in the lemma) to get a factorization

\[
R \subset R[y_1, \ldots, y_d] \subset S
\]

where the second extension is finite. Choose \( z_1, \ldots, z_r \in S \) which form a basis for the fraction field of \( S \) over the fraction field of \( R[y_1, \ldots, y_d] \). This gives a short exact sequence

\[
0 \to R[y_1, \ldots, y_d] \to R[y_1, \ldots, y_d] \to S \to N \to 0
\]

By construction \( N \) is a finite \( R[y_1, \ldots, y_d] \)-module whose support does not contain the generic point \((0)\) of \( \text{Spec}(R[y_1, \ldots, y_d]) \). By Lemma 39.5 there exists a nonzero
g ∈ R[y_1, ..., y_d] such that g annihilates N, so we may view N as a finite module over \( S' = R[y_1, ..., y_d]/(g) \). Since \( \dim(S'_k) < d \) by induction there exists a nonzero \( f ∈ R \) such that \( N_f \) is a free \( R \)-module. Since \( (R[y_1, ..., y_d])_f \cong R_f[y_1, ..., y_d] \) is free also we conclude by the already mentioned fact that an extension of free modules is free. □

**Lemma 117.2.** Let \( R → S \) be a ring map. Let \( M \) be an \( S \)-module. Assume

1. \( R \) is a domain,
2. \( R → S \) is of finite presentation, and
3. \( M \) is an \( S \)-module of finite presentation.

Then there exists a nonzero \( f ∈ R \) such that \( M_f \) is a free \( R_f \)-module.

**Proof.** Write \( S = R[x_1, ..., x_n]/(g_1, ..., g_m) \). For \( g ∈ R[x_1, ..., x_n] \) denote \( g \) its image in \( S \). We may write \( M = S^{\oplus t}/\sum S_{n_i} \) for some \( n_i ∈ S^{\oplus t} \). Write \( n_i = (\overline{g}_{i1}, ..., \overline{g}_{id}) \) for some \( g_{ij} ∈ R[x_1, ..., x_n] \). Let \( R_0 ⊂ R \) be the subring generated by all the coefficients of all the elements \( g_{ij} ∈ R[x_1, ..., x_n] \). Define \( S_0 = R_0[x_1, ..., x_n]/(g_1, ..., g_m) \). Define \( M_0 = S_0^{\oplus t}/\sum S_{0n_i} \). Then \( R_0 \) is a domain of finite type over \( Z \) and hence Noetherian (see Lemma \[30.1\]). Moreover via the injection \( R_0 → R \) we have \( S_0 ≅ R_0 \otimes_{R_0} S_0 \) and \( M_0 ≅ R_0 \otimes_{R_0} M_0 \). Applying Lemma \[117.1\] we obtain a nonzero \( f ∈ R_0 \) such that \( (M_0)_f \) is a free \( (R_0)_f \)-module. Hence \( M_f = R_f \otimes_{(R_0)_f} (M_0)_f \) is a free \( R_f \)-module. □

**Lemma 117.3.** Let \( R → S \) be a ring map. Let \( M \) be an \( S \)-module. Assume

1. \( R \) is a domain,
2. \( R → S \) is of finite type, and
3. \( M \) is a finite type \( S \)-module.

Then there exists a nonzero \( f ∈ R \) such that

(a) \( M_f \) and \( S_f \) are free as \( R_f \)-modules, and
(b) \( S_f \) is a finitely presented \( R_f \)-algebra and \( M_f \) is a finitely presented \( S_f \)-module.

**Proof.** We first prove the lemma for \( S = R[x_1, ..., x_n] \), and then we deduce the result in general.

Assume \( S = R[x_1, ..., x_n] \). Choose elements \( m_1, ..., m_i \) which generate \( M \). This gives a short exact sequence

\[
0 → N → S^{\oplus t} \xrightarrow{(m_1, ..., m_i)} M → 0.
\]

Denote \( K \) the fraction field of \( R \). Denote \( S_K = K \otimes_R S = K[x_1, ..., x_n] \), and similarly \( N_K = K \otimes_R N \) and \( M_K = K \otimes_R M \). As \( R → K \) is flat the sequence remains exact after tensoring with \( K \). As \( S_K = K[x_1, ..., x_n] \) is a Noetherian ring (see Lemma \[30.1\]) we can find finitely many elements \( n_1', ..., n_r' ∈ N_K \) which generate it. Choose \( n_1, ..., n_r ∈ N \) such that \( n_i' = \sum a_{ij}n_j \) for some \( a_{ij} ∈ K \). Set

\[
M' = S^{\oplus t}/\sum_{i=1,...,r} S_{n_i}
\]

By construction \( M' \) is a finitely presented \( S \)-module, and there is a surjection \( M' → M \) which induces an isomorphism \( M'_K ≅ M_K \). We may apply Lemma \[117.2\] to \( R → S \) and \( M' \) and we find an \( f ∈ R \) such that \( M'_f \) is a free \( R_f \)-module. Thus \( M'_f → M_f \) is a surjection of modules over the domain \( R_f \) where the source is a free module and which becomes an isomorphism upon tensoring with \( K \). Thus it
is injective as \( M'_f \subset M'_K \) as it is free over the domain \( R_f \). Hence \( M'_f \to M_f \) is an isomorphism and the result is proved.

For the general case, choose a surjection \( R[x_1, \ldots, x_n] \to S \). Think of both \( S \) and \( M \) as finite modules over \( R[x_1, \ldots, x_n] \). By the special case proved above there exists a nonzero \( f \in R \) such that both \( S_f \) and \( M_f \) are free as \( R_f \)-modules and finitely presented as \( R_f[x_1, \ldots, x_n] \)-modules. Clearly this implies that \( S_f \) is a finitely presented \( R_f \)-algebra and that \( M_f \) is a finitely presented \( S_f \)-module. \qed

Let \( R \to S \) be a ring map. Let \( M \) be an \( S \)-module. Consider the following condition on an element \( f \in R 

\[
\begin{align*}
 051U \quad (117.3.1) & \quad \begin{cases} 
    S_f & \text{is of finite presentation over } R_f \\
    M_f & \text{is of finite presentation as } S_f\text{-module} \\
    S_f, M_f & \text{are free as } R_f\text{-modules}
  \end{cases}
\end{align*}
\]

We define

\[
051V \quad (117.3.2) \quad U(R \to S, M) = \bigcup_{f \in R} D(f)
\]

which is an open subset of \( \text{Spec}(R) \).

**Lemma 117.4.** Let \( R \to S \) be a ring map. Let \( 0 \to M_1 \to M_2 \to M_3 \to 0 \) be a short exact sequence of \( S \)-modules. Then

\[
U(R \to S, M_1) \cap U(R \to S, M_3) \subset U(R \to S, M_2).
\]

**Proof.** Let \( u \in U(R \to S, M_1) \cap U(R \to S, M_3) \). Choose \( f_1, f_3 \in R \) such that \( u \in D(f_1) \) and \( u \in D(f_3) \) and such that \( (117.3.1) \) holds for \( f_1 \) and \( M_1 \) and for \( f_3 \) and \( M_3 \). Then set \( f = f_1 f_3 \). Then \( u \in D(f) \) and \( (117.3.1) \) holds for \( f \) and both \( M_1 \) and \( M_3 \). An extension of free modules is free, and an extension of finitely presented modules is finitely presented (Lemma 5.3). Hence we see that \( (117.3.1) \) holds for \( f \) and \( M_2 \). Thus \( u \in U(R \to S, M_2) \) and we win. \qed

**Lemma 117.5.** Let \( R \to S \) be a ring map. Let \( M \) be an \( S \)-module. Let \( f \in R \). Using the identification \( \text{Spec}(R_f) = D(f) \) we have \( U(R_f \to S_f, M_f) = D(f) \cap U(R \to S, M) \).

**Proof.** Suppose that \( u \in U(R_f \to S_f, M_f) \). Then there exists an element \( g \in R_f \) such that \( u \in D(g) \) and such that \( (117.3.1) \) holds for the pair \((R_f)_g \to (S_f)_g, (M_f)_g\). Write \( g = a f^m \) for some \( a \in R \). Set \( h = af \). Then \( R_h = (R_f)_g \), \( S_h = (S_f)_g \), and \( M_h = (M_f)_g \). Moreover \( u \in D(h) \). Hence \( u \in U(R \to S, M) \). Conversely, suppose that \( u \in D(f) \cap U(R \to S, M) \). Then there exists an element \( g \in R \) such that \( u \in D(g) \) and such that \( (117.3.1) \) holds for the pair \((R_g \to S_g, M_g) \). Then it is clear that \( (117.3.1) \) also holds for the pair \((R_{fg} \to S_{fg}, M_{fg}) = ((R_f)_g \to (S_f)_g, (M_f)_g) \). Hence \( u \in U(R_f \to S_f, M_f) \) and we win. \qed

**Lemma 117.6.** Let \( R \to S \) be a ring map. Let \( M \) be an \( S \)-module. Let \( U \subset \text{Spec}(R) \) be a dense open. Assume there is a covering \( U = \bigcup_{i \in I} D(f_i) \) of opens such that \( U(R_{f_i} \to S_{f_i}, M_{f_i}) \) is dense in \( D(f_i) \) for each \( i \in I \). Then \( U(R \to S, M) \) is dense in \( \text{Spec}(R) \).

**Proof.** In view of Lemma 117.5 this is a purely topological statement. Namely, by that lemma we see that \( U(R \to S, M) \cap D(f_i) \) is dense in \( D(f_i) \) for each \( i \in I \). By Topology, Lemma 21.4 we see that \( U(R \to S, M) \cap U \) is dense in \( U \). Since \( U \) is dense in \( \text{Spec}(R) \) we conclude that \( U(R \to S, M) \) is dense in \( \text{Spec}(R) \). \qed
Lemma 117.7. Let $R \to S$ be a ring map. Let $M$ be an $S$-module. Assume

1. $R \to S$ is of finite type,
2. $M$ is a finite $S$-module, and
3. $R$ is reduced.

Then there exists a subset $U \subset \text{Spec}(R)$ such that

1. $U$ is open and dense in $\text{Spec}(R)$,
2. for every $u \in U$ there exists an $f \in R$ such that $u \in D(f) \subset U$ and such that we have
   a. $M_f$ and $S_f$ are free over $R_f$,
   b. $S_f$ is a finitely presented $R_f$-algebra, and
   c. $M_f$ is a finitely presented $S_f$-module.

Proof. Note that the lemma is equivalent to the statement that the open $U(R \to S, M)$, see Equation [117.3.2], is dense in $\text{Spec}(R)$. We first prove the lemma for $S = R[x_1, \ldots, x_n]$, and then we deduce the result in general.

Proof of the case $S = R[x_1, \ldots, x_n]$ and $M$ any finite module over $S$. Note that in this case $S_f = R_f[x_1, \ldots, x_n]$ is free and of finite presentation over $R_f$, so we do not have to worry about the conditions regarding $S$, only those that concern $M$. We will use induction on $n$.

There exists a finite filtration

$$0 \subset M_1 \subset M_2 \subset \cdots \subset M_t = M$$

such that $M_i/M_{i-1} \cong S/J_i$ for some ideal $J_i \subset S$, see Lemma 5.4. Since a finite intersection of dense opens is dense open, we see from Lemma [117.4] that it suffices to prove the lemma for each of the modules $R/J_i$. Hence we may assume that $M = S/J$ for some ideal $J$ of $S = R[x_1, \ldots, x_n]$.

Let $I \subset R$ be the ideal generated by the coefficients of elements of $J$. Let $U_1 = \text{Spec}(R) \setminus V(I)$ and let

$$U_2 = \text{Spec}(R) \setminus \overline{U_1}.$$ 

Then it is clear that $U = U_1 \cup U_2$ is dense in $\text{Spec}(R)$. Let $f \in R$ be an element such that either (a) $D(f) \subset U_1$ or (b) $D(f) \subset U_2$. If for any such $f$ the lemma holds for the pair $(R_f \to R_f[x_1, \ldots, x_n], M_f)$ then by Lemma [117.6] we see that $U(R \to S, M)$ is dense in $\text{Spec}(R)$. Hence we may assume either (a) $I = R$, or (b) $V(I) = \text{Spec}(R)$.

In case (b) we actually have $I = 0$ as $R$ is reduced! Hence $J = 0$ and $M = S$ and the lemma holds in this case.

In case (a) we have to do a little bit more work. Note that every element of $I$ is actually the coefficient of a monomial of an element of $J$, because the set of coefficients of elements of $J$ forms an ideal (details omitted). Hence we find an element

$$g = \sum_{K \in E} a_k x^K \in J$$

where $E$ is a finite set of multi-indices $K = (k_1, \ldots, k_n)$ with at least one coefficient $a_{K_0}$ a unit in $R$. Actually we can find one which has a coefficient equal to 1 as $1 \in I$ in case (a). Let $m = \# \{ K \in E \mid a_k \text{ is not a unit} \}$. Note that $0 \leq m \leq \#E - 1$. We will argue by induction on $m$. 

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COMMUTATIVE ALGEBRA 269
The case \( m = 0 \). In this case all the coefficients \( a_K, K \in E \) of \( g \) are units and \( E \neq \emptyset \). If \( E = \{K_0\} \) is a singleton and \( K_0 = (0, \ldots, 0) \), then \( g \) is a unit and \( J = S \) so the result holds for sure. (This happens in particular when \( n = 0 \) and it provides the base case of the induction on \( n \).) If not \( E = \{(0, \ldots, 0)\} \), then at least one \( K \) is not equal to \((0, \ldots, 0)\), i.e., \( g \not\in R \). At this point we employ the usual trick of Noether normalization. Namely, we consider \( G(y_1, \ldots, y_n) = g(y_1 + y_n, y_2 + y_n^2, \ldots, y_{n-1} + y_n^{e_{n-1}}, y_n) \) with \( 0 < e_{n-1} < e_{n-2} < \ldots < e_1 \). By Lemma \[114.2\] it follows that \( G(y_1, \ldots, y_n) \) as a polynomial in \( y_n \) looks like

\[
a_K y_n^{k_n + \sum_{i=1}^{n-1} e_i k_i} + \text{lower order terms in } y_n
\]

As \( a_K \) is a unit we conclude that \( M = R[x_1, \ldots, x_n]/J \) is finite over \( R[y_1, \ldots, y_{n-1}] \). Hence \( U(R \to R[x_1, \ldots, x_n], M) = U(R \to R[y_1, \ldots, y_{n-1}], M) \) and we win by induction on \( n \).

The case \( m > 0 \). Pick a multi-index \( K \in E \) such that \( a_K \) is not a unit. As before set \( U_1 = \text{Spec}(R_{a_K}) = \text{Spec}(R) \setminus V(a_K) \) and set

\[
U_2 = \text{Spec}(R) \setminus U_1.
\]

Then it is clear that \( U = U_1 \cup U_2 \) is dense in \( \text{Spec}(R) \). Let \( f \in R \) be an element such that either (a) \( D(f) \subset U_1 \) or (b) \( D(f) \subset U_2 \). If for any such \( f \) the lemma holds for the pair \((R_f \to R_f[x_1, \ldots, x_n], M_f)\) then by Lemma \[117.6\] we see that \( U(R \to S, M) \) is dense in \( \text{Spec}(R) \). Hence we may assume either (a) \( a_K R = R \), or (b) \( V(a_K) = \text{Spec}(R) \). In case (a) the number \( m \) drops, as \( a_K \) has turned into a unit. In case (b), since \( R \) is reduced, we conclude that \( a_K = 0 \). Hence the set \( E \) decreases so the number \( m \) drops as well. In both cases we win by induction on \( m \).

At this point we have proven the lemma in case \( S = R[x_1, \ldots, x_n] \). Assume that \((R \to S, M)\) is an arbitrary pair satisfying the conditions of the lemma. Choose a surjection \( R[x_1, \ldots, x_n] \to S \). Observe that, with the notation introduced in \[117.3.2\], we have

\[
U(R \to S, M) = U(R \to R[x_1, \ldots, x_n], S) \cap U(R \to R[x_1, \ldots, x_n], S)
\]

Hence as we’ve just finished proving the right two opens are dense also the open on the left is dense. \( \square \)

118. Around Krull-Akizuki

One application of Krull-Akizuki is to show that there are plenty of discrete valuation rings. More generally in this section we show how to construct discrete valuation rings dominating Noetherian local rings.

First we show how to dominate a Noetherian local domain by a 1-dimensional Noetherian local domain by blowing up the maximal ideal.

Lemma 118.1. Let \( R \) be a local Noetherian domain with fraction field \( K \). Assume \( R \) is not a field. Then there exist \( R \subset R' \subset K \) with

1. \( R' \) local Noetherian of dimension 1,
2. \( R \to R' \) a local ring map, i.e., \( R' \) dominates \( R \), and
3. \( R \to R' \) essentially of finite type.
Proof. Choose any valuation ring $A \subset K$ dominating $R$ (which exist by Lemma 49.2). Denote $v$ the corresponding valuation. Let $x_1, \ldots, x_r$ be a minimal set of generators of the maximal ideal $m$ of $R$. We may and do assume that $v(x_r) = \min\{v(x_1), \ldots, v(x_r)\}$. Consider the ring

$$S = R[x_1/x_r, x_2/x_r, \ldots, x_{r-1}/x_r] \subset K.$$  

Note that $mS = x_rS$ is a principal ideal. Note that $S \subset A$ and that $v(x_r) > 0$, hence we see that $x_rS \neq S$. Choose a minimal prime $q$ over $x_rS$. Then $\text{height}(q) = 1$ by Lemma 59.10 and $q$ lies over $m$. Hence we see that $R' = S_q$ is a solution. \hfill $\square$

Lemma 118.2 (Kollár). Let $(R, m)$ be a local Noetherian ring. Then exactly one of the following holds:

1. $(R, m)$ is Artinian,
2. $(R, m)$ is regular of dimension 1,
3. $\text{depth}(R) \geq 2$, or
4. there exists a finite ring map $R \to R'$ which is not an isomorphism whose kernel and cokernel are annihilated by a power of $m$ such that $m$ is not an associated prime of $R'$.

Proof. Observe that $(R, m)$ is not Artinian if and only if $V(m) \subset \text{Spec}(R)$ is nowhere dense. See Proposition 59.6. We assume this from now on.

Let $J \subset R$ be the largest ideal killed by a power of $m$. If $J \neq 0$ then $R \to R/J$ shows that $(R, m)$ is as in (4).

Otherwise $J = 0$. In particular $m$ is not an associated prime of $R$ and we see that there is a nonzero divisor $x \in m$ by Lemma 62.18. If $m$ is not an associated prime of $R/xR$ then $\text{depth}(R) \geq 2$ by the same lemma. Thus we are left with the case when there is an $y \in R$, $y \notin xR$ such that $ym \subset xR$.

If $ym \subset xm$ then we can consider the map $\varphi : m \to m$, $f \mapsto yf/x$ (well defined as $x$ is a nonzero divisor). By the determinantal trick of Lemma 15.2 there exists a monic polynomial $P$ with coefficients in $R$ such that $P(\varphi) = 0$. We conclude that $P(y/x) = 0$ in $R_x$. Let $R' \subset R_x$ be the ring generated by $R$ and $y/x$. Then $R \subset R'$ and $R'/R$ is a finite $R$-module annihilated by a power of $m$. Thus $R$ is as in (4).

Otherwise there is a $t \in m$ such that $yt = ux$ for some unit $u$ of $R$. After replacing $t$ by $u^{-1}t$ we get $yt = x$. In particular $y$ is a nonzero divisor. For any $t' \in m$ we have $y t' = x s$ for some $s \in R$. Thus $y(t' - st) = x(s - x s) = 0$. Since $y$ is not a zero-divisor this implies that $t' = ts$ and so $m = (t)$. Thus $(R, m)$ is regular of dimension 1. \hfill $\square$

Lemma 118.3. Let $R$ be a local ring with maximal ideal $m$. Assume $R$ is Noetherian, has dimension 1, and that $\dim(m/m^2) > 1$. Then there exists a ring map $R \to R'$ such that

1. $R \to R'$ is finite,
2. $R \to R'$ is not an isomorphism,
3. the kernel and cokernel of $R \to R'$ are annihilated by a power of $m$, and
4. $m$ is not an associated prime of $R'$.

Proof. This follows from Lemma 118.2 and the fact that $R$ is not Artinian, not regular, and does not have depth $\geq 2$ (the last part because the depth does not exceed the dimension by Lemma 71.3). \hfill $\square$
Example 118.4. Consider the Noetherian local ring
\[ R = \frac{k[[x, y]]}{(y^2)} \]
It has dimension 1 and it is Cohen-Macaulay. An example of an extension as in Lemma 118.3 is the extension
\[ k[[x, y]]/(y^2) \subset k[[x, z]]/(z^2), \quad y \mapsto xz \]
in other words it is gotten by adjoining \( y/x \) to \( R \). The effect of repeating the construction \( n > 1 \) times is to adjoin the element \( y/x_n \).

Example 118.5. Let \( k \) be a field of characteristic \( p > 0 \) such that \( k \) has infinite degree over its subfield \( k^p \) of \( p \)th powers. For example \( k = \mathbf{F}_p(t_1, t_2, t_3, \ldots) \).

Consider the ring
\[ A = \left\{ \sum a_i x^i \in k[[x]] \mid \text{such that } k^p(a_0, a_1, a_2, \ldots) : k^p \right\} < \infty \]
Then \( A \) is a discrete valuation ring and its completion is \( A^\wedge = k[[x]] \). Note that the induced extension of fraction fields of \( A \subset k[[x]] \) is infinite purely inseparable. Choose any \( f \in k[[x]], f \notin A \). Let \( R = A[f] \subset k[[x]] \). Then \( R \) is a Noetherian local domain of dimension 1 whose completion \( R^\wedge \) is nonreduced (think!).

Remark 118.6. Suppose that \( R \) is a 1-dimensional semi-local Noetherian domain. If there is a maximal ideal \( m \subset R \) such that \( R_m \) is not regular, then we may apply Lemma 118.3 to \( (R, m) \) to get a finite ring extension \( R \subset R_1 \). (For example one can do this so that Spec(\( R_1 \)) \rightarrow Spec(\( R \)) is the blowup of Spec(\( R \)) in the ideal \( m \).) Of course \( R_1 \) is a 1-dimensional semi-local Noetherian domain with the same fraction field as \( R \). If \( R_1 \) is not a regular semi-local ring, then we may repeat the construction to get \( R_1 \subset R_2 \). Thus we get a sequence
\[ R \subset R_1 \subset R_2 \subset R_3 \subset \ldots \]
of finite ring extensions which may stop if \( R_n \) is regular for some \( n \). Resolution of singularities would be the claim that eventually \( R_n \) is indeed regular. In reality this is not the case. Namely, there exists a characteristic 0 Noetherian local domain \( A \) of dimension 1 whose completion is nonreduced, see [FR70, Proposition 3.1] or our Examples, Section 15. For an example in characteristic \( p > 0 \) see Example 118.5. Since the construction of blowing up commutes with completion it is easy to see the sequence never stabilizes. See [Ben73] for a discussion (mostly in positive characteristic). On the other hand, if the completion of \( R \) in all of its maximal ideals is reduced, then the procedure stops (insert future reference here).

Lemma 118.7. Let \( A \) be a ring. The following are equivalent.

1. The ring \( A \) is a discrete valuation ring.
2. The ring \( A \) is a valuation ring and Noetherian.
3. The ring \( A \) is a regular local ring of dimension 1.
4. The ring \( A \) is a Noetherian local domain with maximal ideal \( m \) generated by a single nonzero element.
5. The ring \( A \) is a Noetherian local normal domain of dimension 1.

In this case if \( \pi \) is a generator of the maximal ideal of \( A \), then every element of \( A \) can be uniquely written as \( u\pi^n \), where \( u \in A \) is a unit.
Proof. The equivalence of (1) and (2) is Lemma [49.18]. Moreover, in the proof of Lemma [49.18] we saw that if $A$ is a discrete valuation ring, then $A$ is a PID, hence (3). Note that a regular local ring is a domain (see Lemma 105.2). Using this the equivalence of (3) and (4) follows from dimension theory, see Section 50.

Assume (3) and let $\pi$ be a generator of the maximal ideal $m$. For all $n \geq 0$ we have $\dim_A m^n/m^{n+1} = 1$ because it is generated by $\pi^n$ (and it cannot be zero). In particular $m^n = (\pi^n)$ and the graded ring $\bigoplus m^n/m^{n+1}$ is isomorphic to the polynomial ring $A/m[T]$. For $x \in A \setminus \{0\}$ define $v(x) = \max\{n \mid x \in m^n\}$. In other words $x = u\pi^{v(x)}$ with $u \in A^*$. By the remarks above we have $v(xy) = v(x) + v(y)$ for all $x, y \in A \setminus \{0\}$. We extend this to the field of fractions $K$ of $A$ by setting $v(a/b) = v(a) - v(b)$ (well defined by multiplicativity shown above). Then it is clear that $A$ is the set of elements of $K$ which have valuation $\geq 0$. Hence we see that $A$ is a valuation ring by Lemma [49.16].

A valuation ring is a normal domain by Lemma [49.10]. Hence we see that the equivalent conditions (1) – (3) imply (5). Assume (5). Suppose that $m$ cannot be generated by 1 element to get a contradiction. Then Lemma [118.3] implies there is a finite ring map $A \to A'$ which is an isomorphism after inverting any nonzero element of $m$ but not an isomorphism. In particular we may identify $A'$ with a subset of the fraction field of $A$. Since $A \to A'$ is finite it is integral (see Lemma 35.3). Since $A$ is normal we get $A = A'$ a contradiction. 

09DZ Definition 118.8. Let $A$ be a discrete valuation ring. A uniformizer is an element $\pi \in A$ which generates the maximal ideal of $A$.

By Lemma [118.7] any two uniformizers of a discrete valuation ring are associates.

00PE Lemma 118.9. Let $R$ be a domain with fraction field $K$. Let $M$ be an $R$-submodule of $K^{\oplus r}$. Assume $R$ is local Noetherian of dimension 1. For any nonzero $x \in R$ we have $\text{length}_R(R/xR) < \infty$ and

$$\text{length}_R(M/xM) \leq r \cdot \text{length}_R(R/xR).$$

Proof. If $x$ is a unit then the result is true. Hence we may assume $x \in m$ the maximal ideal of $R$. Since $x$ is not zero and $R$ is a domain we have $\dim(R/xR) = 0$, and hence $R/xR$ has finite length. Consider $M \subset K^{\oplus r}$ as in the lemma. We may assume that the elements of $M$ generate $K^{\oplus r}$ as a $K$-vector space after replacing $K^{\oplus r}$ by a smaller subspace if necessary.

Suppose first that $M$ is a finite $R$-module. In that case we can clear denominators and assume $M \subset R^{\oplus r}$. Since $M$ generates $K^{\oplus r}$ as a vectors space we see that $R^{\oplus r}/M$ has finite length. In particular there exists an integer $c \geq 0$ such that $x^cR^{\oplus r} \subset M$. Note that $M \supset xM \supset x^2M \supset \ldots$ is a sequence of modules with successive quotients each isomorphic to $M/xM$. Hence we see that

$$n\text{length}_R(M/xM) = \text{length}_R(M/x^nM).$$

The same argument for $M = R^{\oplus r}$ shows that

$$n\text{length}_R(R^{\oplus r}/xR^{\oplus r}) = \text{length}_R(R^{\oplus r}/x^nR^{\oplus r}).$$

By our choice of $c$ above we see that $x^nM$ is sandwiched between $x^nR^{\oplus r}$ and $x^{n+c}R^{\oplus r}$. This easily gives that

$$r(n+c)\text{length}_R(R/xR) \geq n\text{length}_R(M/xM) \geq r(n-c)\text{length}_R(R/xR).$$
Hence in the finite case we actually get the result of the lemma with equality.

Suppose now that $M$ is not finite. Suppose that the length of $M/xM$ is $\geq k$ for some natural number $k$. Then we can find

$$0 \subset N_0 \subset N_1 \subset N_2 \subset \ldots N_k \subset M/xM$$

with $N_i \neq N_{i+1}$ for $i = 0, \ldots, k-1$. Choose an element $m_i \in M$ whose congruence class mod $xM$ falls into $N_i$ but not into $N_{i-1}$ for $i = 1, \ldots, k$. Consider the finite $R$-module $M' = Rm_1 + \ldots + Rm_k \subset M$. Let $N'_i \subset M'/xM'$ be the inverse image of $N_i$. It is clear that $N'_i \neq N'_{i+1}$ by our choice of $m_i$. Hence we see that $\text{length}_R(M'/xM') \geq k$. By the finite case we conclude $k \leq \text{rlength}_R(R/xR)$ as desired.

□

Here is a first application.

Lemma 118.10. Let $R \to S$ be a homomorphism of domains inducing an injection of fraction fields $K \subset L$. If $R$ is Noetherian local of dimension 1 and $[L : K] < \infty$ then

1. each prime ideal $\mathfrak{n}_i$ of $S$ lying over the maximal ideal $\mathfrak{m}$ of $R$ is maximal,
2. there are finitely many of these, and
3. $\kappa(\mathfrak{n}_i) : \kappa(\mathfrak{m}) < \infty$ for each $i$.

Proof. Pick $x \in \mathfrak{m}$ nonzero. Apply Lemma 118.9 to the submodule $S \subset L \cong K^{\oplus n}$ where $n = [L : K]$. Thus the ring $S/xS$ has finite length over $R$. It follows that $S/\mathfrak{m}S$ has finite length over $\kappa(\mathfrak{m})$. In other words, $\dim_{\kappa(\mathfrak{m})} S/\mathfrak{m}S$ is finite (Lemma 51.6). Thus $S/\mathfrak{m}S$ is Artinian (Lemma 52.2). The structural results on Artinian rings implies parts (1) and (2), see for example Lemma 52.6. Part (3) is implied by the finiteness established above.

□

Lemma 118.11. Let $R$ be a domain with fraction field $K$. Let $M$ be an $R$-submodule of $K^{\oplus r}$. Assume $R$ is Noetherian of dimension 1. For any nonzero $x \in R$ we have $\text{length}_R(M/xM) < \infty$.

Proof. Since $R$ has dimension 1 we see that $x$ is contained in finitely many primes $\mathfrak{m}_i$, $i = 1, \ldots, n$, each maximal. Since $R$ is Noetherian we see that $R/xR$ is Artinian, see Proposition 59.6. Hence $R/xR$ is a quotient of $\prod R/\mathfrak{m}_i^{e_i}$ for certain $e_i$ because that $\mathfrak{m}_1^{e_1} \ldots \mathfrak{m}_n^{e_n} \subset (x)$ for suitably large $e_i$ as $R/xR$ is Artinian (see Section 52). Hence $M/xM$ similarly decomposes as a product $\prod (M/xM)_{\mathfrak{m}_i} = \prod (M/\mathfrak{m}_i^{e_i},x)M$ of its localizations at the $\mathfrak{m}_i$. By Lemma 118.9 applied to $M_{\mathfrak{m}_i}$ over $R_{\mathfrak{m}_i}$ we see each $M_{\mathfrak{m}_i}/xM_{\mathfrak{m}_i} = (M/xM)_{\mathfrak{m}_i}$ has finite length over $R_{\mathfrak{m}_i}$. It easily follows that $M/xM$ has finite length over $R$.

□

Lemma 118.12 (Krull-Akizuki). Let $R$ be a domain with fraction field $K$. Let $K \subset L$ be a finite extension of fields. Assume $R$ is Noetherian and $\dim(R) = 1$. In this case any ring $A$ with $R \subset A \subset L$ is Noetherian.

Proof. To begin we may assume that $L$ is the fraction field of $A$ by replacing $L$ by the fraction field of $A$ if necessary. Let $I \subset A$ be a nonzero ideal. Clearly $I$ generates $L$ as a $K$-vector space. Hence we see that $I \cap R \neq (0)$. Pick any nonzero $x \in I \cap R$. Then we get $I/xA \subset A/xA$. By Lemma 118.11 the $R$-module $A/xA$ has finite length as an $R$-module. Hence $I/xA$ has finite length as an $R$-module. Hence $I$ is finitely generated as an ideal in $A$. □
Lemma 118.13. Let $R$ be a Noetherian local domain with fraction field $K$. Assume that $R$ is not a field. Let $K \subset L$ be a finitely generated field extension. Then there exists discrete valuation ring $A$ with fraction field $L$ which dominates $R$.

**Proof.** If $L$ is not finite over $K$ choose a transcendence basis $x_1, \ldots, x_r$ of $L$ over $K$ and replace $R$ by $R[x_1, \ldots, x_r]$ localized at the maximal ideal generated by $m_R$ and $x_1, \ldots, x_r$. Thus we may assume $K \subset L$ finite.

By Lemma 118.1 we may assume $\dim(R) = 1$.

Let $A \subset L$ be the integral closure of $R$ in $L$. By Lemma 118.12 this is Noetherian.

By Lemma 35.17 there is a prime ideal $q \subset A$ lying over the maximal ideal of $R$. By Lemma 118.7 the ring $A_q$ is a discrete valuation ring dominating $R$ as desired. □

119. Factorization

Here are some notions and relations between them that are typically taught in a first year course on algebra at the undergraduate level.

Definition 119.1. Let $R$ be a domain.

1. Elements $x, y \in R$ are called associates if there exists a unit $u \in R^\times$ such that $x = uy$.
2. An element $x \in R$ is called irreducible if it is nonzero, not a unit and whenever $x = yz$, $y, z \in R$, then $y$ is either a unit or an associate of $x$.
3. An element $x \in R$ is called prime if the ideal generated by $x$ is a prime ideal.

Lemma 119.2. Let $R$ be a domain. Let $x, y \in R$. Then $x, y$ are associates if and only if $(x) = (y)$.

**Proof.** If $x = uy$ for some unit $u \in R$, then $(x) \subset (y)$ and $y = u^{-1}x$ so also $(y) \subset (x)$. Conversely, suppose that $(x) = (y)$. Then $x = fy$ and $y = gx$ for some $f, g \in A$. Then $x = fgx$ and since $R$ is a domain $fg = 1$. Thus $x$ and $y$ are associates. □

Lemma 119.3. Let $R$ be a domain. Consider the following conditions:

1. The ring $R$ satisfies the ascending chain condition for principal ideals.
2. Every nonzero, nonunit element $a \in R$ has a factorization $a = b_1 \ldots b_k$ with each $b_i$ an irreducible element of $R$.

Then (1) implies (2).

**Proof.** Let $x$ be a nonzero element, not a unit, which does not have a factorization into irreducibles. Set $x_1 = x$. We can write $x = yz$ where neither $y$ nor $z$ is irreducible or a unit. Then either $y$ does not have a factorization into irreducibles, in which case we set $x_2 = y$, or $z$ does not have a factorization into irreducibles, in which case we set $x_2 = z$. Continuing in this fashion we find a sequence

$$x_1 | x_2 | x_3 | \ldots$$

of elements of $R$ with $x_n/x_{n+1}$ not a unit. This gives a strictly increasing sequence of principal ideals $(x_1) \subset (x_2) \subset (x_3) \subset \ldots$ thereby finishing the proof. □
A unique factorization domain, abbreviated UFD, is a domain \( R \) such that if \( x \in R \) is a nonzero, nonunit, then \( x \) has a factorization into irreducibles, and if

\[
x = a_1 \ldots a_m = b_1 \ldots b_n
\]

are factorizations into irreducibles then \( n = m \) and there exists a permutation \( \sigma : \{1, \ldots, n\} \to \{1, \ldots, n\} \) such that \( a_i \) and \( b_{\sigma(i)} \) are associates.

\textbf{Definition 119.4.} Let \( \mathcal{R} \) be a domain. Assume every nonzero, nonunit factors into irreducibles. Then \( \mathcal{R} \) is a UFD if and only if every irreducible element is prime.

\textbf{Proof.} Assume \( \mathcal{R} \) is a UFD and let \( x \in R \) be an irreducible element. Say \( ab \in (x) \), i.e., \( ab = cx \). Choose factorizations \( a = a_1 \ldots a_n, b = b_1 \ldots b_m, \) and \( c = c_1 \ldots c_r \).

By uniqueness of the factorization

\[
a_1 \ldots a_nb_1 \ldots b_m = c_1 \ldots c_rx
\]

we find that \( x \) is an associate of one of the elements \( a_1, \ldots, b_m \). In other words, either \( a \in (x) \) or \( b \in (x) \) and we conclude that \( x \) is prime.

Assume every irreducible element is prime. We have to prove that factorization into irreducibles is unique up to permutation and taking associates. Say \( a_1 \ldots a_m = b_1 \ldots b_n \) with \( a_i \) and \( b_j \) irreducible. Since \( a_1 \) is prime, we see that \( b_j \in (a_1) \) for some \( j \). After renumbering we may assume \( b_1 \in (a_1) \). Then \( b_1 = a_1u \) and since \( b_1 \) is irreducible we see that \( u \) is a unit. Hence \( a_1 \) and \( b_1 \) are associates and \( a_1 \ldots a_n = ub_2 \ldots b_m \). By induction on \( n + m \) we see that \( n = m \) and \( a_i \) associate to \( b_{\sigma(i)} \) for \( i = 2, \ldots, n \) as desired.

\textbf{Lemma 119.5.} Let \( \mathcal{R} \) be a domain. Assume every nonzero, nonunit factors into irreducibles. Then \( \mathcal{R} \) is a UFD if and only if every irreducible element is prime.

\textbf{Proof.} Assume \( \mathcal{R} \) is a UFD and let \( p \) be an irreducible element. Say \( ab \in (x) \), i.e., \( ab = cx \). Choose factorizations \( a = a_1 \ldots a_n, b = b_1 \ldots b_m, \) and \( c = c_1 \ldots c_r \).

By uniqueness of the factorization

\[
a_1 \ldots a_nb_1 \ldots b_m = c_1 \ldots c_rx
\]

we find that \( x \) is an associate of one of the elements \( a_1, \ldots, b_m \). In other words, either \( a \in (x) \) or \( b \in (x) \) and we conclude that \( x \) is prime.

Assume every irreducible element is prime. We have to prove that factorization into irreducibles is unique up to permutation and taking associates. Say \( a_1 \ldots a_m = b_1 \ldots b_n \) with \( a_i \) and \( b_j \) irreducible. Since \( a_1 \) is prime, we see that \( b_j \in (a_1) \) for some \( j \). After renumbering we may assume \( b_1 \in (a_1) \). Then \( b_1 = a_1u \) and since \( b_1 \) is irreducible we see that \( u \) is a unit. Hence \( a_1 \) and \( b_1 \) are associates and \( a_1 \ldots a_n = ub_2 \ldots b_m \). By induction on \( n + m \) we see that \( n = m \) and \( a_i \) associate to \( b_{\sigma(i)} \) for \( i = 2, \ldots, n \) as desired.

\textbf{Lemma 119.6.} Let \( \mathcal{R} \) be a Noetherian domain. Then \( \mathcal{R} \) is a UFD if and only if every height 1 prime ideal is principal.

\textbf{Proof.} Assume \( \mathcal{R} \) is a UFD and let \( p \) be a height 1 prime ideal. Take \( x \in p \) nonzero and let \( x = a_1 \ldots a_n \) be a factorization into irreducibles. Since \( p \) is prime we see that \( a_i \in p \) for some \( i \). By Lemma 119.5 the ideal \( (a_i) \) is prime. Since \( p \) has height 1 we conclude that \( (a_i) = p \).

Assume every height 1 prime is principal. Since \( \mathcal{R} \) is Noetherian every nonzero nonunit element \( x \) has a factorization into irreducibles, see Lemma 119.3. It suffices to prove that an irreducible element \( x \) is prime, see Lemma 119.5. Let \( (x) \subset p \) be a prime minimal over \( (x) \). Then \( p \) has height 1 by Lemma 69.10. By assumption \( p = (y) \). Hence \( x = yz \) and \( z \) is a unit as \( x \) is irreducible. Thus \( (x) = (y) \) and we see that \( x \) is prime.

\textbf{Lemma 119.7} (Nagata’s criterion for factoriality). Let \( \mathcal{A} \) be a domain. Let \( S \subset A \) be a multiplicative subset generated by prime elements. Let \( x \in A \) be irreducible. Then

1. the image of \( x \) in \( S^{-1}A \) is irreducible or a unit, and
2. \( x \) is prime if and only if the image of \( x \) in \( S^{-1}A \) is a unit or a prime element in \( S^{-1}A \).

Moreover, then \( A \) is a UFD if and only if every element of \( A \) has a factorization into irreducibles and \( S^{-1}A \) is a UFD.

\textbf{Proof.} Say \( x = \alpha \beta \) for \( \alpha, \beta \in S^{-1}A \). Then \( \alpha = a/s \) and \( \beta = b/s' \) for \( a, b \in A, s, s' \in S \). Thus we get \( ss'x = ab \). By assumption we can write \( ss' = p_1 \ldots p_r \) for some prime elements \( p_i \). For each \( i \) the element \( p_i \) divides either \( a \) or \( b \). Dividing
we find a factorization \( x = a'b' \) and \( a = s''a' \), \( b = s'''b' \) for some \( s'', s''' \in S \). As \( x \) is irreducible, either \( a' \) or \( b' \) is a unit. Tracing back we find that either \( \alpha \) or \( \beta \) is a unit. This proves (1).

Suppose \( x \) is prime. Then \( A/(x) \) is a domain. Hence \( S^{-1}A/xS^{-1}A = S^{-1}(A/(x)) \) is a domain or zero. Thus \( x \) maps to a prime element or a unit.

Suppose that the image of \( x \) in \( S^{-1}A \) is a unit. Then \( yx = s \) for some \( s \in S \) and \( y \in A \). By assumption \( s = p_1 \ldots p_r \) with \( p_i \) a prime element. For each \( i \) either \( p_i \) divides \( y \) or \( p_i \) divides \( x \). In the second case \( p_i \) and \( x \) are associates (as \( x \) is irreducible) and we are done. But if the first case happens for all \( i = 1, \ldots, r \), then \( x \) is a unit which is a contradiction.

Suppose that the image of \( x \) in \( S^{-1}A \) is a prime element. Assume \( a, b \in A \) and \( ab \in (x) \). Then \( sa = xy \) or \( sb = xy \) for some \( s \in S \) and \( y \in A \). Say the first case happens. By assumption \( s = p_1 \ldots p_r \) with \( p_i \) a prime element. For each \( i \) either \( p_i \) divides \( y \) or \( p_i \) divides \( x \). In the second case \( p_i \) and \( x \) are associates (as \( x \) is irreducible) and we are done. If the first case happens for all \( i = 1, \ldots, r \), then \( a \in (x) \) as desired. This completes the proof of (2).

The final statement of the lemma follows from (1) and (2) and Lemma 119.5

**Lemma 119.8.** A UFD satisfies the ascending chain condition for principal ideals.

**Proof.** Consider an ascending chain \( (a_1) \subset (a_2) \subset \ldots \) of principal ideals in \( R \). Write \( a_1 = p_1^{e_1} \ldots p_r^{e_r} \) with \( p_i \) prime. Then we see that \( a_n \) is an associate of \( p_1^{e_1} \ldots p_r^{e_r} \) for some \( 0 \leq c_i \leq e_i \). Since there are only finitely many possibilities we conclude.

**Lemma 119.9.** Let \( R \) be a domain. Assume \( R \) has the ascending chain condition for principal ideals. Then the same property holds for a polynomial ring over \( R \).

**Proof.** Consider an ascending chain \( (f_1) \subset (f_2) \subset \ldots \) of principal ideals in \( R[x] \). Since \( f_{n+1} \) divides \( f_n \), we see that the degrees decrease in the sequence. Thus \( f_n \) has fixed degree \( d \geq 0 \) for all \( n \gg 0 \). Let \( a_n \) be the leading coefficient of \( f_n \). The condition \( f_n \in (f_{n+1}) \) implies that \( a_{n+1} \) divides \( a_n \) for all \( n \). By our assumption on \( R \) we see that \( a_{n+1} \) and \( a_n \) are associates for all \( n \) large enough (Lemma 119.2). Thus for large \( n \) we see that \( f_n = uf_{n+1} \) where \( u \in R \) (for reasons of degree) is a unit (as \( a_n \) and \( a_{n+1} \) are associates).

**Lemma 119.10.** A polynomial ring over a UFD is a UFD. In particular, if \( k \) is a field, then \( k[x_1, \ldots, x_n] \) is a UFD.

**Proof.** Let \( R \) be a UFD. Then \( R \) satisfies the ascending chain condition for principal ideals (Lemma 119.8), hence \( R[x] \) satisfies the ascending chain condition for principal ideals (Lemma 119.9), and hence every element of \( R[x] \) has a factorization into irreducibles (Lemma 119.3). Let \( S \subset R \) be the multiplicative subset generated by prime elements. Since every nonunit of \( R \) is a product of prime elements we see that \( K = S^{-1}R \) is the fraction field of \( R \). Observe that every prime element of \( R \) maps to a prime element of \( R[x] \) and that \( S^{-1}(R[x]) = S^{-1}R[x] = K[x] \) is a UFD (and even a PID). Thus we may apply Lemma 119.7 to conclude.

**Lemma 119.11.** A unique factorization domain is normal.
A PID is a Dedekind domain.

\textbf{Proof.} Let $R$ be a UFD. Let $x$ be an element of the fraction field of $R$ which is integral over $R$. Say $x^d - a_1x^{d-1} - \ldots - a_d = 0$ with $a_i \in R$. We can write $x = up_1^{e_1} \ldots p_r^{e_r}$ with $u$ a unit, $e_i \in \mathbb{Z}$, and $p_1, \ldots, p_r$ irreducible elements which are not associates. To prove the lemma we have to show $e_i \geq 0$. If not, say $e_1 < 0$, then for $N \gg 0$ we get

$$u^d p_2^{de_2+N} \ldots p_r^{de_r+N} = p_1^{-de_1} p_2^N \ldots p_r^N \left( \sum_{i=1,\ldots,d} a_i x^{d-i} \right) \in (p_1)$$

which contradicts uniqueness of factorization in $R$. \qed

\textbf{Definition 119.12.} A principal ideal domain, abbreviated PID, is a domain $R$ such that every ideal is a principal ideal.

\textbf{Lemma 119.13.} A principal ideal domain is a unique factorization domain.

\textbf{Proof.} As a PID is Noetherian this follows from Lemma [119.6] \qed

\textbf{Definition 119.14.} A Dedekind domain is a domain $R$ such that every nonzero ideal $I \subset R$ can be written as a product

$$I = p_1 \ldots p_r$$

of nonzero prime ideals uniquely up to permutation of the $p_i$.

\textbf{Lemma 119.15.} A PID is a Dedekind domain.

\textbf{Proof.} Let $R$ be a PID. Since every nonzero ideal of $R$ is principal, and $R$ is a UFD (Lemma [119.13]), this follows from the fact that every irreducible element in $R$ is prime (Lemma [119.5]) so that factorizations of elements turn into factorizations into primes. \qed

\textbf{Lemma 119.16.} Let $A$ be a ring. Let $I$ and $J$ be nonzero ideals of $A$ such that $IJ = (f)$ for some nonzerodivisor $f \in A$. Then $I$ and $J$ are finitely generated ideals and finitely locally free of rank 1 as $A$-modules.

\textbf{Proof.} It suffices to show that $I$ and $J$ are finite locally free $A$-modules of rank 1, see Lemma [7.7]. To do this, write $f = \sum_{i=1,\ldots,n} x_iy_i$ with $x_i \in I$ and $y_i \in J$. We can also write $x_iy_i = a_if$ for some $a_i \in A$. Since $f$ is a nonzerodivisor we see that $\sum a_i = 1$. Thus it suffices to show that each $I_{a_i}$ and $J_{a_i}$ is free of rank 1 over $A_{a_i}$. After replacing $A$ by $A_{a_i}$ we conclude that $f = xy$ for some $x \in I$ and $y \in J$. Note that both $x$ and $y$ are nonzerodivisors. We claim that $I = (x)$ and $J = (y)$ which finishes the proof. Namely, if $x' \in I$, then $x'y = af = axy$ for some $a \in A$. Hence $x' = ax$ and we win. \qed

\textbf{Lemma 119.17.} Let $R$ be a ring. The following are equivalent

1. $R$ is a Dedekind domain,
2. $R$ is a Noetherian domain, and for every maximal ideal $m$ the local ring $R_m$ is a discrete valuation ring, and
3. $R$ is a Noetherian, normal domain, and $\dim(R) \leq 1$.

\textbf{Proof.} Assume (1). The argument is nontrivial because we did not assume that $R$ was Noetherian in our definition of a Dedekind domain. Let $p \subset R$ be a prime ideal. Observe that $p \neq p^2$ by uniqueness of the factorizations in the definition. Pick $x \in p$ with $x \notin p^2$. Let $y \in p$ be a second element (for example $y = 0$). Write $(x, y) = p_1 \ldots p_r$. Since $(x, y) \subset p$ at least one of the primes $p_i$ is contained in $p$. But as $x \notin p^2$ there is at most one. Thus exactly one of $p_1, \ldots, p_r$ is contained in
p, say $p_1 \subset p$. We conclude that $(x, y)R_p = p_1 R_p$ is prime for every choice of $y$. We claim that $(x)R_p = pR_p$. Namely, pick $y \in p$. By the above applied with $y^2$ we see that $(x, y^2)R_p$ is prime. Hence $y \in (x, y^2)R_p$, i.e., $y = ax + by^2$ in $R_p$. Thus $(1 - by)y = ax \in (x)R_p$, i.e., $y \in (x)R_p$ as desired.

Writing $(x) = p_1 \ldots p_r$ anew with $p_1 \subset p$ we conclude that $p_1 R_p = pR_p$, i.e., $p_1 = p$. Moreover, $p_1 = p$ is a finitely generated ideal of $R$ by Lemma [119.16]. We conclude that $R$ is Noetherian by Lemma [27.9]. Moreover, it follows that $R_m$ is a discrete valuation ring for every prime ideal $p$ of $R$.

The equivalence of (2) and (3) follows from Lemmas [36.10] and [118.7]. Assume (2) and (3) are satisfied. Let $I \subset R$ be an ideal. We will construct a factorization of $I$. If $I$ is prime, then there is nothing to prove. If not, pick $I \subset p$ with $p \subset R$ maximal. Let $J = \{x \in R \mid xp \subset I\}$. We claim $Jp = I$. It suffices to check this after localization at the maximal ideals $m$ of $R$ (the formation of $J$ commutes with localization and we use Lemma [22.1]). Then either $pR_m = R_m$ and the result is clear, or $pR_m = mR_m$. In the last case $pR_m = (\pi)$ and the case where $p$ is principal is immediate. By Noetherian induction the ideal $J$ has a factorization and we obtain the desired factorization of $I$. We omit the proof of uniqueness of the factorization.

□

The following is a variant of the Krull-Akizuki lemma.

**Lemma 119.18.** Let $A$ be a Noetherian domain of dimension 1 with fraction field $K$. Let $K \subset L$ be a finite extension. Let $B$ be the integral closure of $A$ in $L$. Then $B$ is a Dedekind domain and $\text{Spec}(B) \to \text{Spec}(A)$ is surjective, has finite fibres, and induces finite residue field extensions.

**Proof.** By Krull-Akizuki (Lemma [118.12]) the ring $B$ is Noetherian. By Lemma [111.4] $\dim(B) = 1$. Thus $B$ is a Dedekind domain by Lemma [119.17]. Surjectivity of the map on spectra follows from Lemma [35.17]. The last two statements follow from Lemma [118.10].

□

**120. Orders of vanishing**

**Lemma 120.1.** Let $R$ be a semi-local Noetherian ring of dimension 1. If $a, b \in R$ are nonzerodivisors then

$$\text{length}_R(R/(ab)) = \text{length}_R(R/(a)) + \text{length}_R(R/(b))$$

and these lengths are finite.

**Proof.** We saw the finiteness in Lemma [118.11] Additivity holds since there is a short exact sequence $0 \to R/(a) \to R/(ab) \to R/(b) \to 0$ where the first map is given by multiplication by $b$. (Use length is additive, see Lemma [51.3].)

□

**Definition 120.2.** Suppose that $K$ is a field, and $R \subset K$ is a local Noetherian subring of dimension 1 with fraction field $K$. In this case we define the order of vanishing along $R$

$$\text{ord}_R : K^* \to \mathbb{Z}$$

---

9We could also define this when $R$ is only semi-local but this is probably never really what you want!
by the rule

\[ \text{ord}_R(x) = \text{length}_R(R/(x)) \]

if \( x \in R \) and we set \( \text{ord}_R(x/y) = \text{ord}_R(x) - \text{ord}_R(y) \) for \( x, y \in R \) both nonzero.

We can use the order of vanishing to compare lattices in a vector space. Here is the definition.

02ME **Definition** 120.3. Let \( R \) be a Noetherian local domain of dimension 1 with fraction field \( K \). Let \( V \) be a finite dimensional \( K \)-vector space. A lattice in \( V \) is a finite \( R \)-submodule \( M \subset V \) such that \( V = K \otimes_R M \).

The condition \( V = K \otimes_R M \) signifies that \( M \) contains a basis for the vector space \( K \). We remark that in many places in the literature the notion of a lattice may be defined only in case the ring \( R \) is a discrete valuation ring. If \( R \) is a discrete valuation ring then any lattice is a free \( R \)-module, and this may not be the case in general.

02MF **Lemma** 120.4. Let \( R \) be a Noetherian local domain of dimension 1 with fraction field \( K \). Let \( V \) be a finite dimensional \( K \)-vector space.

1. If \( M \) is a lattice in \( V \) and \( M \subset M' \subset V \) is an \( R \)-submodule of \( V \) containing \( M \) then the following are equivalent
   
   (a) \( M' \) is a lattice,
   
   (b) \( \text{length}_R(M'/M) \) is finite, and
   
   (c) \( M' \) is finitely generated.

2. If \( M \) is a lattice in \( V \) and \( M' \subset M \) is an \( R \)-submodule of \( M \) then \( M' \) is a lattice if and only if \( \text{length}_R(M/M') \) is finite.

3. If \( M, M' \) are lattices in \( V \), then so are \( M \cap M' \) and \( M + M' \).

4. If \( M \subset M' \subset M'' \subset V \) are lattices in \( V \) then

\[
\text{length}_R(M''/M) = \text{length}_R(M'/M) + \text{length}_R(M''/M').
\]

5. If \( M, M', N, N' \) are lattices in \( V \) and \( N \subset M \cap M', M + M' \subset N' \), then we have

\[
\text{length}_R(M/M \cap M') - \text{length}_R(M'/M \cap M')
= \text{length}_R(M/N) - \text{length}_R(M'/N)
= \text{length}_R(M + M'/M') - \text{length}_R(M + M'/M)
= \text{length}_R(N'/M') - \text{length}_R(N'/M)
\]

**Proof.** Proof of (1). Assume (1)(a). Say \( y_1, \ldots, y_m \) generate \( M' \). Then each \( y_i = x_i/f_i \) for some \( x_i \in M \) and nonzero \( f_i \in R \). Hence we see that \( f_1 \ldots f_m M' \subset M \).

Since \( R \) is Noetherian local of dimension 1 we see that \( \mathfrak{m}^n \subset (f_1 \ldots f_m) \) for some \( n \) (for example combine Lemmas 59.12 and Proposition 59.6 or combine Lemmas 118.9 and 51.4). In other words \( \mathfrak{m}^n M' \subset M \) for some \( n \). Hence \( \text{length}(M'/M) < \infty \) by Lemma 51.8. In other words (1)(b) holds. Assume (1)(b). Then \( M'/M \) is a finite \( R \)-module (see Lemma 51.2). Hence \( M' \) is a finite \( R \)-module as an extension of finite \( R \)-modules. Hence (1)(c). The implication (1)(c) \( \Rightarrow \) (1)(a) follows from the remark following Definition 120.3.

Proof of (2). Suppose \( M \) is a lattice in \( V \) and \( M' \subset M \) is an \( R \)-submodule. We have seen in (1) that if \( M' \) is a lattice, then \( \text{length}_R(M/M') < \infty \). Conversely, assume that \( \text{length}_R(M/M') < \infty \). Then \( M' \) is finitely generated as \( R \) is Noetherian and
for some $n$ we have $m^n M \subset M'$ (Lemma 51.4). Hence it follows that $M'$ contains a basis for $V$, and $M'$ is a lattice.

Proof of (3). Assume $M, M'$ are lattices in $V$. Since $R$ is Noetherian the submodule $M \cap M'$ of $M$ is finite. As $M$ is a lattice we can find $x_1, \ldots, x_n \in M$ which form a $K$-basis for $V$. Because $M'$ is a lattice we can write $x_i = y_i/f_i$ with $y_i \in M'$ and $f_i \in R$. Hence $f_i x_i \in M \cap M'$. Hence $M \cap M'$ is a lattice also. The fact that $M + M'$ is a lattice follows from part (1).

Part (4) follows from the property that $d(M, M') = d(M/M', M/M')$ of Lemma 120.4 part (5).

Part (5) follows from repeatedly applying part (4).

**Lemma 120.5.** Let $R$ be a Noetherian local domain of dimension 1 with fraction field $K$. Let $V$ be a finite dimensional $K$-vector space. Let $M, M'$ be two lattices in $V$. The distance between $M$ and $M'$ is the integer

$$d(M, M') = \text{length}_R(M/M \cap M') - \text{length}_R(M'/M \cap M')$$

In particular, if $M' \subset M$, then $d(M, M') = \text{length}_R(M/M')$.

**Proof.** Omitted.

**Lemma 120.6.** Let $R$ be a Noetherian local domain of dimension 1 with fraction field $K$. Let $V$ be a finite dimensional $K$-vector space. This distance function has the property that

$$d(M, M'') = d(M, M') + d(M', M'')$$

whenever given three lattices $M, M', M''$ of $V$. In particular we have $d(M, M') = -d(M', M)$.

**Proof.** Omitted.

**Lemma 120.7.** Let $R$ be a Noetherian local domain of dimension 1 with fraction field $K$. Let $V$ be a finite dimensional $K$-vector space. Let $\varphi: V \to V$ be a $K$-linear isomorphism. For any lattice $M \subset V$ we have

$$d(M, \varphi(M)) = \text{ord}_R(\det(\varphi))$$

**Proof.** We can see that the integer $d(M, \varphi(M))$ does not depend on the lattice $M$ as follows. Suppose that $M'$ is a second such lattice. Then we see that

$$d(M, \varphi(M)) = d(M, M') + d(M', \varphi(M))$$

Since $\varphi$ is an isomorphism we see that $d(\varphi(M'), \varphi(M)) = d(M', M) = -d(M', M')$, and hence $d(M, \varphi(M)) = d(M', \varphi(M'))$. Moreover, both sides of the equation (of the lemma) are additive in $\varphi$, i.e.,

$$\text{ord}_R(\det(\varphi \circ \psi)) = \text{ord}_R(\det(\varphi)) + \text{ord}_R(\det(\psi))$$

and also

$$d(M, \varphi(\psi(M))) = d(M, \psi(M)) + d(\psi(M), \varphi(\psi(M)))$$

by the independence shown above. Hence it suffices to prove the lemma for generators of $GL(V)$. Choose an isomorphism $K^\oplus n \cong V$. Then $GL(V) = GL_n(K)$ is
generated by elementary matrices $E$. The result is clear for $E$ equal to the identity matrix. If $E = E_{ij}(\lambda)$ with $i \neq j$, $\lambda \in K$, $\lambda \neq 0$, for example

$$E_{12}(\lambda) = \begin{pmatrix} 1 & \lambda & \cdots \\ 0 & 1 & \cdots \\ \vdots & \vdots & \ddots \end{pmatrix}$$

then with respect to a different basis we get $E_{12}(1)$. The result is clear for $E = E_{12}(1)$ by taking as lattice $R^n \oplus \mathbb{Z}^n \subset K^n$. Finally, if $E = E_i(a)$, with $a \in K^*$ for example

$$E_1(a) = \begin{pmatrix} a & 0 & \cdots \\ 0 & 1 & \cdots \\ \vdots & \vdots & \ddots \end{pmatrix}$$

then $E_1(a)(R^n) = aR \oplus R^{n-1}$ and it is clear that $d(R^n, aR \oplus R^{n-1}) = \text{ord}_R(a)$ as desired. □

Lemma 120.8. Let $A \to B$ be a ring map. Assume

1. $A$ is a Noetherian local domain of dimension 1,
2. $A \subset B$ is a finite extension of domains.

Let $L/K$ be the corresponding finite extension of fraction fields. Let $y \in L^*$ and $x = \text{Nm}_{L/K}(y)$. In this situation $B$ is semi-local. Let $m_i, i = 1, \ldots, n$ be the maximal ideals of $B$. Then

$$\text{ord}_A(x) = \sum_i [\kappa(m_i) : \kappa(m_A)] \text{ord}_{B_{m_i}}(y)$$

where ord is defined as in Definition 120.2.

Proof. The ring $B$ is semi-local by Lemma 112.2. Write $y = b/b'$ for some $b, b' \in B$. By the additivity of ord and multiplicativity of Nm it suffices to prove the lemma for $y = b$ or $y = b'$. In other words we may assume $y \in B$. In this case the right hand side of the formula is

$$\sum [\kappa(m_i) : \kappa(m_A)] \text{length}_{B_{m_i}}((B/yB)_{m_i})$$

By Lemma 51.12 this is equal to length$_A(B/yB)$. By Lemma 120.7 we have

$$\text{length}_A(B/yB) = d(B, yB) = \text{ord}_A(\det_K(L \xrightarrow{y} L))$$

Since $x = \text{Nm}_{L/K}(y) = \det_K(L \xrightarrow{y} L)$ by definition the lemma is proved. □

121. Quasi-finite maps

Consider a ring map $R \to S$ of finite type. A map Spec($S$) \to Spec($R$) is quasi-finite at a point if that point is isolated in its fibre. This means that the fibre is zero dimensional at that point. In this section we study the basic properties of this important but technical notion. More advanced material can be found in the next section.

Lemma 121.1. Let $k$ be a field. Let $S$ be a finite type $k$ algebra. Let $\mathfrak{q}$ be a prime of $S$. The following are equivalent:

1. $\mathfrak{q}$ is an isolated point of Spec($S$),
2. $S_{\mathfrak{q}}$ is finite over $k$,
3. there exists a $g \in S, g \notin \mathfrak{q}$ such that $D(g) = \{\mathfrak{q}\}$,
4. $\dim_{\mathfrak{q}} \text{Spec}(S) = 0$. 

Let \( q \) be an isolated point of \( \text{Spec}(S) \). Then \( \text{Spec}(S) \) is Noetherian, see Lemma 52.2. Consider the exact sequence \( 0 \to K \to S \to S_q \to Q \to 0 \). It is clear that \( K_q = Q_q = 0 \). Also, \( K \) is a finite \( S \)-module as \( S \) is Noetherian and \( Q \) is a finite \( S \)-module since \( S_q \) is finite over \( k \). Hence there exists \( g \in S, g \not\in q \) such that \( K_g = Q_g = 0 \). Thus \( S_q = S_q \) and \( D(g) = \{ q \} \). We have proved that (2) implies (3).

Suppose \( D(g) = \{ q \} \). Since \( D(g) \) is open by construction of the topology on \( \text{Spec}(S) \) we see that \( q \) is an isolated point of \( \text{Spec}(S) \). We have proved that (3) implies (1). In other words (1), (2) and (3) are equivalent.

Assume \( \dim_q \text{Spec}(S) = 0 \). This means that there is some open neighbourhood of \( q \) in \( \text{Spec}(S) \) which has dimension zero. Then there is an open neighbourhood of the form \( D(g) \) which has dimension zero. Since \( S_q \) is Noetherian we conclude that \( S_g \) is Artinian and \( D(g) = \text{Spec}(S_g) \) is a finite discrete set, see Proposition 59.6. Thus \( q \) is an isolated point of \( D(g) \) and, by the equivalence of (1) and (2) above applied to \( qS_q \subset S_g \), we see that \( S_q = (S_q)qS_q \) is finite over \( k \). Hence (4) implies (2). It is clear that (1) implies (4). Thus (1) – (4) are all equivalent.

Lemma 113.6 gives the implication (5) \( \Rightarrow \) (4). The implication (4) \( \Rightarrow \) (6) follows from Lemma 115.3. The implication (6) \( \Rightarrow \) (5) follows from Lemma 34.9. At this point we know (1) – (6) are equivalent.

The two statements at the end of the lemma we saw during the course of the proof of the equivalence of (1), (2) and (3) above. \( \square \)

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**Lemma 121.2.** Let \( R \to S \) be a ring map of finite type. Let \( q \in S \) be a prime lying over \( p \subset R \). Let \( F = \text{Spec}(S \otimes_R \kappa(p)) \) be the fibre of \( \text{Spec}(S) \to \text{Spec}(R) \), see Remark 76.8. Denote \( \bar{q} \in F \) the point corresponding to \( q \). The following are equivalent

1. \( \bar{q} \) is an isolated point of \( F \),
2. \( S_q/pS_q \) is finite over \( \kappa(p) \),
3. there exists a \( g \in S, g \not\in q \) such that the only prime of \( D(g) \) mapping to \( p \) is \( q \),
4. \( \dim_{\bar{q}}(F) = 0 \),
5. \( \bar{q} \) is a closed point of \( F \) and \( \dim(S_q/pS_q) = 0 \), and
6. the field extension \( \kappa(p) \subset \kappa(q) \) is finite and \( \dim(S_q/pS_q) = 0 \).

**Proof.** Note that \( S_q/pS_q = (S \otimes_R \kappa(p))/(\bar{q}) \). Moreover \( S \otimes_R \kappa(p) \) is of finite type over \( \kappa(p) \). The conditions correspond exactly to the conditions of Lemma 121.1 for the \( \kappa(p) \)-algebra \( S \otimes_R \kappa(p) \) and the prime \( \bar{q} \), hence they are equivalent. \( \square \)
**Definition 121.3.** Let $R \to S$ be a finite type ring map. Let $q \subset S$ be a prime.

1. If the equivalent conditions of Lemma 121.2 are satisfied then we say $R \to S$ is **quasi-finite at $q$**.

2. We say a ring map $A \to B$ is **quasi-finite** if it is of finite type and quasi-finite at all primes of $B$.

**Lemma 121.4.** Let $R \to S$ be a finite type ring map. Then $R \to S$ is quasi-finite if and only if for all primes $p \subset R$ the fibre $S \otimes_R \kappa(p)$ is finite over $\kappa(p)$.

**Proof.** If the fibres are finite then the map is clearly quasi-finite. For the converse, note that $S \otimes_R \kappa(p)$ is a $\kappa(p)$-algebra of finite type and of dimension 0. Hence it is finite over $\kappa(p)$ for example by Lemma 114.4.

**Lemma 121.5.** Let $R \to S$ be a finite type ring map. Let $q \subset S$ be a prime lying over $p \subset R$. Let $f \in R$, $f \notin p$ and $g \in S$, $g \notin q$. Then $R \to S$ is quasi-finite at $q$ if and only if $R_f \to S_{fg}$ is quasi-finite at $qS_{fg}$.

**Proof.** The fibre of $\text{Spec}(S_{fg}) \to \text{Spec}(R_f)$ is homeomorphic to an open subset of the fibre of $\text{Spec}(S) \to \text{Spec}(R)$. Hence the lemma follows from part (1) of the equivalent conditions of Lemma 121.2.

**Lemma 121.6.** Let

$\begin{array}{ccc}
S & \longrightarrow & S' \\
\uparrow & & \uparrow \\
R & \longrightarrow & R'
\end{array}$

$\begin{array}{ccc}
q & \longrightarrow & q' \\
\uparrow & & \uparrow \\
p & \longrightarrow & p'
\end{array}$

be a commutative diagram of rings with primes as indicated. Assume $R \to S$ of finite type, and $S \otimes_R R' \to S'$ surjective. If $R \to S$ is quasi-finite at $q$, then $R' \to S'$ is quasi-finite at $q'$.

**Proof.** Write $S \otimes_R \kappa(p) = S_1 \times S_2$ with $S_1$ finite over $\kappa(p)$ and such that $q$ corresponds to a point of $S_1$ as in Lemma 121.1. This product decomposition induces a corresponding product decomposition for any $S \otimes_R \kappa(p)$-algebra. In particular, we obtain $S' \otimes_{R'} \kappa(p') = S'_1 \times S'_2$. Because $S \otimes_R R' \to S'$ is surjective the canonical map $(S \otimes_R \kappa(p)) \otimes_{\kappa(p)} \kappa(p') \to S' \otimes_{R'} \kappa(p')$ is surjective and hence $S_1 \otimes_{\kappa(p)} \kappa(p') \to S'_1$ is surjective. It follows that $S'_1$ is finite over $\kappa(p')$. The map $S' \otimes_{R'} \kappa(p') \to \kappa(q')$ factors through $S'_1$ (i.e. it annihilates the factor $S'_2$) because the map $S \otimes_R \kappa(p) \to \kappa(q)$ factors through $S_1$ (i.e. it annihilates the factor $S_2$). Thus $q'$ corresponds to a point of $\text{Spec}(S'_1)$ in the disjoint union decomposition of the fibre: $\text{Spec}(S' \otimes_{R'} \kappa(p')) = \text{Spec}(S'_1) \sqcup \text{Spec}(S'_2)$, see Lemma 20.2. Since $S'_1$ is finite over a field, it is Artinian ring, and hence $\text{Spec}(S'_1)$ is a finite discrete set. (See Proposition 59.6) We conclude $q'$ is isolated in its fibre as desired.

**Lemma 121.7.** A composition of quasi-finite ring maps is quasi-finite.

**Proof.** Suppose $A \to B$ and $B \to C$ are quasi-finite ring maps. By Lemma 6.2 we see that $A \to C$ is of finite type. Let $r \subset C$ be a prime of $C$ lying over $q \subset B$ and $p \subset A$. Since $A \to B$ and $B \to C$ are quasi-finite at $q$ and $r$ respectively, then there exist $b \in B$ and $c \in C$ such that $q$ is the only prime of $D(b)$ which maps to $p$ and similarly $r$ is the only prime of $D(c)$ which maps to $q$. If $c' \in C$ is the image of $b \in B$, then $r$ is the only prime of $D(cc')$ which maps to $p$. Therefore $A \to C$ is quasi-finite at $r$. 

\[\square\]
Let $R 	o S$ be a ring map of finite type. Let $R 	o R'$ be any ring map. Set $S' = R' \otimes_R S$.

1. The set $\{ q' \mid R' \to S'$ quasi-finite at $q' \}$ is the inverse image of the corresponding set of $\text{Spec}(S)$ under the canonical map $\text{Spec}(S') \to \text{Spec}(S)$.

2. If $\text{Spec}(R') \to \text{Spec}(R)$ is surjective, then $R \to S$ is quasi-finite if and only if $R' \to S'$ is quasi-finite.

3. Any base change of a quasi-finite ring map is quasi-finite.

**Proof.** Let $p' \subset R'$ be a prime lying over $p \subset R$. Then the fibre ring $S' \otimes_R \kappa(p')$ is the base change of the fibre ring $S \otimes_R \kappa(p)$ by the field extension $\kappa(p) \to \kappa(p')$. Hence the first assertion follows from the invariance of dimension under field extension (Lemma 115.6) and Lemma 121.1. The stability of quasi-finite maps under base change follows from this and the stability of finite type property under base change. The second assertion follows since the assumption implies that given a prime $q \subset S$ we can find a prime $q' \subset S'$ lying over it. \qed

**Lemma 121.9.** Let $A \to B$ and $B \to C$ be ring homomorphisms such that $A \to C$ is of finite type. Let $\mathfrak{r}$ be a prime of $C$ lying over $q \subset B$ and $p \subset A$. If $A \to C$ is quasi-finite at $\mathfrak{r}$, then $B \to C$ is quasi-finite at $\mathfrak{r}$.

**Proof.** Observe that $B \to C$ is of finite type (Lemma 6.2) so that the statement makes sense. Let us use characterization (3) of Lemma 121.2. If $A \to C$ is quasi-finite at $\mathfrak{r}$, then there exists some $c \in C$ such that

$$\{ \mathfrak{r}' \subset C \text{ lying over } p \} \cap D(c) = \{ \mathfrak{r} \}.$$

Since the primes $\mathfrak{r}' \subset C$ lying over $q$ form a subset of the primes $\mathfrak{r}' \subset C$ lying over $p$ we conclude $B \to C$ is quasi-finite at $\mathfrak{r}$. \qed

The following lemma is not quite about quasi-finite ring maps, but it does not seem to fit anywhere else so well.

**Lemma 121.10.** Let $R \to S$ be a ring map of finite type. Let $p \subset R$ be a minimal prime. Assume that there are at most finitely many primes of $S$ lying over $p$. Then there exists a $g \in R$, $g \notin p$ such that the ring map $R_g \to S_g$ is finite.

**Proof.** Let $x_1, \ldots, x_n$ be generators of $S$ over $R$. Since $p$ is a minimal prime we have that $pR_p$ is a locally nilpotent ideal, see Lemma 24.1. Hence $pS_p$ is a locally nilpotent ideal, see Lemma 31.3. By assumption the finite type $\kappa(p)$-algebra $S_p/pS_p$ has finitely many primes. Hence (for example by Lemmas 60.3 and 114.4) $\kappa(p) \to S_p/pS_p$ is a finite ring map. Thus we may find monic polynomials $P_i \in R_p[X]$ such that $P_i(x_i)$ maps to zero in $S_p/pS_p$. By what we said above there exist $e_i \geq 1$ such that $P(x_i)^{e_i} = 0$ in $S_p$. Let $g_1 \in R$, $g_1 \notin p$ be an element such that $P_i$ has coefficients in $R[1/g_1]$ for all $i$. Next, let $g_2 \in R$, $g_2 \notin p$ be an element such that $P(x_i)^{e_i} = 0$ in $S_{g_1g_2}$. Setting $g = g_1g_2$ we win. \qed

122. Zariski’s Main Theorem

In this section our aim is to prove the algebraic version of Zariski’s Main theorem. This theorem will be the basis of many further developments in the theory of schemes and morphisms of schemes later in the Stacks project.

Let $R \to S$ be a ring map of finite type. Our goal in this section is to show that the set of points of $\text{Spec}(S)$ where the map is quasi-finite is open (Theorem 122.12).
In fact, it will turn out that there exists a finite ring map $R \to S'$ such that in some sense the quasi-finite locus of $S/R$ is open in $\text{Spec}(S')$ (but we will not prove this in the algebra chapter since we do not develop the language of schemes here — for the case where $R \to S$ is quasi-finite see Lemma 122.14). These statements are somewhat tricky to prove and we do it by a long list of lemmas concerning integral and finite extensions of rings. This material may be found in [Ray70] and [Pes66]. We also found notes by Thierry Coquand helpful.

00PQ **Lemma 122.1.** Let $\varphi : R \to S$ be a ring map. Suppose $t \in S$ satisfies the relation $\varphi(a_0) + \varphi(a_1)t + \ldots + \varphi(a_n)t^n = 0$. Then $\varphi(a_n)t$ is integral over $R$.

**Proof.** Namely, multiply the equation $\varphi(a_0) + \varphi(a_1)t + \ldots + \varphi(a_n)t^n = 0$ with $\varphi(a_n)^{-1}$ and write it as $\varphi(a_0a_n^{-1}) + \varphi(a_1a_n^{-2})(\varphi(a_n)t) + \ldots + (\varphi(a_n)t)^n = 0$. □

The following lemma is in some sense the key lemma in this section.

00PT **Lemma 122.2.** Let $R$ be a ring. Let $\varphi : R[x] \to S$ be a ring map. Let $t \in S$. Assume that (a) $t$ is integral over $R[x]$, and (b) there exists a monic $p \in R[x]$ such that $t\varphi(p) \in \text{Im}(\varphi)$. Then there exists a $q \in R[x]$ such that $t - \varphi(q)$ is integral over $R$.

**Proof.** Write $t\varphi(p) = \varphi(r)$ for some $r \in R[x]$. Using euclidean division, write $r = qr' + r''$ with $q, r' \in R[x]$ and $\deg(r') < \deg(p)$. We may replace $t$ by $t - \varphi(q)$ which is still integral over $R[x]$, so that we obtain $t\varphi(p) = \varphi(r')$. In the ring $S_t$ we may write this as $\varphi(p) - (1/t)\varphi(r') = 0$. This implies that $\varphi(x)$ gives an element of the localization $S_t$ which is integral over $\varphi(R)[1/t] \subset S_t$. On the other hand, $t$ is integral over the subring $\varphi(R)[\varphi(x)] \subset S$. Combined we conclude that $t$ is integral over the subring $\varphi(R)[1/t] \subset S_t$, see Lemma 35.6. In other words there exists an equation of the form

$$t^d + \sum_{i<d} \left( \sum_{j=0,\ldots,n_i} \varphi(r_{i,j})/t^i \right) t^i = 0$$

in $S_t$ with $r_{i,j} \in R$. This means that $t^{d+N} + \sum_{i<d} \sum_{j=0,\ldots,n_i} \varphi(r_{i,j})t^{i+N-j} = 0$ in $S$ for some $N$ large enough. In other words $t$ is integral over $R$. □

00PV **Lemma 122.3.** Let $R$ be a ring. Let $\varphi : R[x] \to S$ be a ring map. Let $t \in S$. Assume $t$ is integral over $R[x]$. Let $p \in R[x]$, $p = a_0 + a_1x + \ldots + a_kx^k$ such that $t\varphi(p) \in \text{Im}(\varphi)$. Then there exists a $q \in R[x]$ and $n \geq 0$ such that $\varphi(a_k)^nt - \varphi(q)$ is integral over $R$.

**Proof.** Let $R'$ and $S'$ be the localization of $R$ and $S$ at the element $a_k$. Let $\varphi' : R'[x] \to S'$ be the localization of $\varphi$. Let $t' \in S'$ be the image of $t$. Set $p' = p/a_k \in R'[x]$. Then $t'\varphi'(p') \in \text{Im}(\varphi')$ since $t\varphi(p) \in \text{Im}(\varphi)$. As $p'$ is monic, by Lemma 122.2 there exists a $q' \in R'[x]$ such that $t' - \varphi'(q')$ is integral over $R'$. We may choose an $n \geq 0$ and an element $q \in R[x]$ such that $a_k^nq'$ is the image of $q$. Then $\varphi(a_k)^nt - \varphi(q)$ is an element of $S$ whose image in $S'$ is integral over $R'$. By Lemma 35.11 there exists an $m \geq 0$ such that $\varphi(a_k)^m(\varphi(a_k)^nt - \varphi(q))$ is integral over $R$. Thus $\varphi(a_k)^{m+n}t - \varphi(a_k^nq)$ is integral over $R$ as desired. □

00PW **Situation 122.4.** Let $R$ be a ring. Let $\varphi : R[x] \to S$ be finite. Let

$$J = \{ g \in S \mid gS \subset \text{Im}(\varphi) \}$$

be the “conductor ideal” of $\varphi$. Assume $\varphi(R) \subset S$ integrally closed in $S$. 
Lemma 122.5. In Situation \[122.4\] Suppose \( u \in S, a_0, \ldots, a_k \in R, u \varphi(a_0 + a_1 x + \ldots + a_k x^k) \in J \). Then there exists an \( m \geq 0 \) such that \( u \varphi(a_k)^m \in J \).

Proof. Assume that \( S \) is generated by \( t_1, \ldots, t_n \) as an \( R[x] \)-module. In this case \( J = \{ g \in S \mid g t_i \in \text{Im}(\varphi) \text{ for all } i \} \). Note that each element \( u t_i \) is integral over \( R[x] \), see Lemma 35.3. We have \( \varphi(a_0 + a_1 x + \ldots + a_k x^k) u t_i \in \text{Im}(\varphi) \). By Lemma 122.3 for each \( i \) there exists an integer \( n_i \) and an element \( q_i \in R[x] \) such that \( \varphi(a_k^{n_i}) u t_i - \varphi(q_i) \) is integral over \( R \). By assumption this element is in \( \varphi(R) \) and hence \( \varphi(a_k^{n_i}) u t_i \in \text{Im}(\varphi) \). It follows that \( m = \max\{n_1, \ldots, n_n\} \) works. \( \square \)

Lemma 122.6. In Situation \[122.4\] Suppose \( u \in S, a_0, \ldots, a_k \in R, u \varphi(a_0 + a_1 x + \ldots + a_k x^k) \in \sqrt{J} \). Then \( u \varphi(a_i) \in \sqrt{J} \) for all \( i \).

Proof. Under the assumptions of the lemma we have \( u^n \varphi(a_0 + a_1 x + \ldots + a_k x^k)^n \in J \) for some \( n \geq 1 \). By Lemma 122.5 we deduce \( u^n \varphi(a_k^n) \in J \) for some \( m \geq 1 \). Thus \( u \varphi(a_k) \in \sqrt{J} \), and so \( u \varphi(a_0 + a_1 x + \ldots + a_k x^k) - u \varphi(a_k) = u \varphi(a_0 + a_1 x + \ldots + a_{k-1} x^{k-1}) \in \sqrt{J} \). We win by induction on \( k \). \( \square \)

This lemma suggests the following definition.

Definition 122.7. Given an inclusion of rings \( R \subset S \) and an element \( x \in S \) we say that \( x \) is strongly transcendental over \( R \) if whenever \( u(a_0 + a_1 x + \ldots + a_k x^k) = 0 \) with \( u \in S \) and \( a_i \in R \), then we have \( u a_i = 0 \) for all \( i \).

Note that if \( S \) is a domain then this is the same as saying that \( x \) as an element of the fraction field of \( S \) is transcendental over the fraction field of \( R \).

Lemma 122.8. Suppose \( R \subset S \) is an inclusion of reduced rings and suppose that \( x \in S \) is strongly transcendental over \( R \). Let \( q \subset S \) be a minimal prime and let \( p = R \cap q \). Then the image of \( x \) in \( S/q \) is strongly transcendental over the subring \( R/p \).

Proof. Suppose \( u(a_0 + a_1 x + \ldots + a_k x^k) \in q \). By Lemma 24.1 the local ring \( S_q \) is a field, and hence \( u(a_0 + a_1 x + \ldots + a_k x^k) \) is zero in \( S_q \). Thus \( u u'(a_0 + a_1 x + \ldots + a_k x^k) = 0 \) for some \( u' \in S, u' \notin q \). Since \( x \) is strongly transcendental over \( R \) we get \( u u' a_i = 0 \) for all \( i \). This in turn implies that \( u a_i \in q \). \( \square \)

Lemma 122.9. Suppose \( R \subset S \) is an inclusion of domains and let \( x \in S \). Assume \( x \) is (strongly) transcendental over \( R \) and that \( S \) is finite over \( R[x] \). Then \( R \rightarrow S \) is not quasi-finite at any prime of \( S \).

Proof. As a first case, assume that \( R \) is normal, see Definition 36.11. By Lemma 36.14 we see that \( R[x] \) is normal. Take a prime \( q \subset S \), and set \( p = R \cap q \). Assume that the extension \( \kappa(p) \subset \kappa(q) \) is finite. This would be the case if \( R \rightarrow S \) is quasi-finite at \( q \). Let \( r = R[x] \cap q \). Then since \( \kappa(p) \subset \kappa(r) \subset \kappa(q) \) we see that the extension \( \kappa(p) \subset \kappa(r) \) is finite too. Thus the inclusion \( r \supset p \cap R[x] \) is strict. By going down for \( R[x] \subset S \), see Proposition 37.7 we find a prime \( q' \subset q \), lying over the prime \( p \cap R[x] \). Hence the fibre \( \text{Spec}(S \otimes_R \kappa(p)) \) contains a point not equal to \( q \), namely \( q' \), whose closure contains \( q \) and hence \( q \) is not isolated in its fibre.

If \( R \) is not normal, let \( R \subset R' \subset K \) be the integral closure \( R' \) of \( R \) in its field of fractions \( K \). Let \( S \subset S' \subset L \) be the subring \( S' \) of the field of fractions \( L \) of \( S \) generated by \( R' \) and \( S \). Note that by construction the map \( S \otimes_R R' \rightarrow S' \) is surjective. This implies that \( R'[x] \subset S' \) is finite. Also, the map \( S \subset S' \) induces
a surjection on Spec, see Lemma 35.17. We conclude by Lemma 121.6 and the normal case we just discussed. □

**Lemma 122.10.** Suppose $R \subset S$ is an inclusion of reduced rings. Assume $x \in S$ be strongly transcendental over $R$, and $S$ finite over $R[x]$. Then $R \to S$ is not quasi-finite at any prime of $S$.

**Proof.** Let $q \subset S$ be any prime. Choose a minimal prime $q' \subset q$. According to Lemmas 122.8 and 122.9 the extension $R/(R \cap q') \subset S/q'$ is not quasi-finite at the prime corresponding to $q$. By Lemma 121.6 the extension $R \to S$ is not quasi-finite at $q$. □

**Lemma 122.11.** Let $R$ be a ring. Let $S = R[x]/I$. Let $q \subset S$ be a prime. Assume $R \to S$ is quasi-finite at $q$. Let $S' \subset S$ be the integral closure of $R$ in $S$. Then there exists an element $g \in S'$, $g \not\in q$ such that $S'_g \cong S_g$.

**Proof.** Let $p$ be the image of $q$ in Spec($R$). There exists an $f \in I$, $f = a_nx^n + \ldots + a_0$ such that $a_i \not\in p$ for some $i$. Namely, otherwise the fibre ring $S \otimes_R \kappa(p)$ would be $\kappa(p)[x]$ and the map would not be quasi-finite at any prime lying over $p$. We conclude there exists a relation $b_nx^n + \ldots + b_0 = 0$ with $b_j \in S'$, $j = 0, \ldots, m$ and $b_j \not\in q \cap S'$ for some $j$. We prove the lemma by induction on $m$. The base case is $m = 0$ is vacuous (because the statements $b_0 = 0$ and $b_0 \not\in q$ are contradictory).

The case $b_m \not\in q$. In this case $x$ is integral over $S'_b$, in fact $b_mx \in S'$ by Lemma 122.1. Hence the injective map $S'_b \to S_b$ is also surjective, i.e., an isomorphism as desired.

The case $b_m \in q$. In this case we have $b_mx \in S'$ by Lemma 122.1. Set $b'_{m-1} = b_{m-1} + b_{m-1}$. Then

$$b'_{m-1}x^{m-1} + b_{m-2}x^{m-2} + \ldots + b_0 = 0$$

Since $b'_{m-1}$ is congruent to $b_{m-1}$ modulo $S' \cap q$ we see that it is still the case that one of $b'_{m-1}, b_{m-2}, \ldots, b_0$ is not in $S' \cap q$. Thus we win by induction on $m$. □

**Theorem 122.12** (Zariski’s Main Theorem). Let $R$ be a ring. Let $R \to S$ be a finite type $R$-algebra. Let $S' \subset S$ be the integral closure of $R$ in $S$. Let $q \subset S$ be a prime of $S$. If $R \to S$ is quasi-finite at $q$ then there exists a $g \in S'$, $g \not\in q$ such that $S'_g \cong S_g$.

**Proof.** There exist finitely many elements $x_1, \ldots, x_n \in S$ such that $S$ is finite over the $R$-sub algebra generated by $x_1, \ldots, x_n$. (For example generators of $S$ over $R$.) We prove the proposition by induction on the minimal such number $n$.

The case $n = 0$ is trivial, because in this case $S' = S$, see Lemma 35.3.

The case $n = 1$. We may replace $R$ by its integral closure in $S$ (Lemma 121.9 guarantees that $R \to S$ is still quasi-finite at $q$). Thus we may assume $R \subset S$ is integrally closed in $S$. Consider the map $\varphi : R[x] \to S$, $x \mapsto x_1$. (We will see that $\varphi$ is not injective below.) By assumption $\varphi$ is finite. Hence we are in Situation 122.4. Let $J \subset S$ be the “conductor ideal” defined in Situation 122.4. Consider the
According to Lemma 122.6 the image of $x$ in the quotient $S/\sqrt{J}$ is strongly transcendental over $R/(R\cap \sqrt{J})$. Hence by Lemma 122.10 the ring map $R/(R\cap \sqrt{J}) \to S/\sqrt{J}$ is not quasi-finite at any prime of $S/\sqrt{J}$. By Lemma 121.6 we deduce that $q$ does not lie in $V(J) \subset \text{Spec}(S)$. Thus there exists an element $s \in J$, $s \notin q$. By definition of $J$ we may write $s = \varphi(f)$ for some polynomial $f \in R[x]$. Now let $I = \ker(R[x] \to S)$. Since $\varphi(f) \in J$ we get $(R[x]/I)_f \cong S_{\varphi(f)}$. Also $s \notin q$ means that $f \notin \varphi^{-1}(q)$. Thus $\varphi^{-1}(q)$ is a prime of $R[x]/I$ at which $R \to R[x]/I$ is quasi-finite, see Lemma 121.5.

Let $C \subset R[x]/I$ be the integral closure of $R$. By Lemma 122.11 there exists an element $h \in C$, $h \notin \varphi^{-1}(q)$ such that $C_h \cong (R[x]/I)_h$. We conclude that $(R[x]/I)_h = S_{\varphi(h)}$ is isomorphic to a principal localization $C_h$ of $C$ for some $h' \in C$, $h' \notin \varphi^{-1}(q)$. Since $\varphi(C) \subset S'$ we get $g = \varphi(h') \in S'$, $g \notin q$ and moreover the injective map $S'_g \to S_g$ is also surjective because by our choice of $h'$ the map $C_{h'} \to S_g$ is surjective.

The case $n > 1$. Consider the subring $R' \subset S$ which is the integral closure of $R[x_1, \ldots, x_{n-1}]$ in $S$. By Lemma 121.6 the extension $S/R'$ is quasi-finite at $q$. Also, note that $S$ is finite over $R'[x_n]$. By the case $n = 1$ above, there exists a $g' \in R'$, $g' \notin q$ such that $(R')_{g'} \cong S_{g'}$. At this point we cannot apply induction to $R \to R'$ since $R'$ may not be finite type over $R$. Since $S$ is finitely generated over $R$ we deduce in particular that $(R')_{g'}$ is finitely generated over $R$. Say the elements $g'$, and $y_1/(g')^n, \ldots, y_N/(g')^n$ with $y_i \in R'[x_n]$ generate $(R')_{g'}$ over $R$. Let $R''$ be the $R$-sub algebra of $R'$ generated by $x_1, \ldots, x_{n-1}, y_1, \ldots, y_N, g'$. This has the property $(R'')_{g'} \cong S_{g'}$. Surjectivity because of how we chose $y_i$, injectivity because $R'' \subset R'$, and localization is exact. Note that $R''$ is finite over $R[x_1, \ldots, x_{n-1}]$ because of our choice of $R'$, see Lemma 35.4. Let $q'' = R'' \cap q$. Since $(R'')_{q''} = S_q$ we see that $R \to R''$ is quasi-finite at $q''$, see Lemma 121.2. We apply our induction hypothesis to $R \to R''$, $q''$ and $x_1, \ldots, x_{n-1} \in R''$ and we find a subring $R''' \subset R''$ which is integral over $R$ and an element $g'' \in R'''$, $g'' \notin q''$ such that $(R''')_{g''} \cong (R'')_{g''}$. Write the image of $g'$ in $(R'')_{g''}$ as $g'''/(g'')^n$ for some $g''' \in R'''$. Set $g = g'' g''' \in R'''$. Then it is clear that $g \notin q$ and $(R''')_g \cong S_g$. Since by construction we have $R''' \subset S'$ we also have $S'_g \cong S_g$ as desired.

**Lemma 122.13.** Let $R \to S$ be a finite type ring map. The set of points $q$ of $\text{Spec}(S)$ at which $S/R$ is quasi-finite is open in $\text{Spec}(S)$.

**Proof.** Let $q \subset S$ be a point at which the ring map is quasi-finite. By Theorem 122.12 there exists an integral ring extension $R \to S'$, $S' \subset S$ and an element $g \in S'$, $g \notin q$ such that $S'_g \cong S_g$. Since $S$ and hence $S_g$ are of finite type over $R$ we may find finitely many elements $y_1, \ldots, y_N$ of $S'$ such that $S''_g \cong S'_g$ where $S'' \subset S'$ is the sub $R$-algebra generated by $g, y_1, \ldots, y_N$. Since $S''$ is finite over $R$ (see Lemma 35.4) we see that $S''_g$ is quasi-finite over $R$ (see Lemma 121.4). It is easy to see that this implies that $S''_g$ is quasi-finite over $R$, for example because the property of being quasi-finite at a prime depends only on the local ring at the
Let \( R \rightarrow S \) be a finite type ring map. Suppose that \( S \) is quasi-finite over \( R \). Let \( S' \subset S \) be the integral closure of \( R \) in \( S \). Then

1. \( \text{Spec}(S) \rightarrow \text{Spec}(S') \) is a homeomorphism onto an open subset,
2. if \( g \in S' \) and \( D(g) \) is contained in the image of the map, then \( S'_g \cong S_g \), and
3. there exists a finite \( R \)-algebra \( S'' \subset S' \) such that (1) and (2) hold for the ring map \( S'' \rightarrow S \).

**Proof.** Because \( S/R \) is quasi-finite we may apply Theorem \([22.12]\) to each point \( q \) of \( \text{Spec}(S) \). Since \( \text{Spec}(S) \) is quasi-compact, see Lemma \([16.10]\) we may choose a finite number of \( g_i \in S' \), \( i = 1, \ldots, n \) such that \( S'_{g_i} = S_{g_i} \), and such that \( g_1, \ldots, g_n \) generate the unit ideal in \( S \) (in other words the standard opens of \( \text{Spec}(S) \) associated to \( g_1, \ldots, g_n \) cover all of \( \text{Spec}(S) \)).

Suppose that \( D(g) \subset \text{Spec}(S') \) is contained in the image. Then \( D(g) \subset \bigcup D(g_i) \). In other words, \( g_1, \ldots, g_n \) generate the unit ideal of \( S'_g \). Note that \( S'_{g_1} \cong S_{g_1} \) by our choice of \( g_1 \). Hence \( S'_{g_i} \cong S_{g_i} \) by Lemma \([22.2]\).

We construct a finite algebra \( S'' \subset S' \) as in (3). To do this note that each \( S'_{g_i} \cong S_{g_i} \) is a finite type \( R \)-algebra. For each \( i \) pick some elements \( y_{ij} \in S' \) such that each \( S'_{g_i} \) is generated as \( R \)-algebra by \( 1/g_i \) and the elements \( y_{ij} \). Then set \( S'' \) equal to the sub \( R \)-algebra of \( S' \) generated by all \( g_i \) and all the \( y_{ij} \). Details omitted. \( \square \)

### 123. Applications of Zariski’s Main Theorem

Here is an immediate application characterizing the finite maps of 1-dimensional semi-local rings among the quasi-finite ones as those where equality always holds in the formula of Lemma \([120.8]\).

**Lemma 123.1.** Let \( A \subset B \) be an extension of domains. Assume

1. \( A \) is a local Noetherian ring of dimension 1,
2. \( A \rightarrow B \) is of finite type, and
3. the induced extension \( L/K \) of fraction fields is finite.

Then \( B \) is semi-local. Let \( x \in m_A, x \neq 0 \). Let \( m_i, i = 1, \ldots, n \) be the maximal ideals of \( B \). Then

\[
[L : K]\text{ord}_A(x) \geq \sum_i [\kappa(m_i) : \kappa(m_A)]\text{ord}_{B_{m_i}}(x)
\]

where \( \text{ord} \) is defined as in Definition \([120.2]\). We have equality if and only if \( A \rightarrow B \) is finite.

**Proof.** The ring \( B \) is semi-local by Lemma \([112.2]\). Let \( B' \) be the integral closure of \( A \) in \( B \). By Lemma \([22.14]\) we can find a finite \( A \)-subalgebra \( C \subset B' \) such that on setting \( n_i = C \cap m_i \) we have \( C_{n_i} \cong B_{m_i} \) and the primes \( n_1, \ldots, n_n \) are pairwise distinct. The ring \( C \) is semi-local by Lemma \([112.2]\). Let \( p_j, j = 1, \ldots, m \) be the other maximal ideals of \( C \) (the “missing points”). By Lemma \([120.8]\) we have

\[
\text{ord}_A(x^{[L:K]}) = \sum_i [\kappa(n_i) : \kappa(m_A)]\text{ord}_{C_{n_i}}(x) + \sum_j [\kappa(p_j) : \kappa(m_A)]\text{ord}_{C_{p_j}}(x)
\]

hence the inequality follows. In case of equality we conclude that \( m = 0 \) (no “missing points”). Hence \( C \subset B \) is an inclusion of semi-local rings inducing a bijection on maximal ideals and an isomorphism on all localizations at maximal ideals. So if
b ∈ B, then I = {x ∈ C | xb ∈ C} is an ideal of C which is not contained in any of the maximal ideals of C, and hence I = C, hence b ∈ C. Thus B = C and B is finite over A. □

Here is a more standard application of Zariski’s main theorem to the structure of local homomorphisms of local rings.

**Lemma 123.2.** Let \((R, \mathfrak{m}_R) \to (S, \mathfrak{m}_S)\) be a local homomorphism of local rings. Assume

1. \(R \to S\) is essentially of finite type,
2. \(\kappa(\mathfrak{m}_R) \subset \kappa(\mathfrak{m}_S)\) is finite, and
3. \(\dim(S/\mathfrak{m}_RS) = 0\).

Then \(S\) is the localization of a finite \(R\)-algebra.

**Proof.** Let \(S'\) be a finite type \(R\)-algebra such that \(S = S'_{q'}\) for some prime \(q'\) of \(S'\). By Definition [121.3] we see that \(R \to S'\) is quasi-finite at \(q'\). After replacing \(S'\) by \(S'_{q'}\) for some \(g' \in S'\), \(g' \notin q'\) we may assume that \(R \to S'\) is quasi-finite, see Lemma [122.13] there exists a finite \(R\)-algebra \(S''\) and elements \(g' \in S', g' \notin q'\) and \(g'' \in S''\) such that \(S'_{g'} \cong S''_{g''}\) as \(R\)-algebras. This proves the lemma. □

**Lemma 123.3.** Let \(R \to S\) be a ring map, \(q\) a prime of \(S\) lying over \(p\) in \(R\). If

1. \(R\) is Noetherian,
2. \(R \to S\) is of finite type, and
3. \(R \to S\) is quasi-finite at \(q\),

then \(R_p^\wedge \otimes_R S = S_q^\wedge \times B\) for some \(R_p^\wedge\)-algebra \(B\).

**Proof.** There exists a finite \(R\)-algebra \(S' \subset S\) and an element \(g \in S', g \notin q' = S' \cap q\) such that \(S'_{g_q} = S_q\) and in particular \(S'_{q'} = S_q\), see Lemma [122.14]. We have

\[ R_p^\wedge \otimes_R S' = (S'_{q'})^\wedge \times B' \]

by Lemma [96.8]. Note that we have a commutative diagram

\[ \begin{array}{ccc} R_p^\wedge \otimes_R S & \to & S_q^\wedge \\ \uparrow & & \uparrow \\ R_p^\wedge \otimes_R S' & \to & (S'_{q'})^\wedge \end{array} \]

where the right vertical is an isomorphism and the lower horizontal arrow is the projection map of the product decomposition above. The lemma follows. □

### 124. Dimension of fibres

We study the behaviour of dimensions of fibres, using Zariski’s main theorem. Recall that we defined the dimension \(\dim_x(X)\) of a topological space \(X\) at a point \(x\) in Topology, Definition [10.1].

**Definition 124.1.** Suppose that \(R \to S\) is of finite type, and let \(q \subset S\) be a prime lying over a prime \(p\) of \(R\). We define the **relative dimension of** \(S/R\) **at** \(q\), denoted \(\dim_q(S/R)\), to be the dimension of \(\Spec(S \otimes_R \kappa(p))\) at the point corresponding to \(q\). We let \(\dim(S/R)\) be the supremum of \(\dim_q(S/R)\) over all \(q\). This is called the **relative dimension of** \(S/R\).
In particular, $R \to S$ is quasi-finite at $q$ if and only if $\dim_q(S/R) = 0$. The following lemma is more or less a reformulation of Zariski’s Main Theorem.

**Lemma 124.2.** Let $R \to S$ be a finite type ring map. Let $q \subset S$ be a prime. Suppose that $\dim_q(S/R) = n$. There exists an $g \in S$, $g \notin q$ such that $S_g$ is quasi-finite over $S$.

**Proof.** The ring $\overline{S} = S \otimes_R \kappa(p)$ is of finite type over $\kappa(p)$. Let $\overline{q}$ be the prime of $\overline{S}$ corresponding to $q$. By definition of the dimension of a topological space at a point, there exists an open $U \subset \text{Spec}(\overline{S})$ with $\overline{q} \in U$ and $\text{dim}(U) = n$. Since the topology on $\text{Spec}(\overline{S})$ is induced from the topology on $\text{Spec}(S)$ (see Remark 16.8), we can find an $g \in S$, $g \notin q$ with image $\overline{g} \in \overline{S}$ such that $D(\overline{g}) \subset U$. Thus after replacing $S$ by $S_g$ we see that $\dim(\overline{S}) = n$.

Next, choose generators $x_1, \ldots, x_n$ for $S$ as an $R$-algebra. By Lemma 114.4 there exist elements $y_1, \ldots, y_n$ in the $\mathbb{Z}$-subalgebra of $S$ generated by $x_1, \ldots, x_n$ such that the map $R[t_1, \ldots, t_n] \to S$, $t_i \mapsto y_i$ has the property that $\kappa[p][t_1, \ldots, t_n] \to \overline{S}$ is finite. In particular, $S$ is quasi-finite over $R[t_1, \ldots, t_n]$ at $q$. Hence, by Lemma 122.13 we may replace $S$ by $S_g$ for some $g \in S$, $g \notin q$ such that $R[t_1, \ldots, t_n] \to S$ is quasi-finite.

**Lemma 124.3.** Let $R \to S$ be a ring map. Let $q \subset S$ be a prime lying over the prime $p$ of $R$. Assume

1. $R \to S$ is of finite type,
2. $\dim_q(S/R) = n$, and
3. $\text{trdeg}_{\kappa(p)}(\kappa(q)) = r$.

Then there exist $f \in R$, $f \notin p$, $g \in S$, $g \notin q$ and a quasi-finite ring map

$$\varphi : R_f[x_1, \ldots, x_n] \to S_g$$

such that $\varphi^{-1}(qS_g) = (p, x_{r+1}, \ldots, x_n)R_f[x_{r+1}, \ldots, x_n]$.

**Proof.** After replacing $S$ by a principal localization we may assume there exists a quasi-finite ring map $\varphi : R[t_1, \ldots, t_n] \to S$, see Lemma 124.2. Set $q' = \varphi^{-1}(q)$. Let $\overline{q}' \subset \kappa(p)[t_1, \ldots, t_n]$ be the prime corresponding to $q'$. By Lemma 114.6 there exists a finite ring map $\kappa(p)[x_1, \ldots, x_n] \to \kappa(p)[t_1, \ldots, t_n]$ such that the inverse image of $\overline{q}'$ is $(x_{r+1}, \ldots, x_n)$. Let $\overline{t}_i \in \kappa(p)[t_1, \ldots, t_n]$ be the image of $t_i$. We can find an element $f \in R$, $f \notin p$ and $h_i \in R_f[t_1, \ldots, t_n]$ which map to $\overline{t}_i$ in $\kappa(p)[t_1, \ldots, t_n]$. Then the ring map

$$R_f[x_1, \ldots, x_n] \to R_f[t_1, \ldots, t_n]$$

becomes finite after tensoring with $\kappa(p)$. In particular, $R_f[t_1, \ldots, t_n]$ is quasi-finite over $R_f[x_1, \ldots, x_n]$ at the prime $q'R_f[t_1, \ldots, t_n]$. Hence, by Lemma 122.13 there exists an $g \in R_f[t_1, \ldots, t_n]$, $g \notin q'R_f[t_1, \ldots, t_n]$ such that $R_f[x_1, \ldots, x_n] \to R_f[t_1, \ldots, t_n, 1/g]$ is quasi-finite. Thus we see that the composition

$$R_f[x_1, \ldots, x_n] \to R_f[t_1, \ldots, t_n, 1/g] \to S_{\varphi(g)}$$

is quasi-finite and we win.

**Lemma 124.4.** Let $R \to S$ be a finite type ring map. Let $q \subset S$ be a prime lying over $p \subset R$. If $R \to S$ is quasi-finite at $q$, then $\dim(S_q) \leq \dim(R_p)$. 

Proof. If $R_p$ is Noetherian (and hence $S_q$ Noetherian since it is essentially of finite type over $R_p$) then this follows immediately from Lemma \ref{finite-type-algebra} and the definitions. In the general case, let $S'$ be the integral closure of $R_p$ in $S_q$. By Zariski’s Main Theorem \ref{zariskis-main-theorem}, we have $S_q = S'_q$ for some $q' \subset S'$ lying over $q$. By Lemma \ref{finite-type-algebra-2} we have $\dim(S') \leq \dim(R_p)$ and hence a fortiori $\dim(S_q) = \dim(S'_q) \leq \dim(R_p)$. \hfill $\square$

00QG **Lemma 124.5.** Let $k$ be a field. Let $S$ be a finite type $k$-algebra. Suppose there is a quasi-finite $k$-algebra map $k[t_1, \ldots, t_n] \subset S$. Then $\dim(S) \leq n$.

Proof. By Lemma \ref{finite-type-algebra-3} the dimension of any local ring of $k[t_1, \ldots, t_n]$ is at most $n$. Thus the result follows from Lemma \ref{finite-type-algebra-4}. \hfill $\square$

00QH **Lemma 124.6.** Let $R \to S$ be a finite type ring map. Let $q \subset S$ be a prime. Suppose that $\dim_q(S/R) = n$. There exists an open neighbourhood $V$ of $q$ in $\Spec(S)$ such that $\dim_{q'}(S/R) \leq n$ for all $q' \in V$.

Proof. By Lemma \ref{finite-type-algebra-5} we see that we may assume that $S$ is quasi-finite over a polynomial algebra $R[t_1, \ldots, t_n]$. Considering the fibres, we reduce to Lemma \ref{finite-type-algebra-6}. \hfill $\square$

In other words, the lemma says that the set of points where the fibre has dimension $\leq n$ is open in $\Spec(S)$. The next lemma says that formation of this open commutes with base change. If the ring map is of finite presentation then this set is quasi-compact open (see below).

00QI **Lemma 124.7.** Let $R \to S$ be a finite type ring map. Let $R \to R'$ be any ring map. Set $S' = R' \otimes_R S$ and denote $f : \Spec(S') \to \Spec(S)$ the associated map on spectra. Let $n \geq 0$. The inverse image $f^{-1}(\{q \in \Spec(S) \mid \dim_q(S/R) \leq n\})$ is equal to $\{q' \in \Spec(S') \mid \dim_{q'}(S'/R') \leq n\}$.

Proof. The condition is formulated in terms of dimensions of fibre rings which are of finite type over a field. Combined with Lemma \ref{finite-type-algebra-7} this yields the lemma. \hfill $\square$

00QJ **Lemma 124.8.** Let $R \to S$ be a ring homomorphism of finite presentation. Let $n \geq 0$. The set

$$V_n = \{q \in \Spec(S) \mid \dim_q(S/R) \leq n\}$$

is a quasi-compact open subset of $\Spec(S)$.

Proof. It is open by Lemma \ref{finite-type-algebra-8}. Let $S = R[x_1, \ldots, x_n]/(f_1, \ldots, f_m)$ be a presentation of $S$. Let $R_0$ be the $\mathbb{Z}$-subalgebra of $R$ generated by the coefficients of the polynomials $f_i$. Let $S_0 = R_0[x_1, \ldots, x_n]/(f_1, \ldots, f_m)$. Then $S = R \otimes_{R_0} S_0$. By Lemma \ref{finite-type-algebra-9} $V_n$ is the inverse image of an open $V_{0,n}$ under the quasi-compact continuous map $\Spec(S) \to \Spec(S_0)$. Since $S_0$ is Noetherian we see that $V_{0,n}$ is quasi-compact. \hfill $\square$

00QK **Lemma 124.9.** Let $R$ be a valuation ring with residue field $k$ and field of fractions $K$. Let $S$ be a domain containing $R$ such that $S$ is of finite type over $R$. If $S \otimes_R k$ is not the zero ring then

$$\dim(S \otimes_R k) = \dim(S \otimes_R K)$$

In fact, $\Spec(S \otimes_R k)$ is equidimensional.
Proof. It suffices to show that \( \dim_q(S/k) \) is equal to \( \dim(S \otimes_R K) \) for every prime \( q \) of \( S \) containing \( \mathfrak{m}_R S \). Pick such a prime. By Lemma \([124.6]\) the inequality \( \dim_q(S/k) \geq \dim(S \otimes_R K) \) holds. Set \( n = \dim_q(S/k) \). By Lemma \([124.2]\) after replacing \( S \) by \( S_g \) for some \( g \in S \), \( g \notin q \), there exists a quasi-finite ring map \( R[t_1, \ldots, t_n] \to S \). If \( \dim(S \otimes_R K) < n \), then \( K[t_1, \ldots, t_n] \to S \otimes_R K \) has a nonzero kernel. Say \( f = \sum a_i t_1^{i_1} \cdots t_n^{i_n} \). After dividing \( f \) by a nonzero coefficient of \( f \) with minimal valuation, we may assume \( f \in \mathbb{R}[t_1, \ldots, t_n] \) and some \( a_i \) does not map to zero in \( k \). Hence the ring map \( k[t_1, \ldots, t_n] \to S \otimes_R k \) has a nonzero kernel which implies that \( \dim(S \otimes_R k) < n \). Contradiction. \( \square \)

125. Algebras and modules of finite presentation

05N4 In this section we discuss some standard results where the key feature is that the assumption involves a finite type or finite presentation assumption.

00QP **Lemma 125.1.** Let \( R \to S \) be a ring map. Let \( R \to R' \) be a faithfully flat ring map. Set \( S' = R' \otimes_R S \). Then \( R \to S \) is of finite type if and only if \( R' \to S' \) is of finite type.

Proof. It is clear that if \( R \to S \) is of finite type then \( R' \to S' \) is of finite type. Assume that \( R' \to S' \) is of finite type. Say \( y_1, \ldots, y_m \) generate \( S' \) over \( R' \). Write \( y_j = \sum a_{ij} \otimes x_{ji} \) for some \( a_{ij} \in R' \) and \( x_{ji} \in S \). Let \( A \subset S \) be the \( R \)-subalgebra generated by the \( x_{ji} \). By flatness we have \( A' := R' \otimes_R A \subset S' \), and by construction \( y_j \in A' \). Hence \( A' = S' \). By faithful flatness \( A = S \). \( \square \)

00QQ **Lemma 125.2.** Let \( R \to S \) be a ring map. Let \( R \to R' \) be a faithfully flat ring map. Set \( S' = R' \otimes_R S \). Then \( R \to S \) is of finite presentation if and only if \( R' \to S' \) is of finite presentation.

Proof. It is clear that if \( R \to S \) is of finite presentation then \( R' \to S' \) is of finite presentation. Assume that \( R' \to S' \) is of finite presentation. By Lemma \([125.1]\) we see that \( R \to S \) is of finite type. Write \( S = R[x_1, \ldots, x_n]/I \). By flatness \( S' = R'[x_1, \ldots, x_n]/R' \otimes_R I \). Say \( g_1, \ldots, g_m \) generate \( R' \otimes_R I \) over \( R'[x_1, \ldots, x_n] \). Write \( g_j = \sum a_{ij} \otimes f_{ji} \) for some \( a_{ij} \in R' \) and \( f_{ji} \in I \). Let \( J \subset I \) be the ideal generated by the \( f_{ji} \). By flatness we have \( R' \otimes_R J \subset R' \otimes_R I \), and both are ideals over \( R'[x_1, \ldots, x_n] \). By construction \( g_j \in R' \otimes_R J \). Hence \( R' \otimes_R J = R' \otimes_R I \). By faithful flatness \( J = I \). \( \square \)

05N5 **Lemma 125.3.** Let \( R \) be a ring. Let \( I \subset R \) be an ideal. Let \( S \subset R \) be a multiplicative subset. Set \( R' = S^{-1}(R/I) = S^{-1}R/S^{-1}I \).

1. For any finite \( R' \)-module \( M' \) there exists a finite \( R \)-module \( M \) such that \( S^{-1}(M/IM) \cong M' \).

2. For any finitely presented \( R' \)-module \( M' \) there exists a finitely presented \( R \)-module \( M \) such that \( S^{-1}(M/IM) \cong M' \).

Proof. Proof of (1). Choose a short exact sequence \( 0 \to K' \to (R')_{\oplus n} \to M' \to 0 \). Let \( K \subset R_{\oplus n} \) be the inverse image of \( K' \) under the map \( R_{\oplus n} \to (R')_{\oplus n} \). Then \( M = R_{\oplus n}/K \) works.

Proof of (2). Choose a presentation \( (R')_{\oplus m} \to (R')_{\oplus n} \to M' \to 0 \). Suppose that the first map is given by the matrix \( A' = (a'_{ij}) \) and the second map is determined by generators \( x_i' \in M' \), \( i = 1, \ldots, n \). As \( R' = S^{-1}(R/I) \) we can choose \( s \in S \) and a matrix \( A = (a_{ij}) \) with coefficients in \( R \) such that \( a'_{ij} = a_{ij}/s \mod S^{-1}I \). Let

\[
A' = (a'_{ij}) = A = (a_{ij}) \text{ mod } S^{-1}I.
\]

Proof. Proof of (1). Choose a short exact sequence \( 0 \to K' \to (R')_{\oplus n} \to M' \to 0 \). Let \( K \subset R_{\oplus n} \) be the inverse image of \( K' \) under the map \( R_{\oplus n} \to (R')_{\oplus n} \). Then \( M = R_{\oplus n}/K \) works.

Proof of (2). Choose a presentation \( (R')_{\oplus m} \to (R')_{\oplus n} \to M' \to 0 \). Suppose that the first map is given by the matrix \( A' = (a'_{ij}) \) and the second map is determined by generators \( x_i' \in M' \), \( i = 1, \ldots, n \). As \( R' = S^{-1}(R/I) \) we can choose \( s \in S \) and a matrix \( A = (a_{ij}) \) with coefficients in \( R \) such that \( a'_{ij} = a_{ij}/s \mod S^{-1}I \). Let
Let $R$ be the finitely presented $R$-module with presentation $R^{\oplus m} \to R^{\oplus n} \to M \to 0$ where the first map is given by the matrix $A$ and the second map is determined by generators $x_i \in M$, $i = 1, \ldots, n$. Then the map $M \to M'$, $x_i \mapsto x'_i$ induces an isomorphism $S^{-1}(M/M) \cong M'$.

**Lemma 125.4.** Let $R$ be a ring. Let $S \subset R$ be a multiplicative subset. Let $M$ be an $R$-module.

1. If $S^{-1}M$ is a finite $S^{-1}R$-module then there exists a finite $R$-module $M'$ and a map $M' \to M$ which induces an isomorphism $S^{-1}M' \to S^{-1}M$.
2. If $S^{-1}M$ is a finitely presented $S^{-1}R$-module then there exists an $R$-module $M'$ of finite presentation and a map $M' \to M$ which induces an isomorphism $S^{-1}M' \to S^{-1}M$.

**Proof.** Proof of (1). Let $x_1, \ldots, x_n \in M$ be elements which generate $S^{-1}M$ as an $S^{-1}R$-module. Let $M'$ be the $R$-submodule of $M$ generated by $x_1, \ldots, x_n$.

Proof of (2). Let $x_1, \ldots, x_n \in M$ be elements which generate $S^{-1}M$ as an $S^{-1}R$-module. Let $K = \text{Ker}(R^{\oplus n} \to M)$ where the map is given by the rule $(a_1, \ldots, a_n) \mapsto \sum a_ix_i$. By Lemma 5.3 we see that $S^{-1}K$ is a finite $S^{-1}R$-module. By (1) we can find a finite submodule $K' \subset K$ with $S^{-1}K' = S^{-1}K$. Take $M' = \text{Coker}(K' \to R^{\oplus n})$.

**Lemma 125.5.** Let $R$ be a ring. Let $p \subset R$ be a prime ideal. Let $M$ be an $R$-module.

1. If $M_p$ is a finite $R_p$-module then there exists a finite $R$-module $M'$ and a map $M' \to M$ which induces an isomorphism $M'_p \to M_p$.
2. If $M_p$ is a finitely presented $R_p$-module then there exists an $R$-module $M'$ of finite presentation and a map $M' \to M$ which induces an isomorphism $M'_p \to M_p$.

**Proof.** This is a special case of Lemma 125.4.

**Lemma 125.6.** Let $\varphi : R \to S$ be a ring map. Let $q \subset S$ be a prime lying over $p \subset R$. Assume

1. $S$ is of finite presentation over $R$,
2. $\varphi$ induces an isomorphism $R_p \cong S_q$.

Then there exist $f \in R$, $f \notin p$ and an $R_f$-algebra $C$ such that $S_f \cong R_f \times C$ as $R_f$-algebras.

**Proof.** Write $S = R[x_1, \ldots, x_n]/(g_1, \ldots, g_m)$. Let $a_i \in R_p$ be an element mapping to the image of $x_i$ in $S_q$. Write $a_i = b_i/f$ for some $f \in R$, $f \notin p$. After replacing $R$ by $R_f$ and $x_i$ by $x_i - a_i$ we may assume that $S = R[x_1, \ldots, x_n]/(g_1, \ldots, g_m)$ such that $x_i$ maps to zero in $S_q$. Then if $c_j$ denotes the constant term of $g_j$ we conclude that $c_j$ maps to zero in $R_p$. After another replacement of $R$ we may assume that the constant coefficients $c_j$ of the $g_j$ are zero. Thus we obtain an $R$-algebra map $S \to R$, $x_i \mapsto 0$ whose kernel is the ideal $(x_1, \ldots, x_n)$.

Note that $q = pS + (x_1, \ldots, x_n)$. Write $g_j = \sum a_{ij}x_i + \text{h.o.t.}$. Since $S_q = R_p$ we have $p \otimes \kappa(p) = q \otimes \kappa(q)$. It follows that $m \times n$ matrix $A = (a_{ij})$ defines a surjective map $\kappa(p)^{\oplus m} \to \kappa(p)^{\oplus n}$. Thus after inverting some element of $R$ not in $p$ we may assume there are $b_{ij} \in R$ such that $\sum b_{ij}g_j = x_i + \text{h.o.t.}$. We conclude that
Lemma 125.7. Let $R$ be a ring. Let $S$, $S'$ be of finite presentation over $R$. Let $q \subset S$ and $q' \subset S'$ be primes. If $S_q \cong S'_q'$, as $R$-algebras, then there exist $g \in S$, $g' \in S'$, $g \notin q$ and $g' \notin q'$ such that $S_q \cong S'_q'$, as $R$-algebras.

**Proof.** Let $\psi : S_q \to S'_q'$ be the isomorphism of the hypothesis of the lemma. Write $S = R[x_1, \ldots, x_n]/(f_1, \ldots, f_r)$ and $S' = R[y_1, \ldots, y_m]/J$. For each $i = 1, \ldots, n$ choose a fraction $h_i/g_i$ with $h_i, g_i \in R[y_1, \ldots, y_m]$ and $g_i \mod J$ not in $q'$ which represents the image of $x_i$ under $\psi$. After replacing $S'$ by $S'_g \cap \cdots \cap S'_{g_{m+1}}$ and $R[y_1, \ldots, y_{m+1}]$ (mapping $y_{m+1}$ to $1/(g_1 \ldots g_n)$) we may assume that $\psi(x_i)$ is the image of some $h_i \in R[y_1, \ldots, y_m]$. Consider the elements $f_j(h_1, \ldots, h_n) \in R[y_1, \ldots, y_m]$. Since $\psi$ kills each $f_j$ we see that there exists a $g \in R[y_1, \ldots, y_m]$, $g \mod J \notin q'$ such that $g f_j(h_1, \ldots, h_n) \in J$ for each $j = 1, \ldots, r$. After replacing $S'$ by $S'_g$ and $R[y_1, \ldots, y_m]$ as before we may assume that $f_j(h_1, \ldots, h_n) \in J$. Thus we obtain a ring map $S \to S'$, $x_i \mapsto h_i$ which induces $\psi$ on local rings. By Lemma 6.2 the map $S \to S'$ is of finite presentation. By Lemma 125.6 we may assume that $S' = S \times C$. Thus localizing $S'$ at the idempotent corresponding to the factor $C$ we obtain the result. 

Lemma 125.8. Let $R$ be a ring. Let $I \subset R$ be a locally nilpotent ideal. Let $S \to S'$ be an $R$-algebra map such that $S \to S'/IS'$ is surjective and such that $S'$ is of finite type over $R$. Then $S \to S'$ is surjective.

**Proof.** Write $S' = R[x_1, \ldots, x_n]/K$ for some ideal $K$. By assumption there exist $g_j = x_j + \sum \delta_{j,i} x^i \in R[x_1, \ldots, x_n]$ with $\delta_{j,i} \in I$ and with $g_j \mod K \in \text{Im}(S \to S')$. Hence it suffices to show that $g_1, \ldots, g_m$ generate $R[x_1, \ldots, x_n]$. Let $R_0 \subset R$ be a finitely generated $\mathbf{Z}$-subalgebra of $R$ containing at least the $\delta_{j,i}$. Then $R_0 \cap I$ is a nilpotent ideal (by Lemma 31.5). It follows that $R_0[x_1, \ldots, x_n]$ is generated by $g_1, \ldots, g_m$ (because $x_j \mapsto g_j$ defines an automorphism of $R_0[x_1, \ldots, x_m]$; details omitted). Since $R$ is the union of the subrings $R_0$ we win.

Lemma 125.9. Let $R$ be a ring. Let $I \subset R$ be an ideal. Let $S \to S'$ be an $R$-algebra map. Let $I S \subset q \subset S$ be a prime ideal. Assume that

1. $S \to S'$ is surjective,
2. $S_q/IS_q \to S'_q/IS'_q$ is an isomorphism,
3. $S$ is of finite type over $R$,
4. $S'$ of finite presentation over $R$, and
5. $S'_q$ is flat over $R$.

Then $S_q \to S'_q$ is an isomorphism for some $g \in S$, $g \notin q$.

**Proof.** Let $J = \text{Ker}(S \to S')$. By Lemma 6.2 $J$ is a finitely generated ideal. Since $S'_q$ is flat over $R$ we see that $J_q/IS_q \subset S_q/IS_q$ (apply Lemma 38.12 to $0 \to J \to S \to S' \to 0$). By assumption (2) we see that $J_q/IS_q$ is zero. By Nakayama’s lemma (Lemma 19.1) we see that there exists a $g \in S$, $g \notin q$ such that $J_g = 0$. Hence $S_g \cong S'_q$ as desired.

Lemma 125.10. Let $R$ be a ring. Let $I \subset R$ be an ideal. Let $S \to S'$ be an $R$-algebra map. Assume that

1. $I$ is locally nilpotent,
(2) $S/IS \to S'/IS'$ is an isomorphism,
(3) $S$ is of finite type over $R$,
(4) $S'$ of finite presentation over $R$, and
(5) $S'$ is flat over $R$.

Then $S \to S'$ is an isomorphism.

**Proof.** By Lemma 125.8 the map $S \to S'$ is surjective. As $I$ is locally nilpotent, so are the ideals $IS$ and $IS'$ (Lemma 31.3). Hence every prime ideal $q$ of $S$ contains $IS$ and (trivially) $S_q/IS_q \cong S'_q/IS'_q$. Thus Lemma 125.9 applies and we see that $S_q \to S'_q$ is an isomorphism for every prime $q \subset S$. It follows that $S \to S'$ is injective for example by Lemma 22.1. □

126. Colimits and maps of finite presentation

**Lemma 126.1.** Let $R \to A$ be a ring map. Consider the category $\mathcal{I}$ of all diagrams of $R$-algebra maps $A' \to A$ with $A'$ finitely presented over $R$. Then $\mathcal{I}$ is filtered, and the colimit of the $A'$ over $\mathcal{I}$ is isomorphic to $A$.

**Proof.** The category $\mathcal{I}$ is nonempty as $R \to A$ is an object of it. Consider a pair of objects $A' \to A$, $A'' \to A$ of $\mathcal{I}$. Then $A' \otimes_R A'' \to A$ is in $\mathcal{I}$ (use Lemmas 6.2 and 13.2). The ring maps $A' \to A' \otimes_R A''$ and $A'' \to A' \otimes_R A''$ define arrows in $\mathcal{I}$ thereby proving the second defining property of a filtered category, see Categories, Definition 19.1. Finally, suppose that we have two morphisms $\sigma, \tau : A' \to A''$ in $\mathcal{I}$. If $x_1, \ldots, x_r \in A'$ are generators of $A'$ as an $R$-algebra, then we can consider $A''' = A''/(\sigma(x_i) - \tau(x_i))$. This is a finitely presented $R$-algebra and the given $R$-algebra map $A'' \to A$ factors through the surjection $\nu : A'' \to A'''$. Thus $\nu$ is a morphism in $\mathcal{I}$ equalizing $\sigma$ and $\tau$ as desired.

The fact that our index category is cofiltered means that we may compute the value of $B = \text{colim}_{A' \to A} A'$ in the category of sets (some details omitted; compare with the discussion in Categories, Section 19). To see that $B \to A$ is surjective, for every $a \in A$ we can use $R[x] \to A$, $x \mapsto a$ to see that $a$ is in the image of $B \to A$. Conversely, if $b \in B$ is mapped to zero in $A$, then we can find $A' \to A$ in $\mathcal{I}$ and $a' \in A'$ which maps to $b$. Then $A'/(a') \to A$ is in $\mathcal{I}$ as well and the map $A' \to B$ factors as $A' \to A'/(a') \to B$ which shows that $b = 0$ as desired. □

Often it is easier to think about colimits over preordered sets. Let $(\Lambda, \geq)$ a preordered set. A system of rings over $\Lambda$ is given by a ring $R_\lambda$ for every $\lambda \in \Lambda$, and a morphism $R_\lambda \to R_\mu$ whenever $\lambda \leq \mu$. These morphisms have to satisfy the rule that $R_\lambda \to R_\mu \to R_\nu$ is equal to the map $R_\lambda \to R_\nu$ for all $\lambda \leq \mu \leq \nu$. See Categories, Section 21. We will often assume that $(\mathcal{I}, \leq)$ is directed, which means that $\Lambda$ is nonempty and given $\lambda, \mu \in \Lambda$ there exists a $\nu \in \Lambda$ with $\lambda \leq \nu$ and $\mu \leq \nu$. Recall that the colimit $\text{colim}_\Lambda R_\lambda$ is sometimes called a “direct limit” in this case (but we will not use this terminology).

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10To avoid set theoretical difficulties we consider only $A' \to A$ such that the underlying set of $A'$ is a subset of a fixed set of sufficiently large cardinality; for example the power set of $A$. 

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Let $R \to A$ be a ring map. There exists a directed system $A_\lambda$ of $R$-algebras of finite presentation such that $A = \varinjlim A_\lambda$. If $A$ is of finite type over $R$ we may arrange it so that all the transition maps in the system of $A_\lambda$ are surjective.

**Proof.** The first proof is that this follows from Lemma 126.1 and Categories, Lemma 21.5

Second proof. Compare with the proof of Lemma 8.12. Consider any finite subset $S \subset A$, and any finite collection of polynomial relations $E$ among the elements of $S$. So each $s \in S$ corresponds to $x_s \in A$ and each $e \in E$ consists of a polynomial $f_e \in R[X_s; s \in S]$ such that $f_e(x_s) = 0$. Let $A_{S,E} = R[X_s; s \in S]/(f_e; e \in E)$ which is a finitely presented $R$-algebra. There are canonical maps $A_{S,E} \to A$. If $S \subset S'$ and if the elements of $E$ correspond, via the map $R[X_s; s \in S] \to R[X_s; s \in S']$, to a subset of $E'$, then there is an obvious map $A_{S,E} \to A_{S',E'}$ commuting with the maps to $A$. Thus, setting $\Lambda$ equal the set of pairs $(S,E)$ with ordering by inclusion as above, we get a directed partially ordered set. It is clear that the colimit of this directed system is $A$.

For the last statement, suppose $A = R[x_1, \ldots, x_n]/I$. In this case, consider the subset $\Lambda' \subset \Lambda$ consisting of those systems $(S,E)$ above with $S = \{x_1, \ldots, x_n\}$. It is easy to see that still $A = \varinjlim_{\lambda \in \Lambda'} A_\lambda$. Moreover, the transition maps are clearly surjective.

It turns out that we can characterize ring maps of finite presentation as follows. This in some sense says that the algebras of finite presentation are the “compact” objects in the category of $R$-algebras.

**Lemma 126.3.** Let $\varphi : R \to S$ be a ring map. The following are equivalent

1. $\varphi$ is of finite presentation,
2. for every directed system $A_\lambda$ of $R$-algebras the map
   \[ \varinjlim \text{Hom}_R(S, A_\lambda) \to \text{Hom}_R(S, \varinjlim A_\lambda) \]
   is bijective, and
3. for every directed system $A_\lambda$ of $R$-algebras the map
   \[ \varinjlim \text{Hom}_R(S, A_\lambda) \to \text{Hom}_R(S, \varinjlim A_\lambda) \]
   is surjective.

**Proof.** Assume (1) and write $S = R[x_1, \ldots, x_n]/(f_1, \ldots, f_m)$. Let $A = \varinjlim A_\lambda$. Observe that an $R$-algebra homomorphism $S \to A$ or $S \to A_\lambda$ is determined by the images of $x_1, \ldots, x_n$. Hence it is clear that $\varinjlim \text{Hom}_R(S, A_\lambda) \to \text{Hom}_R(S, A)$ is injective. To see that it is surjective, let $\chi : S \to A$ be an $R$-algebra homomorphism. Then each $x_i$ maps to some element in the image of some $A_\lambda$. We may pick $\mu \geq \lambda$ and assume $\chi(x_i)$ is the image of $y_i \in A_\mu$ for $i = 1, \ldots, n$. Consider $z_j = f_j(y_1, \ldots, y_n) \in A_\mu$. Since $\chi$ is a homomorphism the image of $z_j$ in $A = \varinjlim A_\lambda$ is zero. Hence there exists a $\mu_j \geq \mu$ such that $z_j$ maps to zero in $A_{\mu_j}$. Pick $\nu \geq \mu_j$, $j = 1, \ldots, m$. Then the images of $z_1, \ldots, z_m$ are zero in $A_\nu$. This exactly means that the $y_i$ map to elements $y'_i \in A_\nu$ which satisfy the relations.
\(f_j(y'_1, \ldots, y'_n) = 0\). Thus we obtain a ring map \(S \to A\). This shows that (1) implies (2).

It is clear that (2) implies (3). Assume (3). By Lemma 126.2 we may write \(S = \text{colim}_\lambda S_\lambda\) with \(S_\lambda\) of finite presentation over \(R\). Then the identity map factors as

\[ S \to S_\lambda \to S \]

for some \(\lambda\). This implies that \(S\) is finitely presented over \(S_\lambda\) by Lemma 6.2 part (4) applied to \(S \to S_\lambda \to S\). Applying part (2) of the same lemma to \(R \to S_\lambda \to S\) we conclude that \(S\) is of finite presentation over \(R\). \(\square\)

Using the basic material above we can give a criterion of when an algebra \(A\) is a filtered colimit of given type of algebra as follows.

**Lemma 126.4.** Let \(R \to \Lambda\) be a ring map. Let \(\mathcal{E}\) be a set of \(R\)-algebras such that each \(A \in \mathcal{E}\) is of finite presentation over \(R\). Then the following two statements are equivalent

1. \(\Lambda\) is a filtered colimit of elements of \(\mathcal{E}\), and
2. for any \(R\) algebra map \(A \to \Lambda\) with \(A\) of finite presentation over \(R\) we can find a factorization \(A \to B \to \Lambda\) with \(B \in \mathcal{E}\).

**Proof.** Suppose that \(\mathcal{I} \to \mathcal{E}, i \mapsto A_i\) is a filtered diagram such that \(\Lambda = \text{colim}_i A_i\). Let \(A \to \Lambda\) be an \(R\)-algebra map with \(A\) of finite presentation over \(R\). Then we get a factorization \(A \to A_i \to \Lambda\) by applying Lemma 126.3. Thus (1) implies (2).

Consider the category \(\mathcal{I}\) of Lemma 126.1. By Categories, Lemma 19.3 the full subcategory \(\mathcal{J}\) consisting of those \(A \to \Lambda\) with \(A \in \mathcal{E}\) is cofinal in \(\mathcal{I}\) and is a filtered category. Then \(\Lambda\) is also the colimit over \(\mathcal{J}\) by Categories, Lemma 17.2. \(\square\)

But more is true. Namely, given \(R = \text{colim}_\lambda R_\lambda\) we see that the category of finitely presented \(R\)-modules is equivalent to the limit of the category of finitely presented \(R_\lambda\)-modules. Similarly for the categories of finitely presented \(R\)-algebras.

**Lemma 126.5.** Let \(A\) be a ring and let \(M, N\) be \(A\)-modules. Suppose that \(R = \text{colim}_{i \in I} R_i\) is a directed colimit of \(A\)-algebras.

1. If \(M\) is a finite \(A\)-module, and \(u, u' : M \to N\) are \(A\)-module maps such that \(u \otimes 1 = u' \otimes 1 : M \otimes_A R \to N \otimes_A R\) then for some \(i\) we have \(u \otimes 1 = u' \otimes 1 : M \otimes_A R_i \to N \otimes_A R_i\).
2. If \(N\) is a finite \(A\)-module and \(u : M \to N\) is an \(A\)-module map such that \(u \otimes 1 : M \otimes_A R \to N \otimes_A R\) is surjective, then for some \(i\) the map \(u \otimes 1 : M \otimes_A R_i \to N \otimes_A R_i\) is surjective.
3. If \(N\) is a finitely presented \(A\)-module, and \(v : N \otimes_A R \to M \otimes_A R\) is an \(R\)-module map, then there exists an \(i\) and an \(R_i\)-module map \(v_i : N \otimes_A R_i \to M \otimes_A R_i\) such that \(v = v_i \otimes 1\).
4. If \(M\) is a finite \(A\)-module, \(N\) is a finitely presented \(A\)-module, and \(u : M \to N\) is an \(A\)-module map such that \(u \otimes 1 : M \otimes_A R \to N \otimes_A R\) is an isomorphism, then for some \(i\) the map \(u \otimes 1 : M \otimes_A R_i \to N \otimes_A R_i\) is an isomorphism.

**Proof.** To prove (1) assume \(u\) is as in (1) and let \(x_1, \ldots, x_m \in M\) be generators. Since \(N \otimes_A R = \text{colim}_i N \otimes_A R_i\) we may pick an \(i \in I\) such that \(u(x_j) \otimes 1 = u'(x_j) \otimes 1\) in \(M \otimes_A R_i, j = 1, \ldots, m\). For such an \(i\) we have \(u \otimes 1 = u' \otimes 1 : M \otimes_A R_i \to N \otimes_A R_i\).
To prove (2) assume $u \otimes 1$ surjective and let $y_1, \ldots, y_m \in N$ be generators. Since $N \otimes_A R = \operatorname{colim}_i N \otimes_A R_i$ we may pick an $i \in I$ and $z_j \in M \otimes_A R_i$, $j = 1, \ldots, m$ whose images in $N \otimes_A R$ equal $y_j \otimes 1$. For such an $i$ the map $u \otimes 1 : M \otimes_A R_i \to N \otimes_A R_i$ is surjective.

To prove (3) let $y_1, \ldots, y_m \in N$ be generators. Let $K = \operatorname{Ker}(A^{\otimes m} \to N)$ where the map is given by the rule $(a_1, \ldots, a_m) \mapsto \sum a_j x_j$. Let $k_1, \ldots, k_t$ be generators for $K$. Say $k_s = (k_{s1}, \ldots, k_{sm})$. Since $M \otimes_A R = \operatorname{colim}_i M \otimes_A R_i$ we may pick an $i \in I$ and $z_j \in M \otimes_A R_i$, $j = 1, \ldots, m$ whose images in $M \otimes_A R$ equal $v(y_j \otimes 1)$. We want to use the $z_j$ to define the map $v_i : N \otimes_A R_i \to M \otimes_A R_i$. Since $K \otimes_A R_i \to R_i^{\otimes m} \to N \otimes_A R_i \to 0$ is a presentation, it suffices to check that $\xi_s = \sum_j k_{sj} z_j$ is zero in $M \otimes_A R_i$ for each $s = 1, \ldots, t$. This may not be the case, but since the image of $\xi_s$ in $M \otimes_A R$ is zero we see that it will be the case after increasing $i$ a bit.

To prove (4) assume $u \otimes 1$ is an isomorphism, that $M$ is finite, and that $N$ is finitely presented. Let $v : N \otimes_A R \to M \otimes_A R$ be an inverse to $u \otimes 1$. Apply part (3) to get a map $v_i : N \otimes_A R_i \to M \otimes_A R_i$ for some $i$. Apply part (1) to see that, after increasing $i$ we have $v_i \circ (u \otimes 1) = \operatorname{id}_{M \otimes_A R_i}$ and $(u \otimes 1) \circ v_i = \operatorname{id}_{N \otimes_A R_i}$. \hfill \Box

**Lemma 126.6.** Suppose that $R = \operatorname{colim}_{\lambda \in \Lambda} R_\lambda$ is a directed colimit of rings. Then the category of finitely presented $R$-modules is the colimit of the categories of finitely presented $R_\lambda$-modules. More precisely

1. Given a finitely presented $R$-module $M$ there exists a $\lambda \in \Lambda$ and a finitely presented $R_\lambda$-module $M_\lambda$ such that $M \cong M_\lambda \otimes_{R_\lambda} R$.
2. Given a $\lambda \in \Lambda$, finitely presented $R_\lambda$-modules $M_\lambda, N_\lambda$, and an $R$-module map $\varphi : M_\lambda \otimes_{R_\lambda} R \to N_\lambda \otimes_{R_\lambda} R$, then there exists a $\mu \geq \lambda$ and an $R_\mu$-module map $\varphi_\mu : M_\mu \otimes_{R_\mu} R_\mu \to N_\mu \otimes_{R_\mu} R_\mu$ such that $\varphi = \varphi_\mu \otimes 1_R$.
3. Given a $\lambda \in \Lambda$, finitely presented $R_\lambda$-modules $M_\lambda, N_\lambda$, and $R$-module maps $\varphi_\lambda, \psi_\lambda : M_\lambda \to N_\lambda$ such that $\varphi \otimes 1_R = \psi \otimes 1_R$, then $\varphi_\lambda \otimes 1_{R_\lambda} = \psi_\lambda \otimes 1_{R_\lambda}$ for some $\mu \geq \lambda$.

**Proof.** To prove (1) choose a presentation $R^{\otimes m} \to R^{\otimes n} \to M \to 0$. Suppose that the first map is given by the matrix $A = (a_{ij})$. We can choose a $\lambda \in \Lambda$ and a matrix $A_\lambda = (a_{\lambda,ij})$ with coefficients in $R_\lambda$ which maps to $A$ in $R$. Then we simply let $M_\lambda$ be the $R_\lambda$-module with presentation $R^{\otimes m}_\lambda \to R^{\otimes n}_\lambda \to M_\lambda \to 0$ where the first arrow is given by $A_\lambda$.

Parts (2) and (3) follow from Lemma 126.5. \hfill \Box

**Lemma 126.7.** Let $A$ be a ring and let $B, C$ be $A$-algebras. Suppose that $R = \operatorname{colim}_{\lambda \in \Lambda} R_\lambda$ is a directed colimit of $A$-algebras.

1. If $B$ is a finite type $A$-algebra, and $u, u' : B \to C$ are $A$-algebra maps such that $u \otimes 1 = u' \otimes 1 : B \otimes_A R \to C \otimes_A R$ then for some $i$ we have $u \otimes 1 = u' \otimes 1 : B \otimes_A R_i \to C \otimes_A R_i$.
2. If $C$ is a finite type $A$-algebra and $u : B \to C$ is an $A$-algebra map such that $u \otimes 1 : B \otimes_A R \to C \otimes_A R$ is surjective, then for some $i$ the map $u \otimes 1 : B \otimes_A R_i \to C \otimes_A R_i$ is surjective.
3. If $C$ is of finite presentation over $A$ and $v : C \otimes_A R \to B \otimes_A R$ is an $R$-algebra map, then there exists an $i$ and an $R_i$-algebra map $v_i : C \otimes_A R_i \to B \otimes_A R_i$ such that $v = v_i \otimes 1$.
(4) If $B$ is a finite type $A$-algebra, $C$ is a finitely presented $A$-algebra, and $u \otimes 1 : B \otimes_A R \to C \otimes_A R$ is an isomorphism, then for some $i$ the map $u \otimes 1 : B \otimes_A R_i \to C \otimes_A R_i$ is an isomorphism.

**Proof.** To prove (1) assume $u$ is as in (1) and let $x_1, \ldots, x_m \in B$ be generators. Since $B \otimes_A R = \text{colim}_i B \otimes_A R_i$, we may pick an $i \in I$ such that $u(x_j) \otimes 1 = u'(x_j) \otimes 1$ in $B \otimes_A R_i$, $j = 1, \ldots, m$. For such an $i$ we have $u \otimes 1 = u' \otimes 1 : B \otimes_A R_i \to C \otimes_A R_i$.

To prove (2) assume $u \otimes 1$ surjective and let $y_1, \ldots, y_m \in C$ be generators. Since $B \otimes_A R = \text{colim}_i B \otimes_A R_i$, we may pick an $i \in I$ and $z_j \in B \otimes_A R_i$, $j = 1, \ldots, m$ whose images in $C \otimes_A R$ equal $y_j \otimes 1$. For such $i$ the map $u \otimes 1 : B \otimes_A R_i \to C \otimes_A R_i$ is surjective.

To prove (3) let $c_1, \ldots, c_m \in C$ be generators. Let $K = \text{Ker}(A[x_1, \ldots, x_m] \to N)$ where the map is given by the rule $x_j \mapsto \sum c_j$. Let $f_1, \ldots, f_i$ be generators for $K$ as an ideal in $A[x_1, \ldots, x_m]$. We think of $f_j = f_j(x_1, \ldots, x_m)$ as a polynomial. Since $B \otimes_A R = \text{colim}_i B \otimes_A R_i$, we may pick an $i \in I$ and $z_j \in B \otimes_A R_i$, $j = 1, \ldots, m$ whose images in $B \otimes_A R$ equal $v(c_j \otimes 1)$. We want to use the $z_j$ to define a map $v_i : C \otimes_A R_i \to B \otimes_A R_i$. Since $K \otimes_A R_i \to R_i[x_1, \ldots, x_m] \to C \otimes_A R_i \to 0$ is a presentation, it suffices to check that $\xi_s = f_s(z_1, \ldots, z_m)$ is zero in $B \otimes_A R_i$ for each $s = 1, \ldots, t$. This may not be the case, but since the image of $\xi_s$ in $B \otimes_A R$ is zero we see that it will be the case after increasing $i$ a bit.

To prove (4) assume $u \otimes 1$ is an isomorphism, that $B$ is a finite type $A$-algebra, and that $C$ is a finitely presented $A$-algebra. Let $u : B \otimes_A R \to C \otimes_A R$ be an inverse to $u \otimes 1$. Let $v_i : C \otimes_A R_i \to B \otimes_A R_i$ be as in part (3). Apply part (1) to see that, after increasing $i$ we have $v_i \circ (u \otimes 1) = \text{id}_{B \otimes_A R_i}$ and $(u \otimes 1) \circ v_i = \text{id}_{C \otimes_A R_i}$. □

**Lemma 05N9** Suppose that $R = \text{colim}_{\lambda \in \Lambda} R_\lambda$ is a directed colimit of rings. Then the category of finitely presented $R$-algebras is the colimit of the categories of finitely presented $R_\lambda$-algebras. More precisely

1. Given a finitely presented $R$-algebra $A$ there exists a $\lambda \in \Lambda$ and a finitely presented $R_\lambda$-algebra $A_\lambda$ such that $A \cong A_\lambda \otimes_{R_\lambda} R$.

2. Given a $\lambda \in \Lambda$, finitely presented $R_\lambda$-algebras $A_\lambda, B_\lambda$, and an $R$-algebra map $\varphi : A_\lambda \otimes_{R_\lambda} R \to B_\lambda \otimes_{R_\lambda} R$, then there exists a $\mu \geq \lambda$ and an $R_\mu$-algebra map $\varphi_\mu : A_\lambda \otimes_{R_\lambda} R_\mu \to B_\lambda \otimes_{R_\lambda} R_\mu$ such that $\varphi = \varphi_\mu \otimes 1_R$.

3. Given a $\lambda \in \Lambda$, finitely presented $R_\lambda$-algebras $A_\lambda, B_\lambda$, and $R_\lambda$-algebra maps $\varphi_\lambda, \psi_\lambda : A_\lambda \to B_\lambda$ such that $\varphi \otimes 1_R = \psi \otimes 1_R$, then $\varphi \otimes 1_{R_\mu} = \psi \otimes 1_{R_\mu}$ for some $\mu \geq \lambda$.

**Proof.** To prove (1) choose a presentation $A = R[x_1, \ldots, x_n]/(f_1, \ldots, f_m)$. We can choose a $\lambda \in \Lambda$ and elements $f_{\lambda,j} \in R_\lambda[x_1, \ldots, x_n]$ mapping to $f_j \in R[x_1, \ldots, x_n]$. Then we simply let $A_\lambda = R_\lambda[x_1, \ldots, x_n]/(f_{\lambda,1}, \ldots, f_{\lambda,m})$.

Parts (2) and (3) follow from Lemma 126.7 □

**Lemma 00QT** Suppose $R \to S$ is a local homomorphism of local rings. There exists a directed system $(\Lambda, \leq)$, and a system of local homomorphisms $R_\lambda \to S_\lambda$ of local rings such that

1. The colimit of the system $R_\lambda \to S_\lambda$ is equal to $R \to S$.

2. Each $R_\lambda$ is essentially of finite type over $\mathbb{Z}$.

3. Each $S_\lambda$ is essentially of finite type over $R_\lambda$. 
Proof. Denote $\varphi : R \to S$ the ring map. Let $m \subset R$ be the maximal ideal of $R$ and let $n \subset S$ be the maximal ideal of $S$. Let

$$\Lambda = \{(A, B) \mid A \subset R, B \subset S, \# A < \infty, \# B < \infty, \varphi(A) \subset B\}.$$ 

As partial ordering we take the inclusion relation. For each $\lambda = (A, B) \in \Lambda$ we let $R'_\lambda$ be the sub $\mathbb{Z}$-algebra generated by $a \in A$, and we let $S'_\lambda$ be the sub $\mathbb{Z}$-algebra generated by $b, b \in B$. Let $R_\lambda$ be the localization of $R'_\lambda$ at the prime ideal $R'_\lambda \cap m$ and let $S_\lambda$ be the localization of $S'_\lambda$ at the prime ideal $S'_\lambda \cap n$. In a picture

$$\begin{array}{ccc}
B & \longrightarrow & S'_\lambda \longrightarrow S_\lambda \longrightarrow S \\
\uparrow & & \uparrow & & \uparrow \\
A & \longrightarrow & R'_\lambda \longrightarrow R_\lambda \longrightarrow R
\end{array}$$

The transition maps are clear. We leave the proofs of the other assertions to the reader. \hfill \Box

Lemma 126.10. Suppose $R \to S$ is a local homomorphism of local rings. Assume that $S$ is essentially of finite type over $R$. Then there exists a directed set $(\Lambda, \leq)$, and a system of local homomorphisms $R_\lambda \to S_\lambda$ of local rings such that

1. The colimit of the system $R_\lambda \to S_\lambda$ is equal to $R \to S$.
2. Each $R_\lambda$ is essentially of finite type over $\mathbb{Z}$.
3. Each $S_\lambda$ is essentially of finite type over $R_\lambda$.
4. For each $\lambda \leq \mu$ the map $S_\lambda \otimes_{R_\lambda} R_\mu \to S_\mu$ presents $S_\mu$ as the localization of a quotient of $S_\lambda \otimes_{R_\lambda} R_\mu$.

Proof. Denote $\varphi : R \to S$ the ring map. Let $m \subset R$ be the maximal ideal of $R$ and let $n \subset S$ be the maximal ideal of $S$. Let $x_1, \ldots, x_n \in S$ be elements such that $S$ is a localization of the sub $R$-algebra of $S$ generated by $x_1, \ldots, x_n$. In other words, $S$ is a quotient of a localization of the polynomial ring $R[x_1, \ldots, x_n]$. Let $\Lambda = \{A \subset R \mid \# A < \infty\}$ be the set of finite subsets of $R$. As partial ordering we take the inclusion relation. For each $\lambda = A \in \Lambda$ we let $R'_\lambda$ be the sub $\mathbb{Z}$-algebra generated by $a \in A$, and we let $S'_\lambda$ be the sub $\mathbb{Z}$-algebra generated by $\varphi(a), a \in A$ and the elements $x_1, \ldots, x_n$. Let $R_\lambda$ be the localization of $R'_\lambda$ at the prime ideal $R'_\lambda \cap m$ and let $S_\lambda$ be the localization of $S'_\lambda$ at the prime ideal $S'_\lambda \cap n$. In a picture

$$\begin{array}{ccc}
\varphi(A) \amalg \{x_i\} & \longrightarrow & S'_\lambda \longrightarrow S_\lambda \longrightarrow S \\
\uparrow & & \uparrow & & \uparrow \\
A & \longrightarrow & R'_\lambda \longrightarrow R_\lambda \longrightarrow R
\end{array}$$

It is clear that if $A \subset B$ corresponds to $\lambda \leq \mu$ in $\Lambda$, then there are canonical maps $R_\lambda \to R_\mu$, and $S_\lambda \to S_\mu$ and we obtain a system over the directed set $\Lambda$.

The assertion that $R = \text{colim} R_\lambda$ is clear because all the maps $R_\lambda \to R$ are injective and any element of $R$ eventually is in the image. The same argument works for $S = \text{colim} S_\lambda$. Assertions (2), (3) are true by construction. The final assertion holds because clearly the maps $S'_\lambda \otimes_{R'_\lambda} R_\mu \to S'_\mu$ are surjective. \hfill \Box
Lemma 126.11. Suppose that $R \to S$ is a local homomorphism of local rings. Assume that $S$ is essentially of finite presentation over $R$. Then there exists a directed set $(\Lambda, \leq)$, and a system of local homomorphism $R_\lambda \to S_\lambda$ of local rings such that

1. The colimit of the system $R_\lambda \to S_\lambda$ is equal to $R \to S$.
2. Each $R_\lambda$ is essentially of finite type over $\mathbb{Z}$.
3. Each $S_\lambda$ is essentially of finite type over $R_\lambda$.
4. For each $\lambda \leq \mu$ the map $S_\lambda \otimes_{R_\lambda} R_\mu \to S_\mu$ presents $S_\mu$ as the localization of $S_\lambda \otimes_{R_\lambda} R_\mu$ at a prime ideal.

Proof. By assumption we may choose an isomorphism $\Phi : (R[x_1, \ldots, x_n]/I)_{q} \to S$ where $I \subset R[x_1, \ldots, x_n]$ is a finitely generated ideal, and $q \subset R[x_1, \ldots, x_n]/I$ is a prime. (Note that $R \cap q$ is equal to the maximal ideal $m$ of $R$.) We also choose generators $f_1, \ldots, f_m \in I$ for the ideal $I$. Write $R$ in any way as a colimit $R = \operatorname{colim} R_\lambda$ over a directed set $(\Lambda, \leq)$, with each $R_\lambda$ local and essentially of finite type over $\mathbb{Z}$. There exists some $\lambda_0 \in \Lambda$ such that $f_j$ is the image of some $f_{j,\lambda_0} \in R_{\lambda_0}[x_1, \ldots, x_n]$. For all $\lambda \geq \lambda_0$ denote $f_{j,\lambda} \in R_\lambda[x_1, \ldots, x_n]$ the image of $f_{j,\lambda_0}$. Thus we obtain a system of ring maps

$$R_{\lambda}[x_1, \ldots, x_n]/(f_{1,\lambda}, \ldots, f_{n,\lambda}) \to R[x_1, \ldots, x_n]/(f_1, \ldots, f_n) \to S$$

Set $q_\lambda$ the inverse image of $q$. Set $S_\lambda = (R_\lambda[x_1, \ldots, x_n]/(f_{1,\lambda}, \ldots, f_{n,\lambda}))_{q_\lambda}$. We leave it to the reader to see that this works.

Remark 126.12. Suppose that $R \to S$ is a local homomorphism of local rings, which is essentialy of finite presentation. Take any system $(\Lambda, \leq)$, $R_\lambda \to S_\lambda$ with the properties listed in Lemma 126.10. What may happen is that this is the “wrong” system, namely, it may happen that property (4) of Lemma 126.11 is not satisfied. Here is an example. Let $k$ be a field. Consider the ring

$$R = k[[z, y_1, y_2, \ldots]]/(y_1^2 - z y_{i+1}).$$

Set $S = R/zR$. As system take $\Lambda = \mathbb{N}$ and $R_n = k[[z, y_1, \ldots, y_n]]/(y_1^2 - z y_{i+1})_{i \leq n-1}$ and $S_n = R_n/zR_n$. All the maps $S_n \otimes_{R_n} R_{n+1} \to S_{n+1}$ are not localizations (i.e., isomorphisms in this case) since $1 \otimes y_{n+1}$ maps to zero. If we take instead $S'_n = R_n/zR_n$ then the maps $S'_n \otimes_{R_n} R_{n+1} \to S'_{n+1}$ are isomorphisms. The moral of this remark is that we do have to be a little careful in choosing the systems.

Lemma 126.13. Suppose $R \to S$ is a local homomorphism of local rings. Assume that $S$ is essentially of finite presentation over $R$. Let $M$ be a finitely presented $S$-module. Then there exists a directed set $(\Lambda, \leq)$, and a system of local homomorphisms $R_\lambda \to S_\lambda$ of local rings together with $S_\lambda$-modules $M_\lambda$, such that

1. The colimit of the system $R_\lambda \to S_\lambda$ is equal to $R \to S$. The colimit of the system $M_\lambda$ is $M$.
2. Each $R_\lambda$ is essentially of finite type over $\mathbb{Z}$.
3. Each $S_\lambda$ is essentially of finite type over $R_\lambda$.
4. Each $M_\lambda$ is finite over $S_\lambda$.
5. For each $\lambda \leq \mu$ the map $S_\lambda \otimes_{R_\lambda} R_\mu \to S_\mu$ presents $S_\mu$ as the localization of $S_\lambda \otimes_{R_\lambda} R_\mu$ at a prime ideal.
6. For each $\lambda \leq \mu$ the map $M_\lambda \otimes_{S_\lambda} S_\mu \to M_\mu$ is an isomorphism.
Proof. As in the proof of Lemma 126.11 we may first write \( R = \operatorname{colim} R_\lambda \) as a directed colimit of local \( \mathbf{Z} \)-algebras which are essentially of finite type. Next, we may assume that for some \( \lambda_1 \in \Lambda \) there exist \( f_{j,\lambda_1} \in R_{\lambda_1}[x_1, \ldots, x_n] \) such that

\[
S = \operatorname{colim}_{\lambda \geq \lambda_1} S_\lambda, \quad \text{with } S_\lambda = (R_\lambda[x_1, \ldots, x_n]/(f_{1,\lambda_1}, \ldots, f_{m,\lambda_1}))_{q_\lambda}
\]

Choose a presentation

\[
S^{\otimes s} \rightarrow S^{\otimes t} \rightarrow M \rightarrow 0
\]

of \( M \) over \( S \). Let \( A \in \operatorname{Mat}(t \times s, S) \) be the matrix of the presentation. For some \( \lambda_2 \in \Lambda, \lambda_2 \geq \lambda_1 \) we can find a matrix \( A_{\lambda_2} \in \operatorname{Mat}(t \times s, S_{\lambda_2}) \) which maps to \( A \). For all \( \lambda \geq \lambda_2 \) we let \( M_\lambda = \operatorname{Coker}(S_\lambda^{\otimes s} \rightarrow A_{\lambda} S_\lambda^{\otimes t}) \). We leave it to the reader to see that this works.

Lemma 126.14. Suppose \( R \to S \) is a ring map. Then there exists a directed set \((\Lambda, \leq)\), and a system of ring maps \( R_\lambda \to S_\lambda \) such that

1. The colimit of the system \( R_\lambda \to S_\lambda \) is equal to \( R \to S \).
2. Each \( R_\lambda \) is of finite type over \( \mathbf{Z} \).
3. Each \( S_\lambda \) is of finite type over \( R_\lambda \).

Proof. This is the non-local version of Lemma 126.9. Proof is similar and left to the reader.

Lemma 126.15. Suppose \( R \to S \) is a ring map. Assume that \( S \) is integral over \( R \). Then there exists a directed set \((\Lambda, \leq)\), and a system of ring maps \( R_\lambda \to S_\lambda \) such that

1. The colimit of the system \( R_\lambda \to S_\lambda \) is equal to \( R \to S \).
2. Each \( R_\lambda \) is of finite type over \( \mathbf{Z} \).
3. Each \( S_\lambda \) is of finite type over \( R_\lambda \).

Proof. Consider the set \( \Lambda \) of pairs \((E, F)\) where \( E \subset R \) is a finite subset, \( F \subset S \) is a finite subset, and every element \( f \in F \) is the root of a monic \( P(X) \in R[X] \) whose coefficients are in \( E \). Say \((E, F) \leq (E', F')\) if \( E \subset E' \) and \( F \subset F' \). Given \( \lambda = (E, F) \in \Lambda \) set \( R_\lambda \subset R \) equal to the \( \mathbf{Z} \)-subalgebra of \( R \) generated by \( E \) and \( S_\lambda \subset S \) equal to the \( \mathbf{Z} \)-subalgebra generated by \( F \) and the image of \( E \) in \( S \). It is clear that \( R = \operatorname{colim} R_\lambda \). We have \( S = \operatorname{colim} S_\lambda \) as every element of \( S \) is integral over \( S \). The ring maps \( R_\lambda \to S_\lambda \) are finite by Lemma 35.5 and the fact that \( S_\lambda \) is generated over \( R_\lambda \) by the elements of \( F \) which are integral over \( R_\lambda \) by our condition on the pairs \((E, F)\). The lemma follows.

Lemma 126.16. Suppose \( R \to S \) is a ring map. Assume that \( S \) is of finite type over \( R \). Then there exists a directed set \((\Lambda, \leq)\), and a system of ring maps \( R_\lambda \to S_\lambda \) such that

1. The colimit of the system \( R_\lambda \to S_\lambda \) is equal to \( R \to S \).
2. Each \( R_\lambda \) is of finite type over \( \mathbf{Z} \).
3. Each \( S_\lambda \) is of finite type over \( R_\lambda \).
4. For each \( \lambda \leq \mu \) the map \( S_\lambda \otimes_{R_\lambda} R_\mu \to S_\mu \) presents \( S_\mu \) as a quotient of \( S_\lambda \otimes_{R_\lambda} R_\mu \).

Proof. This is the non-local version of Lemma 126.10. Proof is similar and left to the reader.
Lemma 126.17. Suppose $R \to S$ is a ring map. Assume that $S$ is of finite presentation over $R$. Then there exists a directed set $(\Lambda, \leq)$, and a system of ring maps $R_\lambda \to S_\lambda$ such that

1. The colimit of the system $R_\lambda \to S_\lambda$ is equal to $R \to S$.
2. Each $R_\lambda$ is of finite type over $\mathbf{Z}$.
3. Each $S_\lambda$ is of finite type over $R_\lambda$.
4. For each $\lambda \leq \mu$ the map $S_\lambda \otimes_{R_\lambda} R_\mu \to S_\mu$ is an isomorphism.

Proof. This is the non-local version of Lemma 126.11. Proof is similar and left to the reader. □

Lemma 126.18. Suppose $R \to S$ is a ring map. Assume that $S$ is of finite presentation over $R$. Let $M$ be a finitely presented $S$-module. Then there exists a directed set $(\Lambda, \leq)$, and a system of ring maps $R_\lambda \to S_\lambda$ together with $S_\lambda$-modules $M_\lambda$, such that

1. The colimit of the system $R_\lambda \to S_\lambda$ is equal to $R \to S$. The colimit of the system $M_\lambda$ is $M$.
2. Each $R_\lambda$ is of finite type over $\mathbf{Z}$.
3. Each $S_\lambda$ is of finite type over $R_\lambda$.
4. Each $M_\lambda$ is finite over $S_\lambda$.
5. For each $\lambda \leq \mu$ the map $S_\lambda \otimes_{R_\lambda} R_\mu \to S_\mu$ is an isomorphism.
6. For each $\lambda \leq \mu$ the map $M_\lambda \otimes_{S_\lambda} S_\mu \to M_\mu$ is an isomorphism.

In particular, for every $\lambda \in \Lambda$ we have

$$M = M_\lambda \otimes_{S_\lambda} S = M_\lambda \otimes_{R_\lambda} R.$$ 

Proof. This is the non-local version of Lemma 126.13. Proof is similar and left to the reader. □

127. More flatness criteria

The following lemma is often used in algebraic geometry to show that a finite morphism from a normal surface to a smooth surface is flat. It is a partial converse to Lemma 111.9 because an injective finite local ring map certainly satisfies condition (3).

Lemma 127.1. Let $R \to S$ be a local homomorphism of Noetherian local rings. Assume

1. $R$ is regular,
2. $S$ Cohen-Macaulay,
3. $\dim(S) = \dim(R) + \dim(S/m_R S)$.

Then $R \to S$ is flat.

Proof. By induction on $\dim(R)$. The case $\dim(R) = 0$ is trivial, because then $R$ is a field. Assume $\dim(R) > 0$. By (3) this implies that $\dim(S) > 0$. Let $q_1, \ldots, q_r$ be the minimal primes of $S$. Note that $q_i \not\subseteq m_R S$ since

$$\dim(S/q_i) = \dim(S) > \dim(S/m_R S)$$

the first equality by Lemma 103.3 and the inequality by (3). Thus $p_i = R \cap q_i$ is not equal to $m_R$. Pick $x \in m_x$, $x \not\in m^2$, and $x \not\in p_i$, see Lemma 14.2. Hence we see that $x$ is not contained in any of the minimal primes of $S$. Hence $x$ is a nonzerodivisor on $S$ by (2), see Lemma 103.2 and $S/xS$ is Cohen-Macaulay with
dim(S/xS) = dim(S) − 1. By (1) and Lemma 105.3 the ring R/xR is regular with 
dim(R/xR) = dim(R) − 1. By induction we see that R/xR → S/xS is flat. Hence 
we conclude by Lemma 98.10 and the remark following it. □

**Lemma 127.2.** Let R → S be a homomorphism of Noetherian local rings. Assume 
that R is a regular local ring and that a regular system of parameters maps to a 
regular sequence in S. Then R → S is flat.

**Proof.** Suppose that x₁,...,xₙ are a system of parameters of R which map to 
a regular sequence in S. Note that S/(x₁,...,xₙ)S is flat over R/(x₁,...,xₙ) as 
the latter is a field. Then xₙ is a nonzerodivisor in S/(x₁,...,xₙ₋₁)S hence 
S/(x₁,...,xₙ₋₁)S is flat over R/(x₁,...,xₙ₋₁) by the local criterion of flatness 
(see Lemma 98.10 and remarks following). Then xₙ₋₁ is a nonzerodivisor in 
S/(x₁,...,xₙ₋₂)S hence S/(x₁,...,xₙ₋₂)S is flat over R/(x₁,...,xₙ₋₂) by the lo-
cal criterion of flatness (see Lemma 98.10 and remarks following). Continue till one 
reaches the conclusion that S is flat over R. □

The following lemma is the key to proving that results for finitely presented modules 
over finitely presented rings over a base ring follow from the corresponding results 
for finite modules in the Noetherian case.

**Lemma 127.3.** Let R → S, M, Λ, Rₓ → Sₓ, Mₓ be as in Lemma 126.13. Assume 
that M is flat over R. Then for some λ ∈ Λ the module Mₓ is flat over 
Rₓ.

**Proof.** Pick some λ ∈ Λ and consider

\[ Tor^{Rₓ}_1(Mₓ, Rₓ/\mathfrak{m}_x) = \ker(\mathfrak{m}_x \otimes_{Rₓ} Mₓ → Mₓ). \]

See Remark 74.9. The right hand side shows that this is a finitely generated Sₓ-
module (because Sₓ is Noetherian and the modules in question are finite). Let 
ξ₁,...,ξₙ be generators. Because M is flat over R we have that 0 = \ker(\mathfrak{m}_x R \otimes_R 
M → M). Since \otimes commutes with colimits we see there exists a \lambda' ≥ λ such that 
each ξᵢ maps to zero in \mathfrak{m}_x R_{\lambda'} \otimes_{R_{\lambda'}} M_{\lambda'}. Hence we see that

\[ Tor^{R_{\lambda'}}_1(M_{\lambda'}, R_{\lambda'}/\mathfrak{m}_{\lambda'}) \to Tor^{R_{\lambda'}}_1(M_{\lambda'}, R_{\lambda'}/\mathfrak{m}_{\lambda'} R_{\lambda'}) \]
is zero. Note that \mathfrak{m}_x \otimes_{R_x} R_{\lambda'}/\mathfrak{m}_{\lambda'} is flat over \mathfrak{m}_{\lambda'}/\mathfrak{m}_{\lambda'} because this last ring is a field. Hence we may apply Lemma 98.14 to get that 
M_{\lambda'} is flat over R_{\lambda'}. □

Using the lemma above we can start to reprove the results of Section 98 in the 
non-Noetherian case.

**Lemma 127.4.** Suppose that R → S is a local homomorphism of local rings. 
Denote m the maximal ideal of R. Let u : M → N be a map of S-modules. Assume

1. S is essentially of finite presentation over R,
2. M, N are finitely presented over S,
3. N is flat over R, and
4. \pi : M/mM → N/mN is injective.

Then u is injective, and N/u(M) is flat over R.

**Proof.** By Lemma 126.13 and its proof we can find a system \( R_\lambda \to S_\lambda \) of local ring 
maps together with maps of \( S_\lambda \)-modules \( u_\lambda : M_\lambda \to N_\lambda \) satisfying the conclusions 
(1) – (6) for both \( N \) and \( M \) of that lemma and such that the colimit of the maps 
\( u_\lambda \) is \( u \). By Lemma 127.3 we may assume that \( N_\lambda \) is flat over \( R_\lambda \) for all sufficiently
large $\lambda$. Denote $m_\lambda \subset R_\lambda$ the maximal ideal and $\kappa_\lambda = R_\lambda/m_\lambda$, resp. $\kappa = R/m$ the residue fields.

Consider the map

$$\Psi_\lambda : M_\lambda/m_\lambda M_\lambda \otimes_{\kappa_\lambda} \kappa \rightarrow M/mM.$$ 

Since $S_\lambda/m_\lambda S_\lambda$ is essentially of finite type over the field $\kappa_\lambda$ we see that the tensor product $S_\lambda/m_\lambda S_\lambda \otimes_{\kappa_\lambda} \kappa$ is essentially of finite type over $\kappa$. Hence it is a Noetherian ring and we conclude the kernel of $\Psi_\lambda$ is finitely generated. Since $M/mM$ is the colimit of the system $M_\lambda/m_\lambda M_\lambda$ and $\kappa$ is the colimit of the fields $\kappa_\lambda$ there exists a $\lambda' > \lambda$ such that the kernel of $\Psi_\lambda$ is generated by the kernel of

$$\Psi_{\lambda,\lambda'} : M_\lambda/m_\lambda M_\lambda \otimes_{\kappa_\lambda} \kappa_{\lambda'} \rightarrow M_{\lambda'}/m_{\lambda'}/M_{\lambda'}.$$ 

By construction there exists a multiplicative subset $W \subset S_\lambda \otimes_{R_\lambda} R_{\lambda'}$ such that

$$W^{-1}(S_{\lambda'}) = W^{-1}(S_\lambda \otimes_{R_\lambda} R_{\lambda'}) = S_{\lambda'}/m_{\lambda'}/M_{\lambda'}.$$ 

Now suppose that $x$ is an element of the kernel of

$$\Psi_{\lambda} : M_{\lambda'}/m_{\lambda'}/M_{\lambda'} \otimes_{\kappa_{\lambda'}} \kappa \rightarrow M/mM.$$ 

Then for some $w \in W$ we have $wx \in M_\lambda/m_\lambda M_\lambda \otimes \kappa$. Hence $wx$ is a linear combination of elements in the kernel of $\Psi_{\lambda,\lambda'}$. Hence $wx = 0$ in $M_{\lambda'}/m_{\lambda'}/M_{\lambda'} \otimes_{\kappa_{\lambda'}} \kappa$, hence $x = 0$ because $w$ is invertible in $S_{\lambda'}$. We conclude that the kernel of $\Psi_{\lambda'}$ is zero for all sufficiently large $\lambda'$.

By the result of the preceding paragraph we may assume that the kernel of $\Psi_\lambda$ is zero for all $\lambda$ sufficiently large, which implies that the map $M_\lambda/m_\lambda M_\lambda \rightarrow M/mM$ is injective. Combined with $\overline{\pi}$ being injective this formally implies that also $\overline{\pi}_{\lambda} : M_\lambda/m_\lambda M_\lambda \rightarrow N_\lambda/m_\lambda N_\lambda$ is injective. By Lemma 127.4 we conclude that (for all sufficiently large $\lambda$) the map $u_\lambda$ is injective and that $N_\lambda/u_\lambda(M_\lambda)$ is flat over $R_\lambda$. The lemma follows. □

046Z Lemma 127.5. Suppose that $R \rightarrow S$ is a local ring homomorphism of local rings. Denote $m$ the maximal ideal of $R$. Suppose

- (1) $S$ is essentially of finite presentation over $R$,
- (2) $S$ is flat over $R$, and
- (3) $f \in S$ is a nonzerodivisor in $S/mS$.

Then $S/fS$ is flat over $R$, and $f$ is a nonzerodivisor in $S$.

Proof. Follows directly from Lemma 127.4 □

0470 Lemma 127.6. Suppose that $R \rightarrow S$ is a local ring homomorphism of local rings. Denote $m$ the maximal ideal of $R$. Suppose

- (1) $R \rightarrow S$ is essentially of finite presentation,
- (2) $R \rightarrow S$ is flat, and
- (3) $f_1, \ldots, f_c$ is a sequence of elements of $S$ such that the images $\overline{f_1}, \ldots, \overline{f_c}$ form a regular sequence in $S/mS$.

Then $f_1, \ldots, f_c$ is a regular sequence in $S$ and each of the quotients $S/(f_1, \ldots, f_i)$ is flat over $R$.

Proof. Induction and Lemma 127.5 □
Here is the version of the local criterion of flatness for the case of local ring maps which are locally of finite presentation.

Lemma 127.7. Let $R \to S$ be a local homomorphism of local rings. Let $I \neq R$ be an ideal in $R$. Let $M$ be an $S$-module. Assume

1. $S$ is essentially of finite presentation over $R$,
2. $M$ is of finite presentation over $S$,
3. $\text{Tor}_1^R(M, R/I) = 0$, and
4. $M/IM$ is flat over $R/I$.

Then $M$ is flat over $R$.

Proof. Let $\Lambda, R_\lambda \to S_\lambda, M_\lambda$ be as in Lemma 126.13. Denote $I_\lambda \subset R_\lambda$ the inverse image of $I$. In this case the system $R/I \to S/IS, M/IM, R_\lambda \to S_\lambda/I_\lambda S_\lambda$, and $M_\lambda/I_\lambda M_\lambda$ satisfies the conclusions of Lemma 126.13 as well. Hence by Lemma 127.3 we may assume (after shrinking the index set $\Lambda$) that $M_\lambda/I_\lambda M_\lambda$ is flat for all $\lambda$. Pick some $\lambda$ and consider

$$\text{Tor}_1^R(M_\lambda, R_\lambda/I_\lambda) = \text{Ker}(I_\lambda \otimes_{R_\lambda} M_\lambda \to M_\lambda).$$

See Remark 74.9. The right hand side shows that this is a finitely generated $S_\lambda$-module (because $S_\lambda$ is Noetherian and the modules in question are finite). Let $\xi_1, \ldots, \xi_n$ be generators. Because $\text{Tor}_1^R(M, R/I) = 0$ and since $\otimes$ commutes with colimits we see there exists a $\lambda' \geq \lambda$ such that each $\xi_i$ maps to zero in $\text{Tor}_1^{R_{\lambda'}}(M_{\lambda'}, R_{\lambda'}/I_{\lambda'})$. The composition of the maps

$$\begin{align*}
R_{\lambda'} \otimes_{R_\lambda} \text{Tor}_1^{R_\lambda}(M_\lambda, R_\lambda/I_\lambda) \\
\text{surjective by Lemma } \ref{lemma-flatness}
\end{align*}$$

$$\begin{align*}
\text{Tor}_1^{R_\lambda}(M_\lambda, R_\lambda/I_\lambda R_{\lambda'}) \\
\text{surjective up to localization by Lemma } \ref{lemma-flatness}
\end{align*}$$

$$\begin{align*}
\text{Tor}_1^{R_{\lambda'}}(M_{\lambda'}, R_{\lambda'}/I_{\lambda'} R_{\lambda'}) \\
\text{surjective by Lemma } \ref{lemma-flatness}
\end{align*}$$

$$\text{Tor}_1^{R_{\lambda'}}(M_{\lambda'}, R_{\lambda'}/I_{\lambda'})$$

is surjective up to a localization by the reasons indicated. The localization is necessary since $M_{\lambda'}$ is not equal to $M_{\lambda} \otimes_{R_\lambda} R_{\lambda'}$. Namely, it is equal to $M_{\lambda} \otimes_{S_\lambda} S_{\lambda'}$ and $S_{\lambda'}$ is the localization of $S_{\lambda} \otimes_{R_\lambda} R_{\lambda'}$ whence the statement up to a localization (or tensoring with $S_{\lambda'}$). Note that Lemma 98.12 applies to the first and third arrows because $M_{\lambda}/I_\lambda M_{\lambda}$ is flat over $R_{\lambda}/I_\lambda$ and because $M_{\lambda'}/I_{\lambda'} M_{\lambda'}$ is flat over $R_{\lambda'}/I_{\lambda'} R_{\lambda'}$ as it is a base change of the flat module $M_{\lambda}/I_\lambda M_{\lambda}$. The composition maps the generators $\xi_i$ to zero as we explained above. We finally conclude that $\text{Tor}_1^{R_{\lambda'}}(M_{\lambda'}, R_{\lambda'}/I_{\lambda'})$ is zero. This implies that $M_{\lambda'}$ is flat over $R_{\lambda'}$ by Lemma 98.10.

Please compare the lemma below to Lemma 98.15 (the case of Noetherian local rings) and Lemma 100.8 (the case of a nilpotent ideal in the base).
00R7 **Lemma 127.8** (Critère de platitude par fibres). Let $R$, $S$, $S'$ be local rings and let $R \to S \to S'$ be local ring homomorphisms. Let $M$ be an $S'$-module. Let $\mathfrak{m} \subset R$ be the maximal ideal. Assume

1. The ring maps $R \to S$ and $R \to S'$ are essentially of finite presentation.
2. The module $M$ is of finite presentation over $S'$.
3. The module $M$ is not zero.
4. The module $M/\mathfrak{m}M$ is a flat $S/\mathfrak{m}S$-module.
5. The module $M$ is a flat $R$-module.

Then $S$ is flat over $R$ and $M$ is a flat $S$-module.

**Proof.** As in the proof of Lemma [126.11] we may first write $R = \operatorname{colim} R_\lambda$ as a directed colimit of local $\mathbb{Z}$-algebras which are essentially of finite type. Denote $\mathfrak{p}_\lambda$ the maximal ideal of $R_\lambda$. Next, we may assume that for some $\lambda_1 \in \Lambda$ there exist $f_{j,\lambda_1} \in R_{\lambda_1}[x_1, \ldots, x_n]$ such that

$$S = \operatorname{colim}_{\lambda_1 \geq \lambda_1} S_\lambda, \text{ with } S_\lambda = (R_{\lambda_1}[x_1, \ldots, x_n]/(f_{1,\lambda_1}, \ldots, f_{t,\lambda_1}))_{q_\lambda}$$

For some $\lambda_2 \in \Lambda$, $\lambda_2 \geq \lambda_1$ there exist $g_{j,\lambda_2} \in R_{\lambda_2}[x_1, \ldots, x_n, y_1, \ldots, y_m]$ with images $\overline{g}_{j,\lambda_2} \in S_{\lambda_2}[y_1, \ldots, y_m]$ such that

$$S' = \operatorname{colim}_{\lambda_2 \geq \lambda_2} S'_{\lambda_2}, \text{ with } S'_{\lambda_2} = (S_{\lambda_2}[y_1, \ldots, y_m]/(g_{1,\lambda_2}, \ldots, g_{t,\lambda_2}))_{\overline{q}_\lambda}$$

Note that this also implies that

$$S'_{\lambda_2} = (R_{\lambda_2}[x_1, \ldots, x_n, y_1, \ldots, y_m]/(g_{1,\lambda_2}, \ldots, g_{t,\lambda_2}))_{\overline{q}_\lambda}$$

Choose a presentation

$$(S')^{\oplus s} \to (S')^{\oplus t} \to M' \to 0$$

of $M$ over $S'$. Let $A \in \operatorname{Mat}(t \times s, S')$ be the matrix of the presentation. For some $\lambda_3 \in \Lambda$, $\lambda_3 \geq \lambda_2$ we can find a matrix $A_{\lambda_3} \in \operatorname{Mat}(t \times s, S_{\lambda_3})$ which maps to $A$. For all $\lambda \geq \lambda_3$ we let $M_\lambda = \operatorname{Coker}((S'_{\lambda})^{\oplus s} \xrightarrow{A_\lambda} (S'_{\lambda})^{\oplus t})$.

With these choices, we have for each $\lambda_3 \leq \lambda \leq \mu$ that $S_\lambda \otimes_{R_\lambda} R_\mu \to S_\mu$ is a localization, $S_{\lambda_3}' \otimes_{S_{\lambda_3}} S_{\mu}' \to S_{\mu}'$ is a localization, and the map $M_\lambda \otimes_{S_{\lambda_3}} S_{\mu}' \to M_\mu$ is an isomorphism. This also implies that $S_{\lambda_3}' \otimes_{R_\lambda} R_\mu \to S_{\mu}'$ is a localization. Thus, since $M$ is flat over $R$ we see by Lemma [127.3] that for all $\lambda$ big enough the module $M_\lambda$ is flat over $R_\lambda$. Moreover, note that $\mathfrak{m} = \operatorname{colim} \mathfrak{p}_\lambda$, $S/\mathfrak{m}S = \operatorname{colim} S_\lambda/\mathfrak{p}_\lambda S_\lambda$, $S'/\mathfrak{m}S' = \operatorname{colim} S_{\lambda_3}'/\mathfrak{p}_\lambda S_{\lambda_3}'$, and $M/\mathfrak{m}M = \operatorname{colim} M_\lambda/\mathfrak{p}_\lambda M_\lambda$. Also, for each $\lambda_3 \leq \lambda \leq \mu$ we see (from the properties listed above) that

$$S_{\lambda_3}'/\mathfrak{p}_\lambda S_{\lambda_3}' \otimes_{S_{\lambda_3}/\mathfrak{p}_\lambda S_{\lambda_3}} S_\mu/\mathfrak{p}_\mu S_\mu \longrightarrow S_{\mu}'/\mathfrak{p}_\mu S_{\mu}'$$

is a localization, and the map

$$M_\lambda/\mathfrak{p}_\lambda M_\lambda \otimes_{S_{\lambda_3}/\mathfrak{p}_\lambda S_{\lambda_3}} S_{\mu}'/\mathfrak{p}_\mu S_{\mu}' \longrightarrow M_{\mu}/\mathfrak{p}_\mu M_{\mu}$$

is an isomorphism. Hence the system $(S_\lambda/\mathfrak{p}_\lambda S_\lambda \to S_{\lambda_3}'/\mathfrak{p}_\lambda S_{\lambda_3}', M_\lambda/\mathfrak{p}_\lambda M_\lambda)$ is a system as in Lemma [126.13] as well. We may apply Lemma [127.3] again because $M/\mathfrak{m}M$ is assumed flat over $S/\mathfrak{m}S$ and we see that $M_\lambda/\mathfrak{p}_\lambda M_\lambda$ is flat over $S_{\lambda_3}/\mathfrak{p}_\lambda S_{\lambda_3}$ for all $\lambda$ big enough. Thus for $\lambda$ big enough the data $R_\lambda \to S_\lambda \to S_{\lambda_3}', M_\lambda$ satisfies the hypotheses of Lemma [98.15]. Pick such a $\lambda$. Then $S = S_\lambda \otimes_{R_\lambda} R$ is flat over $R$, and $M = M_\lambda \otimes_{S_\lambda} S$ is flat over $S$ (since the base change of a flat module is flat). □

The following is an easy consequence of the “critère de platitude par fibres” Lemma 127.8 For more results of this kind see More on Flatness, Section 1.
Lemma 127.9. Let $R$, $S$, $S'$ be local rings and let $R \to S \to S'$ be local ring homomorphisms. Let $M$ be an $S'$-module. Let $\mathfrak{m} \subset R$ be the maximal ideal. Assume

1. $R \to S'$ is essentially of finite presentation,
2. $R \to S$ is essentially of finite type,
3. $M$ is of finite presentation over $S'$,
4. $M$ is not zero,
5. $M/\mathfrak{m}M$ is a flat $S/\mathfrak{m}S$-module, and
6. $M$ is a flat $R$-module.

Then $S$ is essentially of finite presentation and flat over $R$ and $M$ is a flat $S$-module.

Proof. As $S$ is essentially of finite presentation over $R$ we can write $S = C_\pi$ for some finite type $R$-algebra $C$. Write $C = R[x_1, \ldots, x_n]/I$. Denote $q \subset R[x_1, \ldots, x_n]$ be the prime ideal corresponding to $\mathfrak{p}$. Then we see that $S = B/J$ where $B = R[x_1, \ldots, x_n]$ is essentially of finite presentation over $R$ and $J = IB$. We can find $f_1, \ldots, f_k \in J$ such that the images $\overline{f}_i \in B/\mathfrak{m}B$ generate the image $\overline{J}$ of $J$ in the Noetherian ring $B/\mathfrak{m}B$. Hence there exist finitely generated ideals $J' \subset J$ such that $B/J' \to B/J$ induces an isomorphism

$$(B/J') \otimes_R R/\mathfrak{m} \to B/J \otimes_R R/\mathfrak{m} = S/\mathfrak{m}S.$$ 

For any $J'$ as above we see that Lemma 127.8 applies to the ring maps

$$R \to B/J' \to S'$$

and the module $M$. Hence we conclude that $B/J'$ is flat over $R$ for any choice $J'$ as above. Now, if $J' \subset J' \subset J$ are two finitely generated ideals as above, then we conclude that $B/J' \to B/J''$ is a surjective map between flat $R$-algebras which are essentially of finite presentation which is an isomorphism modulo $\mathfrak{m}$. Hence Lemma 127.4 implies that $B/J' = B/J''$, i.e., $J' = J''$. Clearly this means that $J$ is finitely generated, i.e., $S$ is essentially of finite presentation over $R$. Thus we may apply Lemma 127.8 to $R \to S \to S'$ and we win. 

Lemma 127.10 (Critère de platitude par fibres: locally nilpotent case). Let

$$\begin{array}{ccc}
S & \to & S' \\
\downarrow & & \downarrow \\
R & \to & S'
\end{array}$$

be a commutative diagram in the category of rings. Let $I \subset R$ be a locally nilpotent ideal and $M$ an $S'$-module. Assume

1. $R \to S$ is of finite type,
2. $R \to S'$ is of finite presentation,
3. $M$ is a finitely presented $S'$-module,
4. $M/IM$ is flat as a $S/IS$-module, and
5. $M$ is flat as an $R$-module.

Then $M$ is a flat $S$-module and $S_\mathfrak{q}$ is flat and essentially of finite presentation over $R$ for every $\mathfrak{q} \subset S$ such that $M \otimes_S \kappa(\mathfrak{q})$ is nonzero.

Proof. If $M \otimes_S \kappa(\mathfrak{q})$ is nonzero, then $S'/\mathfrak{q} \otimes_S \kappa(\mathfrak{q})$ is nonzero and hence there exists a prime $\mathfrak{q}' \subset S'$ lying over $\mathfrak{q}$ (Lemma 16.9). Let $\mathfrak{p} \subset R$ be the image of $\mathfrak{q}$ in $\text{Spec}(R)$. Then $I \subset \mathfrak{p}$ as $I$ is locally nilpotent hence $M/\mathfrak{p}M$ is flat over $S/\mathfrak{p}S$. Hence we may apply Lemma 127.9 to $R_\mathfrak{p} \to S_\mathfrak{q} \to S'_{\mathfrak{q}'}$ and $M_{\mathfrak{q}'}$. We conclude that $M_{\mathfrak{q}'}$ is flat.
over $S$ and $S_q$ is flat and essentially of finite presentation over $R$. Since $q'$ was an arbitrary prime of $S'$ we also see that $M$ is flat over $S$ (Lemma 38.19). □

128. Openness of the flat locus

Lemma 128.1. Let $k$ be a field. Let $S$ be a finite type $k$-algebra. Let $f_1, \ldots, f_i$ be elements of $S$. Assume that $S$ is Cohen-Macaulay and equidimensional of dimension $d$, and that $\dim(V(f_1, \ldots, f_i)) \leq d - i$. Then equality holds and $f_1, \ldots, f_i$ forms a regular sequence in $S_q$ for every prime $q$ of $V(f_1, \ldots, f_i)$.

Proof. If $S$ is Cohen-Macaulay and equidimensional of dimension $d$, then we have $\dim(S_m) = d$ for all maximal ideals $m$ of $S$, see Lemma 113.7. By Proposition 102.4 we see that for all maximal ideals $m \in V(f_1, \ldots, f_i)$ the sequence is a regular sequence in $S_m$ and the local ring $S_m/(f_1, \ldots, f_i)$ is Cohen-Macaulay of dimension $d - i$. This actually means that $S/(f_1, \ldots, f_i)$ is Cohen-Macaulay and equidimensional of dimension $d - i$. □

Lemma 128.2. Suppose that $R \to S$ is a ring map which is finite type, flat. Let $d$ be an integer such that all fibres $S \otimes_R \kappa(p)$ are Cohen-Macaulay and equidimensional of dimension $d$. Let $f_1, \ldots, f_i$ be elements of $S$. The set 
\[ \{ q \in V(f_1, \ldots, f_i) \mid f_1, \ldots, f_i \text{ are a regular sequence in } S_q / p S_q \text{ where } p = R \cap q \} \]

is open in $V(f_1, \ldots, f_i)$.

Proof. Write $\overline{S} = S/(f_1, \ldots, f_i)$. Suppose $q$ is an element of the set defined in the lemma, and $p$ is the corresponding prime of $R$. We will use relative dimension as defined in Definition 124.1. First, note that $d = \dim_q(S/R) = \dim(S_q/p S_q) + \text{trdeg}_{\kappa(p)}(\kappa(q))$ by Lemma 115.3. Since $f_1, \ldots, f_i$ form a regular sequence in the Noetherian local ring $S_q/p S_q$ general dimension theory tells us that $\dim(S_q/p S_q) = \dim(S_q/p S_q) - i$. By the same Lemma 115.3 we then conclude that $\dim_q(\overline{S}/R) = \dim(S_q/p S_q) + \text{trdeg}_{\kappa(p)}(q) = d - i$. By Lemma 124.6 we have $\dim_q(\overline{S}/R) \leq d - i$ for all $q' \in V(f_1, \ldots, f_i)$ of $\text{Spec}(\overline{S})$ in a neighbourhood of $q$. Thus after replacing $S$ by $S_q$ for some $q \in S$, $g \notin q$ we may assume that the inequality holds for all $q'$. The result follows from Lemma 128.1. □

Lemma 128.3. Let $R \to S$ is a ring map. Consider a finite homological complex of finite free $S$-modules:
\[
F_\bullet : 0 \to S^{n_0} \xrightarrow{\varphi_0} S^{n_{-1}} \xrightarrow{\varphi_{-1}} \cdots \xrightarrow{\varphi_{i-1}} S^{n_i} \xrightarrow{\varphi_i} S^{n_{i-1}} \xrightarrow{\varphi_{i-1}} \cdots \xrightarrow{\varphi_1} S^{n_0} \]

For every prime $q$ of $S$ consider the complex $F_{\bullet, q} = F_{\bullet, q} \otimes_R \kappa(p)$ where $p$ is inverse image of $q$ in $R$. Assume there exists an integer $d$ such that $R \to S$ is finite type, flat with fibres $S \otimes_R \kappa(p)$ Cohen-Macaulay of dimension $d$. The set 
\[ \{ q \in \text{Spec}(S) \mid F_{\bullet, q} \text{ is exact} \} \]
is open in $\text{Spec}(S)$.

Proof. Let $q$ be an element of the set defined in the lemma. We are going to use Proposition 101.9 to show there exists a $g \in S$, $q \notin q$ such that $D(g)$ is contained in the set defined in the lemma. In other words, we are going to show that after replacing $S$ by $S_g$, the set of the lemma is all of $\text{Spec}(S)$. Thus during the proof we will, finitely often, replace $S$ by such a localization. Recall that Proposition
Proposition 101.9 characterizes exactness of complexes in terms of ranks of the maps \( \varphi_i \) and the ideals \( I(\varphi_i) \), in case the ring is local. We first address the rank condition. Set \( r_i = n_i - n_{i+1} + \ldots + (-1)^{e-i} n_e \). Note that \( r_i + r_{i+1} = n_i \) and note that \( r_i \) is the expected rank of \( \varphi_i \) (in the exact case).

By Lemma 98.5 we see that if \( \mathcal{F}_{\bullet, q} \) is exact, then the localization \( \mathcal{F}_{\bullet, q} \) is exact. In particular the complex \( \mathcal{F}_{\bullet} \) becomes exact after localizing by an element \( q \in R \), \( q \notin q \). In this case Proposition 101.9 applied to all localizations of \( S \) at prime ideals implies that all \( (r_i + 1) \times (r_i + 1) \)-minors of \( \varphi_i \) are zero. Thus we see that the rank of \( \varphi_i \) is at most \( r_i \).

Let \( I_i \subseteq S \) denote the ideal generated by the \( r_i \times r_i \)-minors of the matrix of \( \varphi_i \). By Proposition 101.9 the complex \( \mathcal{F}_{\bullet, q} \) is exact if and only if for every \( 1 \leq i \leq e \) we have either \( (I_i)_{\overline{q}} = S_{\overline{q}} \) or \( (I_i)_{\overline{q}} \) contains a \( S_{\overline{q}}/\mathfrak{p} S_{\overline{q}} \)-regular sequence of length \( i \). Namely, by our choice of \( r_i \) above and by the bound on the ranks of the \( \varphi_i \) this is the only way the conditions of Proposition 101.9 can be satisfied.

If \( (I_i)_{\overline{q}} = S_{\overline{q}} \), then after localizing \( S \) at some element \( q \notin \mathfrak{q} \) we may assume that \( I_i = S \). Clearly, this is an open condition.

If \( (I_i)_{\overline{q}} \neq S_{\overline{q}} \), then we have a sequence \( f_1, \ldots, f_i \in (I_i)_{\overline{q}} \) which form a regular sequence in \( S_{\overline{q}}/\mathfrak{p} S_{\overline{q}} \). Note that for any prime \( \mathfrak{q} ' \subseteq S \) such that \( (f_1, \ldots, f_i) \notin \mathfrak{q} ' \) we have \( (I_i)_{\overline{q} '} = S_{\overline{q} '} \). Thus the result follows from Lemma 128.2.

Theorem 128.4. Let \( R \) be a ring. Let \( R \to S \) be a ring map of finite presentation. Let \( M \) be a finitely presented \( S \)-module. The set

\[ \{ q \in \text{Spec}(S) \mid M_q \text{ is flat over } R \} \]

is open in \( \text{Spec}(S) \).

Proof. Let \( q \in \text{Spec}(S) \) be a prime. Let \( p \subseteq R \) be the inverse image of \( q \) in \( R \). Note that \( M_q \) is flat over \( R \) if and only if it is flat over \( R_p \). Let us assume that \( M_q \) is flat over \( R \). We claim that there exists a \( g \in S \), \( g \notin q \) such that \( M_g \) is flat over \( R \).

We first reduce to the case where \( R \) and \( S \) are of finite type over \( \mathbb{Z} \). Choose a directed set \( \Lambda \) and a system \( (R_{\lambda} \to S_{\lambda}, M_{\lambda}) \) as in Lemma 126.18. Set \( \mathfrak{p}_{\lambda} \) equal to the inverse image of \( p \) in \( R_{\lambda} \). Set \( q_{\lambda} \) equal to the inverse image of \( q \) in \( S_{\lambda} \). Then the system

\[ (R_{\lambda})_{\mathfrak{p}_{\lambda}}, (S_{\lambda})_{q_{\lambda}}, (M_{\lambda})_{q_{\lambda}} \]

is a system as in Lemma 126.13. Hence by Lemma 127.3 we see that for some \( \lambda \) the module \( M_{\lambda} \) is flat over \( R_{\lambda} \) at the prime \( q_{\lambda} \). Suppose we can prove our claim for the system \( (R_{\lambda} \to S_{\lambda}, M_{\lambda}, q_{\lambda}) \). In other words, suppose that we can find a \( g \in S_{\lambda} \), \( g \notin q_{\lambda} \) such that \( (M_{\lambda})_g \) is flat over \( R_{\lambda} \). By Lemma 126.18 we have \( M = M_{\lambda} \otimes_{R_{\lambda}} R \) and hence also \( M_g = (M_{\lambda})_g \otimes_{R_{\lambda}} R \). Thus by Lemma 38.7 we deduce the claim for the system \( (R \to S, M, q) \).

At this point we may assume that \( R \) and \( S \) are of finite type over \( \mathbb{Z} \). We may write \( S \) as a quotient of a polynomial ring \( R[x_1, \ldots, x_n] \). Of course, we may replace \( S \) by \( R[x_1, \ldots, x_n] \) and assume that \( S \) is a polynomial ring over \( R \). In particular we see that \( R \to S \) is flat and all fibres rings \( S \otimes_R \kappa(\mathfrak{p}) \) have global dimension \( n \).
Choose a resolution $F_\bullet$ of $M$ over $S$ with each $F_i$ finite free, see Lemma 129.1. Let $K_n = \text{Ker}(F_{n-1} \to F_{n-2})$. Note that $(K_n)_q$ is flat over $R$, since each $F_i$ is flat over $R$ and by assumption on $M$, see Lemma 124.1. In addition, the sequence
\[
0 \to K_n/pK_n \to F_{n-1}/pF_{n-1} \to \ldots \to F_0/pF_0 \to M/pM \to 0
\]
is exact upon localizing at $q$, because of vanishing of $\text{Tor}^R_1(\kappa(p), M_q)$. Since the global dimension of $S_q/pS_q$ is $n$ we conclude that $K_n/pK_n$ localized at $q$ is a finite free module over $S_q/pS_q$. By Lemma 98.4 $(K_n)_q$ is free over $S_q$. In particular, there exists a $g \in S$, $g \not\in q$ such that $(K_n)_q$ is finite free over $S_g$.

By Lemma 128.3 there exists a further localization $S_g$ such that the complex
\[
0 \to K_n \to F_{n-1} \to \ldots \to F_0
\]
is exact on all fibres of $R \to S$. By Lemma 98.5 this implies that the cokernel of $F_1 \to F_0$ is flat. This proves the theorem in the Noetherian case.

129. Openness of Cohen-Macaulay loci

00RD In this section we characterize the Cohen-Macaulay property of finite type algebras in terms of flatness. We then use this to prove the set of points where such an algebra is Cohen-Macaulay is open.

00RE Lemma 129.1. Let $S$ be a finite type algebra over a field $k$. Let $\varphi : k[y_1, \ldots, y_d] \to S$ be a quasi-finite ring map. As subsets of $\text{Spec}(S)$ we have
\[
\{ q \mid S_q \text{ flat over } k[y_1, \ldots, y_d] \} = \{ q \mid S_q \text{ CM and } \dim_q(S/k) = d \}
\]
For notation see Definition 124.1.

Proof. Let $q \subset S$ be a prime. Denote $p = k[y_1, \ldots, y_d] \cap q$. Note that always $\dim(S_q) \leq \dim(k[y_1, \ldots, y_d]_p)$ by Lemma 124.1 for example. Moreover, the field extension $\kappa(p) \subset \kappa(q)$ is finite and hence $\text{trdeg}_k(\kappa(p)) = \text{trdeg}_k(\kappa(q))$.

Let $q$ be an element of the left hand side. Then Lemma 111.9 applies and we conclude that $S_q$ is Cohen-Macaulay and $\dim(S_q) = \dim(k[y_1, \ldots, y_d]_p)$. Combined with the equality of transcendence degrees above and Lemma 115.3 this implies that $\dim_q(S/k) = d$. Hence $q$ is an element of the right hand side.

Let $q$ be an element of the right hand side. By the equality of transcendence degrees above, the assumption that $\dim_q(S/k) = d$ and Lemma 115.3 we conclude that $\dim(S_q) = \dim(k[y_1, \ldots, y_d]_p)$. Hence Lemma 127.1 applies and we see that $q$ is an element of the left hand side.

00RF Lemma 129.2. Let $S$ be a finite type algebra over a field $k$. The set of primes $q$ such that $S_q$ is Cohen-Macaulay is open in $S$.

This lemma is a special case of Lemma 129.4 below, so you can skip straight to the proof of that lemma if you like.

Proof. Let $q \subset S$ be a prime such that $S_q$ is Cohen-Macaulay. We have to show there exists a $g \in S$, $g \not\in q$ such that the ring $S_g$ is Cohen-Macaulay. For any $g \in S$, $g \not\in q$ we may replace $S$ by $S_g$ and $q$ by $qS_g$. Combining this with Lemmas 114.5 and 115.3 we may assume that there exists a finite injective ring map $k[y_1, \ldots, y_d] \to S$ with $d = \dim(S_q) + \text{trdeg}_k(\kappa(q))$. Set $p = k[y_1, \ldots, y_d] \cap q$. By construction we see that $q$ is an element of the right hand side of the displayed equality of Lemma 129.1. Hence it is also an element of the left hand side.
By Theorem [128.4] we see that for some \( g \in S \), \( g \notin q \) the ring \( S_g \) is flat over \( k[y_1, \ldots, y_d] \). Hence by the equality of Lemma [129.1] again we conclude that all local rings of \( S_g \) are Cohen-Macaulay as desired. \( \square \)

**Lemma 129.3.** Let \( k \) be a field. Let \( S \) be a finite type \( k \) algebra. The set of Cohen-Macaulay primes forms a dense open \( U \subset \text{Spec}(S) \).

**Proof.** The set is open by Lemma [129.2]. It contains all minimal primes \( q \subset S \) since the local ring at a minimal prime \( S_q \) has dimension zero and hence is Cohen-Macaulay. \( \square \)

**Lemma 129.4.** Let \( R \) be a ring. Let \( R \to S \) be of finite presentation and flat. For any \( d \geq 0 \) the set

\[
\left\{ q \in \text{Spec}(S) \text{ such that setting } p = R \cap q \text{ the fibre ring } S_q/pS_q \text{ is Cohen-Macaulay and } \dim_S(S/R) = d \right\}
\]

is open in \( \text{Spec}(S) \).

**Proof.** Let \( q \) be an element of the set indicated, with \( p \) the corresponding prime of \( R \). We have to find a \( g \in S \), \( g \notin q \) such that all fibre rings of \( R \to S_g \) are Cohen-Macaulay. During the course of the proof we may (finitely many times) replace \( S \) by \( S_g \) for a \( g \in S \), \( g \notin q \). Thus by Lemma [124.2] we may assume there is a quasi-finite ring map \( R[t_1, \ldots, t_d] \to S \) with \( d = \dim_S(S/R) \). Let \( q' = R[t_1, \ldots, t_d] \cap q \).

By Lemma [129.1] we see that the ring map

\[
R[t_1, \ldots, t_d]_{q'}/pR[t_1, \ldots, t_d]_{q'} \to S_q/pS_q
\]

is flat. Hence by the critère de platitude par fibres Lemma [127.8] we see that \( R[t_1, \ldots, t_d]_{q'} \to S_q \) is flat. Hence by Theorem [128.4] we see that for some \( g \in S \), \( g \notin q \) the ring map \( R[t_1, \ldots, t_d] \to S_g \) is flat. Replacing \( S \) by \( S_g \) we see that for every prime \( r \subset S \), setting \( r' = R[t_1, \ldots, t_d] \cap r \) and \( p' = R \cap r \) the local ring map \( R[t_1, \ldots, t_d]_{r'} \to S_r \) is flat. Hence also the base change

\[
R[t_1, \ldots, t_d]_{r'}/p'R[t_1, \ldots, t_d]_{r'} \to S_r/p'S_r
\]

is flat. Hence by Lemma [129.1] applied with \( k = \kappa(p') \) we see \( r \) is in the set of the lemma as desired. \( \square \)

**Lemma 129.5.** Let \( R \) be a ring. Let \( R \to S \) be flat of finite presentation. The set of primes \( q \) such that the fibre ring \( S_q \otimes_R \kappa(p) \), with \( p = R \cap q \) is Cohen-Macaulay is open and dense in every fibre of \( \text{Spec}(S) \to \text{Spec}(R) \).

**Proof.** The set, call it \( W \), is open by Lemma [129.3]. It is dense in the fibres because the intersection of \( W \) with a fibre is the corresponding set of the fibre to which Lemma [129.3] applies. \( \square \)

**Lemma 129.6.** Let \( k \) be a field. Let \( S \) be a finite type \( k \)-algebra. Let \( K \subset K \) be a field extension, and set \( S_K = K \otimes_k S \). Let \( q \subset S \) be a prime of \( S \). Let \( q_K \subset S_K \) be a prime of \( S_K \) lying over \( q \). Then \( S_q \) is Cohen-Macaulay if and only if \( (S_K)_{q_K} \) is Cohen-Macaulay.

**Proof.** During the course of the proof we may (finitely many times) replace \( S \) by \( S_g \) for any \( g \in S \), \( g \notin q \). Hence using Lemma [114.3] we may assume that \( \dim(S) = \dim_S(S/k) =: d \) and find a finite injective map \( K[x_1, \ldots, x_d] \to S \). Note that this also induces a finite injective map \( K[x_1, \ldots, x_d] \to S_K \) by base change.
By Lemma \[\text{115.6}\] we have \(\dim_K(S_K/K) = d\). Set \(p = k[x_1, \ldots, x_d] \cap q\) and \(p_K = K[x_1, \ldots, x_d] \cap q_K\). Consider the following commutative diagram of Noetherian local rings

\[
\begin{array}{c}
S_q \longrightarrow (S_K)_{q_K} \\
\uparrow \hspace{1cm} \uparrow \\
k[x_1, \ldots, x_d]_p \longrightarrow K[x_1, \ldots, x_d]_{p_K}
\end{array}
\]

By Lemma \[\text{129.1}\] we have to show that the left vertical arrow is flat if and only if the right vertical arrow is flat. Because the bottom arrow is flat this equivalence holds by Lemma \[\text{99.1}\]. 

\[\text{Lemma 129.7.}\] Let \(R\) be a ring. Let \(R \rightarrow S\) be of finite type. Let \(R \rightarrow R'\) be any ring map. Set \(S' = R' \otimes_R S\). Denote \(f : \text{Spec}(S') \rightarrow \text{Spec}(S)\) the map associated to the ring map \(S \rightarrow S'\). Set \(W\) equal to the set of primes \(q\) such that the fibre ring \(S_q \otimes_R \kappa(p), \ p = R \cap q\) is Cohen-Macaulay, and let \(W'\) denote the analogue for \(S'/R'\). Then \(W' = f^{-1}(W)\).

\[\text{Proof.}\] Trivial from Lemma \[\text{129.6}\] and the definitions.

\[\text{Lemma 129.8.}\] Let \(R\) be a ring. Let \(R \rightarrow S\) be a ring map which is (a) flat, (b) of finite presentation, (c) has Cohen-Macaulay fibres. Then we can write \(S = S_0 \times \ldots \times S_n\) as a product of \(R\)-algebras \(S_d\) such that each \(S_d\) satisfies (a), (b), (c) and has all fibres equidimensional of dimension \(d\).

\[\text{Proof.}\] For each integer \(d\) denote \(W_d \subset \text{Spec}(S)\) the set defined in Lemma \[\text{129.4}\]. Clearly we have \(\text{Spec}(S) = \bigsqcup W_d\), and each \(W_d\) is open by the lemma we just quoted. Hence the result follows from Lemma \[\text{23.3}\].

\[130.\text{ Differentials}\]

In this section we define the module of differentials of a ring map.

\[\text{Definition 130.1.}\] Let \(\varphi : R \rightarrow S\) be a ring map and let \(M\) be an \(S\)-module. A \textit{derivation}, or more precisely an \(R\)-\textit{derivation} into \(M\) is a map \(D : S \rightarrow M\) which is additive, annihilates elements of \(\varphi(R)\), and satisfies the Leibniz rule: \(D(ab) = aD(b) + bD(a)\).

Note that \(D(ra) = rD(a)\) if \(r \in R\) and \(a \in S\). An equivalent definition is that an \(R\)-derivation is an \(R\)-linear map \(D : S \rightarrow M\) which satisfies the Leibniz rule. The set of all \(R\)-derivations forms an \(S\)-module: Given two \(R\)-derivations \(D, D'\) the sum \(D + D' : S \rightarrow M, a \mapsto D(a) + D'(a)\) is an \(R\)-derivation, and given an \(R\)-derivation \(D\) and an element \(c \in S\) the scalar multiple \(cD : S \rightarrow M, a \mapsto cD(a)\) is an \(R\)-derivation. We denote this \(S\)-module

\[\text{Der}_R(S, M)\]

Also, if \(\alpha : M \rightarrow N\) is an \(S\)-module map, then the composition \(\alpha \circ D\) is an \(R\)-derivation into \(N\). In this way the assignment \(M \mapsto \text{Der}_R(S, M)\) is a covariant functor.

Consider the following map of free \(S\)-modules

\[\bigoplus_{(a,b) \in S^2} S[(a,b)] \oplus \bigoplus_{(f,g) \in S^2} S[(f,g)] \oplus \bigoplus_{r \in R} S[r] \longrightarrow \bigoplus_{a \in S} S[a]\]
defined by the rules
\[ [(a, b)] \mapsto [a + b] - [a] - [b], \quad [(f, g)] \mapsto [fg] - f[g] - g[f], \quad [r] \mapsto [\varphi(r)] \]
with obvious notation. Let \( \Omega_{S/R} \) be the cokernel of this map. There is a map \( d : S \to \Omega_{S/R} \) which maps \( a \) to the class \( da \) of \( [a] \) in the cokernel. This is an \( R \)-derivation by the relations imposed on \( \Omega_{S/R} \), in other words
\[ d(a + b) = da + db, \quad d(fg) = f dg + gd f, \quad dr = 0 \]
where \( a, b, f, g \in S \) and \( r \in R \).

**Definition 130.2.** The pair \( (\Omega_{S/R}, d) \) is called the *module of Kähler differentials* or the *module of differentials* of \( S \) over \( R \).

**Lemma 130.3.** The module of differentials of \( S \) over \( R \) has the following universal property. The map
\[ \text{Hom}_S(\Omega_{S/R}, M) \to \text{Der}_R(S, M), \quad \alpha \mapsto \alpha \circ d \]
is an isomorphism of functors.

**Proof.** By definition an \( R \)-derivation is a rule which associates to each \( a \in S \) an element \( D(a) \in M \). Thus \( D \) gives rise to a map \( [D] : \oplus S[a] \to M \). However, the conditions of being an \( R \)-derivation exactly mean that \( [D] \) annihilates the image of the map in the displayed presentation of \( \Omega_{S/R} \) above. \( \square \)

**Lemma 130.4.** Let \( I \) be a directed set. Let \( (R_i \to S_i, \varphi_{ii'}) \) be a system of ring maps over \( I \), see Categories, Section [27]. Then we have
\[ \Omega_{S/R} = \text{colim}_i \Omega_{S_i/R_i}. \]
where \( R \to S = \text{colim}(R_i \to S_i) \).

**Proof.** This is clear from the presentation of \( \Omega_{S/R} \) given above. \( \square \)

**Lemma 130.5.** Suppose that \( R \to S \) is surjective. Then \( \Omega_{S/R} = 0 \).

**Proof.** You can see this either because all \( R \)-derivations clearly have to be zero, or because the map in the presentation of \( \Omega_{S/R} \) is surjective. \( \square \)

Suppose that
\[ S \xrightarrow{\varphi} S', \quad R \xrightarrow{\psi} R' \]
\[ \alpha \quad \beta \]
is a commutative diagram of rings. In this case there is a natural map of modules of differentials fitting into the commutative diagram
\[ \Omega_{S/R} \to \Omega_{S'/R'} \]
\[ d \to d \]
\[ S \xrightarrow{\varphi} S' \]

07BK
00RO
031G
00RP
00RQ (130.5.1)
To construct the map just use the obvious map between the presentations for $\Omega_{S/R}$ and $\Omega_{S'/R'}$. Namely,

$$\bigoplus S'[a, b] \oplus \bigoplus S'[f, g] \oplus \bigoplus S'[r] \longrightarrow \bigoplus S'[a']$$

Let $\varphi \in I$ be such that $\varphi(a) \in \beta(R')$. Thus the map is surjective. A diagram chase shows the result is simply that $f dg \in \Omega_{S/R}$ is mapped to $\varphi(f)d\varphi(g)$.

**Proof.** Consider the map of presentations above. Clearly the right vertical map of free modules is surjective. Thus the map is surjective. A diagram chase shows that the following elements generate the kernel as an $S$-module for sure: $ida, i \in I, a \in S$, and $da, a \in S$ such that $\varphi(a) = \beta(r')$ for some $r' \in R'$. Note that $\varphi(i) = \varphi(ia) = 0 = \beta(0)$, and that $d(ia) = ida + adi$. Hence $ida = d(ia) - adi$ is an $S$-linear combination of elements of the second kind. □

**Lemma 130.7.** Let $A \to B \to C$ be ring maps. Then there is a canonical exact sequence

$$C \otimes_B \Omega_{B/A} \to \Omega_{C/A} \to \Omega_{C/B} \to 0$$

of $C$-modules.

**Proof.** We get a diagram (130.5.1) by putting $R = A$, $S = C$, $R' = B$, and $S' = C$. By Lemma 130.6 the map $\Omega_{C/A} \to \Omega_{C/B}$ is surjective, and the kernel is generated by the elements $d(c)$, where $c \in C$ is in the image of $B \to C$. The lemma follows. □

**Lemma 130.8.** Let $\varphi : A \to B$ be a ring map.

1. If $S \subset A$ is a multiplicative subset mapping to invertible elements of $B$, then $\Omega_{B/A} = \Omega_{B/S^{-1}A}$.

2. If $S \subset B$ is a multiplicative subset then $S^{-1}\Omega_{B/A} = \Omega_{S^{-1}B/A}$.

**Proof.** To show the equality of (1) it is enough to show that any $A$-derivation $D : B \to M$ annihilates the elements $\varphi(s)^{-1}$. This is clear from the Leibniz rule applied to 1 = $\varphi(s)\varphi(s)^{-1}$. To show (2) note that there is an obvious map $S^{-1}\Omega_{B/A} \to \Omega_{S^{-1}B/A}$. To show it is an isomorphism it is enough to show that there is a $A$-derivation $d'$ of $S^{-1}B$ into $S^{-1}\Omega_{B/A}$. To define it we simply set $d'(b/s) = (1/s)db - (1/s^2)db$. Details omitted. □

**Lemma 130.9.** In diagram (130.5.4), suppose that $S \to S'$ is surjective with kernel $I \subset S$, and assume that $R' = R$. Then there is a canonical exact sequence of $S'$-modules

$$\frac{I/I^2}{\Omega_{S/R} \otimes_S S'} \to \Omega_{S'/R} \to 0$$

The leftmost map is characterized by the rule that $f \in I$ maps to $df \otimes 1$. 

**Proof.**
Proof. The middle term is $Ω_{S/R} \otimes_S S/I$. For $f \in I$ denote $f$ the image of $f$ in $I/I^2$. To show that the map $f \mapsto df \otimes 1$ is well defined we just have to check that $df_1 df_2 \otimes 1 = 0$ if $f_1, f_2 \in I$. And this is clear from the Leibniz rule $df_1 df_2 \otimes 1 = (f_1 df_2 + f_2 df_1) \otimes 1 = df_2 \otimes f_1 + df_1 \otimes f_2 = 0$. A similar computation show this map is $S' = S/I$-linear.

The map $Ω_{S/R} \otimes_S S' \to Ω_{S'/R}$ is the canonical $S'$-linear map associated to the $S$-linear map $Ω_{S/R} \to Ω_{S'/R}$. It is surjective because $Ω_{S/R} \to Ω_{S'/R}$ is surjective by Lemma 130.6

The composite of the two maps is zero because $df$ maps to zero in $Ω_{S'/R}$ for $f \in I$. Note that exactness just says that the kernel of $Ω_{S/R} \to Ω_{S'/R}$ is generated by $S$ as an $S$-submodule by the submodule $IΩ_{S/R}$ together with the elements $df$, with $f \in I$. We know by Lemma 130.6 that this kernel is generated by the elements $df(a)$ where $φ(a) = β(r)$ for some $r \in R$. But then $a = α(r) - α(0)$, so $df(a) = d(a - α(r))$. And $a - α(r) \in I$ since $φ(a - α(r)) = φ(a) - φ(α(r)) = β(r) - β(r) = 0$. We conclude the elements $df$ with $f \in I$ already generate the kernel as an $S$-module, as desired. □

**Lemma 130.10.** In diagram 130.5.1, suppose that $S \to S'$ is surjective with kernel $I \subset S$, and assume that $R' = R$. Moreover, assume that there exists an $R$-algebra map $S' \to S$ which is a right inverse to $S \to S'$. Then the exact sequence of $S'$-modules of Lemma 130.9 turns into a short exact sequence

$$0 \to I/I^2 \to Ω_{S/R} \otimes_S S' \to Ω_{S'/R} \to 0$$

which is even a split short exact sequence.

**Proof.** Let $β : S' \to S$ be the right inverse to the surjection $α : S \to S'$, so $S = I \oplus β(S')$. Clearly we can use $β : Ω_{S'/R} \to Ω_{S/R}$ to get a right inverse to the map $Ω_{S/R} \otimes_S S' \to Ω_{S'/R}$. On the other hand, consider the map

$$D : S \to I/I^2, \quad x \mapsto x - β(α(x))$$

It is easy to show that $D$ is an $R$-derivation (omitted). Moreover $x D(s) = 0$ if $x \in I, s \in S$. Hence, by the universal property $D$ induces a map $τ : Ω_{S'/R} \otimes_S S' \to I/I^2$. We omit the verification that it is a left inverse to $d : I/I^2 \to Ω_{S/R} \otimes_S S'$. Hence we win. □

**Lemma 130.11.** Let $R \to S$ be a ring map. Let $I \subset S$ be an ideal. Let $n \geq 1$ be an integer. Set $S' = S/I^{n+1}$. The map $Ω_{S/R} \to Ω_{S'/R}$ induces an isomorphism

$$Ω_{S/R} \otimes_S S/I^n \to Ω_{S'/R} \otimes_S S/I^n.$$

**Proof.** This follows from Lemma 130.9 and the fact that $d(I^{n+1}) \subset I^n Ω_{S/R}$ by the Leibniz rule for $d$. □

**Lemma 130.12.** Suppose that we have ring maps $R \to R'$ and $R \to S$. Set $S' = S \otimes_R R'$, so that we obtain a diagram 130.5.1. Then the canonical map defined above induces an isomorphism $Ω_{S/R} \otimes_R R' = Ω_{S'/R}$.

**Proof.** Let $d' : S' = S \otimes_R R' \to Ω_{S/R} \otimes_R R'$ denote the map $d' \left( \sum a_i \otimes x_i \right) = d(a_i) \otimes x_i$. It exists because the map $S \times R' \to Ω_{S/R} \otimes_R R'$, $(a, x) \mapsto da \otimes_R x$ is $R$-bilinear. This is an $R'$-derivation, as can be verified by a simple computation. We will show that $(Ω_{S/R} \otimes_R R', d')$ satisfies the universal property. Let $D : S' \to M'$ be an $R'$ derivation into an $S'$-module. The composition $S \to S' \to M'$ is an
Let \( R \) be a ring map. Let \( J = \text{Ker}(S \otimes_R S \to S) \) be the kernel of the multiplication map. There is a canonical isomorphism of \( S \)-modules \( \Omega_{S/R} \to J/J^2 \), \( ab \mapsto a \otimes b - ab \otimes 1 \).

**First proof.** Apply Lemma 130.10 to the commutative diagram

\[
\begin{array}{ccc}
S \otimes_R S & \to & S \\
\uparrow & & \downarrow \\
S & \to & \Omega_{S/R}
\end{array}
\]

where the left vertical arrow is \( a \mapsto a \otimes 1 \). We get the exact sequence \( 0 \to J/J^2 \to \Omega_{S\otimes_R S/S \otimes_R S} \to \Omega_{S/S} \to 0 \). By Lemma 130.13, the term \( \Omega_{S/S} \) is 0, and we obtain an isomorphism between the other two terms. We have \( \Omega_{S\otimes_R S/S} = \Omega_{S/R} \otimes_S (S \otimes_R S) \) by Lemma 130.12 as \( S \to S \otimes_R S \) is the base change of \( R \to S \) and hence

\[
\Omega_{S\otimes_R S \otimes_S \otimes_R S} = \Omega_{S/R} \otimes_S (S \otimes_R S) \otimes_S \otimes_R S = \Omega_{S/R}
\]

We omit the verification that the map is given by the rule of the lemma.

**Second proof.** First we show that the rule \( ab \mapsto a \otimes b - ab \otimes 1 \) is well defined. In order to do this we have to show that \( d \) and \( a \otimes b + b \otimes a - d(ab) \) map to zero. The first because \( r \otimes 1 - 1 \otimes r = 0 \) by definition of the tensor product. The second because

\[
(a \otimes b - ab \otimes 1) + (b \otimes a - ba \otimes 1) - (1 \otimes ab - ab \otimes 1) = (a \otimes 1 - 1 \otimes a)(1 \otimes b - b \otimes 1)
\]

is in \( J^2 \).

We construct a map in the other direction. We may think of \( S \to S \otimes_R S, a \mapsto a \otimes 1 \) as the base change of \( R \to S \). Hence we have \( \Omega_{S \otimes_R S/S} = \Omega_{S/R} \otimes_S (S \otimes_R S) \) by Lemma 130.12. At this point the sequence of Lemma 130.9 gives a map

\[
J/J^2 \to \Omega_{S \otimes_R S/S \otimes_S \otimes_R S} = (\Omega_{S/R} \otimes_S (S \otimes_R S)) \otimes_S \otimes_R S = \Omega_{S/R}
\]

We leave it to the reader to see it is the inverse of the map above.

**Lemma 130.14.** If \( S = R[x_1, \ldots, x_n] \), then \( \Omega_{S/R} \) is a finite free \( S \)-module with basis \( dx_1, \ldots, dx_n \).

**Proof.** We first show that \( dx_1, \ldots, dx_n \) generate \( \Omega_{S/R} \) as an \( S \)-module. To prove this we show that \( dq \) can be expressed as a sum \( \sum g_i dx_i \) for any \( g \in R[x_1, \ldots, x_n] \).

We do this by induction on the (total) degree of \( g \). It is clear if the degree of \( g \) is 0, because then \( dq = 0 \). If the degree of \( g \) is \( > 0 \), then we may write \( g \) as \( c + \sum g_i x_i \) with \( c \in R \) and \( \text{deg}(g_i) < \text{deg}(g) \). By the Leibniz rule we have \( dg = \sum g_i dx_i + \sum x_i dg_i \), and hence we win by induction.

Consider the \( R \)-derivation \( \partial/\partial x_i : R[x_1, \ldots, x_n] \to R[x_1, \ldots, x_n] \). (We leave it to the reader to define this; the defining property being that \( \partial/\partial x_j(x_i) = \delta_{ij} \).) By the universal property this corresponds to an \( S \)-module map \( l_i : \Omega_{S/R} \to R[x_1, \ldots, x_n] \)
which maps $dx_i$ to 1 and $dx_j$ to 0 for $j \neq i$. Thus it is clear that there are no $S$-linear relations among the elements $dx_1, \ldots, dx_n$. □

00RY Lemma 130.15. Suppose $R \to S$ is of finite presentation. Then $\Omega_{S/R}$ is a finitely presented $S$-module.

Proof. Write $S = R[x_1, \ldots, x_n]/(f_1, \ldots, f_m)$. Write $I = (f_1, \ldots, f_m)$. According to Lemma 130.9 there is an exact sequence of $S$-modules

$I/I^2 \to \Omega_{R[x_1,\ldots,x_n]/R} \otimes_{R[x_1,\ldots,x_n]} S \to \Omega_{S/R} \to 0$

The result follows from the fact that $I/I^2$ is a finite $S$-module (generated by the images of the $f_i$), and that the middle term is finite free by Lemma 130.14. □

00RZ Lemma 130.16. Suppose $R \to S$ is of finite type. Then $\Omega_{S/R}$ is finitely generated $S$-module.

Proof. This is very similar to, but easier than the proof of Lemma 130.15. □

131. Finite order differential operators

In this section we introduce differential operators of finite order.

Definition 131.1. Let $R \to S$ be a ring map. Let $M, N$ be $S$-modules. Let $k \geq 0$ be an integer. We inductively define a differential operator $D : M \to N$ of order $k$ to be an $R$-linear map such that for all $g \in S$ the map $m \mapsto D(gm) - gD(m)$ is a differential operator of order $k - 1$. For the base case $k = 0$ we define a differential operator of order 0 to be an $S$-linear map.

If $D : M \to N$ is a differential operator of order $k$, then for all $g \in S$ the map $gD$ is a differential operator of order $k$. The sum of two differential operators of order $k$ is another. Hence the set of all these

$\text{Diff}^k(M, N) = \text{Diff}^k_{S/R}(M, N)$

is an $S$-module. We have

$\text{Diff}^0(M, N) \subset \text{Diff}^1(M, N) \subset \text{Diff}^2(M, N) \subset \ldots$

Lemma 131.2. Let $R \to S$ be a ring map. Let $L, M, N$ be $S$-modules. If $D : L \to M$ and $D' : M \to N$ are differential operators of order $k$ and $k'$, then $D' \circ D$ is a differential operator of order $k + k'$.

Proof. Let $g \in S$. Then the map which sends $x \in L$ to

$D'(D(gx)) - gD'(D(x)) = D'(D(gx)) - D'(gD(x)) + D'(gD(x)) - gD'(D(x))$

is a sum of two compositions of differential operators of lower order. Hence the lemma follows by induction on $k + k'$. □

Lemma 131.3. Let $R \to S$ be a ring map. Let $M$ be an $S$-module. Let $k \geq 0$. There exists an $S$-module $P^k_{S/R}(M)$ and a canonical isomorphism

$\text{Diff}^k_{S/R}(M, N) = \text{Hom}_S(P^k_{S/R}(M), N)$

functorial in the $S$-module $N$. 
Proof. The existence of \( P_{S/R}^k(M) \) follows from general category theoretic arguments (insert future reference here), but we will also give a construction. Set \( F = \bigoplus_{m \in M} S[m] \) where \( [m] \) is a symbol indicating the basis element in the summand corresponding to \( m \). Given any differential operator \( D : M \to N \) we obtain an \( S \)-linear map \( L_D : F \to N \) sending \( [m] \) to \( D(m) \). If \( D \) has order 0, then \( L_D \) annihilates the elements \([m + m'] - [m] - [m'], \quad g_0[m] - [g_0m]\) where \( g_0 \in S \) and \( m, m' \in M \). If \( D \) has order 1, then \( L_D \) annihilates the elements \([m + m'] - [m] - [m'], \quad f[m] - [fm], \quad g_0g_1[m] - g_0[g_1m] - g_1[g_0m] + [g_1g_0m]\) where \( f \in R, \ g_0, g_1 \in S, \) and \( m \in M \). If \( D \) has order \( k \), then \( L_D \) annihilates the elements \([m + m'] - [m] - [m'], \quad f[m] - [fm], \quad \text{and the elements}\)
\[g_0g_1 \cdots g_k [m] - \sum g_0 \cdots g_1 g_k [g_i m] + \ldots + (-1)^{k+1} [g_0 \cdots g_k m]\]
Conversely, if \( L : F \to N \) is an \( S \)-linear map annihilating all the elements listed in the previous sentence, then \( m \mapsto L([m]) \) is a differential operator of order \( k \). Thus we see that \( P_{S/R}^k(M) \) is the quotient of \( F \) by the submodule generated by these elements.

09CM Definition 131.4. Let \( R \to S \) be a ring map. Let \( M \) be an \( S \)-module. The module \( P_{S/R}^k(M) \) constructed in Lemma 131.3 is called the module of principal parts of order \( k \) of \( M \).

Note that the inclusions
\[\text{Diff}^0(M, N) \subset \text{Diff}^1(M, N) \subset \text{Diff}^2(M, N) \subset \ldots\]
correspond via Yoneda’s lemma (Categories, Lemma 3.5) to surjections
\[\ldots \to P_{S/R}^2(M) \to P_{S/R}^1(M) \to P_{S/R}^0(M) = M\]

09CM Example 131.5. Let \( R \to S \) be a ring map and let \( N \) be an \( S \)-module. Observe that \( \text{Diff}^1(S, N) = \text{Der}_R(S, N) \cong N \). Namely, if \( D : S \to N \) is a differential operator of order 1 then \( \sigma_D : S \to N \) defined by \( \sigma_D(g) := D(g) - gD(1) \) is an \( S \)-derivation and \( D = \sigma_D + \lambda_D(1) \) where \( \lambda_D : S \to N \) is the linear map sending \( g \) to \( gx \). It follows that \( P_{S/R}^1 = \Omega_{S/R} \) by the universal property of \( \Omega_{S/R} \).

09CN Lemma 131.6. Let \( R \to S \) be a ring map. Let \( M \) be an \( S \)-module. There is a canonical short exact sequence
\[0 \to \Omega_{S/R} \otimes_S M \to P_{S/R}^1(M) \to M \to 0\]
functorial in \( M \) called the sequence of principal parts.

Proof. The map \( P_{S/R}^1(M) \to M \) is given above. Let \( N \) be an \( S \)-module and let \( D : M \to N \) be a differential operator of order 1. For \( m \in M \) the map
\[g \mapsto D(gm) - gD(m)\]
is an \( R \)-derivation \( S \to N \) by the axioms for differential operators of order 1. Thus it corresponds to a linear map \( D_m : \Omega_{S/R} \to N \) determined by the rule \( adb \mapsto aD(bm) - abD(m) \) (see Lemma 130.3). The map
\[\Omega_{S/R} \times M \to N, \quad (\eta, m) \mapsto D_m(\eta)\]
is $S$-bilinear (details omitted) and hence determines an $S$-linear map
\[
\sigma_D : \Omega_{S/R} \otimes_S M \to N
\]
In this way we obtain a map $\text{Diff}^1(M, N) \to \text{Hom}_S(\Omega_{S/R} \otimes_S M, N)$, $D \mapsto \sigma_D$ functorial in $N$. By the Yoneda lemma this corresponds a map $\Omega_{S/R} \otimes_S M \to P_{S/R}^1(M)$. It is immediate from the construction that this map is functorial in $M$. The sequence
\[
\Omega_{S/R} \otimes_S M \to P_{S/R}^1(M) \to M \to 0
\]
is exact because for every module $N$ the sequence
\[
0 \to \text{Hom}_S(M, N) \to \text{Diff}^1(M, N) \to \text{Hom}_S(\Omega_{S/R} \otimes_S M, N)
\]
is exact by inspection.
To see that $\Omega_{S/R} \otimes_S M \to P_{S/R}^1(M)$ is injective we argue as follows. Choose an exact sequence
\[
0 \to M' \to F \to M \to 0
\]
with $F$ a free $S$-module. This induces an exact sequence
\[
0 \to \text{Diff}^1(M, N) \to \text{Diff}^1(F, N) \to \text{Diff}^1(M', N)
\]
for all $N$. This proves that in the commutative diagram
\[
\begin{array}{ccccccc}
0 & \to & \Omega_{S/R} \otimes_S M' & \to & P_{S/R}^1(M') & \to & M' & \to & 0 \\
& & \downarrow & & \downarrow & & \downarrow & & \\
0 & \to & \Omega_{S/R} \otimes_S F & \to & P_{S/R}^1(F) & \to & F & \to & 0 \\
& & \downarrow & & \downarrow & & \downarrow & & \\
0 & \to & \Omega_{S/R} \otimes_S M & \to & P_{S/R}^1(M) & \to & M & \to & 0 \\
& & & & \downarrow & & \downarrow & & \\
& & & & 0 & & \downarrow & & \\
\end{array}
\]
the middle column is exact. The left column is exact by right exactness of $\Omega_{S/R} \otimes_S -$. By the snake lemma (see Section 4) it suffices to prove exactness on the left for the free module $F$. Using that $P_{S/R}^1(-)$ commutes with direct sums we reduce to the case $M = S$. This case is a consequence of the discussion in Example 131.5. □

09CP Remark 131.7. Suppose given a commutative diagram of rings
\[
\begin{array}{ccc}
B & \longrightarrow & B' \\
\uparrow & & \uparrow \\
A & \longrightarrow & A'
\end{array}
\]
a $B$-module $M$, a $B'$-module $M'$, and a $B$-linear map $M \to M'$. Then we get a compatible system of module maps

$$
\ldots \longrightarrow P^2_{B'/A'}(M') \longrightarrow P^1_{B'/A'}(M') \longrightarrow P^0_{B'/A'}(M')
\ldots \longrightarrow P^2_{B/A}(M) \longrightarrow P^1_{B/A}(M) \longrightarrow P^0_{B/A}(M)
$$

These maps are compatible with further composition of maps of this type. The easiest way to see this is to use the description of the modules $P^k_{B/A}(M)$ in terms of generators and relations in the proof of Lemma 131.3 but it can also be seen directly from the universal property of these modules. Moreover, these maps are compatible with the short exact sequences of Lemma 131.6.

### 132. The naive cotangent complex

**00S0** Let $R \to S$ be a ring map. Denote $R[S]$ the polynomial ring whose variables are the elements $s \in S$. Let's denote $[s] \in R[S]$ the variable corresponding to $s \in S$. Thus $R[S]$ is a free $R$-module on the basis elements $[s_1] \ldots [s_n]$ where $s_1, \ldots, s_n$ ranges over all unordered sequences of elements of $S$. There is a canonical surjection

$$
R[S] \twoheadrightarrow S, \quad [s] \mapsto s
$$

whose kernel we denote $I \subset R[S]$. It is a simple observation that $I$ is generated by the elements $[s + s'] - [s] - [s']$, $[ss'] - [s][s']$ and $[r] - r$. According to Lemma 130.9 there is a canonical map

$$
I/I^2 \longrightarrow \Omega_{R[S]/R} \otimes_{R[S]} S
$$

whose cokernel is canonically isomorphic to $\Omega_{S/R}$. Observe that the $S$-module $\Omega_{R[S]/R} \otimes_{R[S]} S$ is free on the generators $d[s]$.

**07BL** (132.0.1) Let $R \to S$ be a ring map. The naive cotangent complex $NL_{S/R}$ is the chain complex

$$
NL_{S/R} = (I/I^2 \longrightarrow \Omega_{R[S]/R} \otimes_{R[S]} S)
$$

with $I/I^2$ placed in (homological) degree 1 and $\Omega_{R[S]/R} \otimes_{R[S]} S$ placed in degree 0. We will denote $H_1(L_{S/R}) = H_1(NL_{S/R})$ the homology in degree 1.

Before we continue let us say a few words about the actual cotangent complex (Cotangent, Section 3). Given a ring map $R \to S$ there exists a canonical simplicial $R$-algebra $P_\bullet$ whose terms are polynomial algebras and which comes equipped with a canonical homotopy equivalence

$$
P_\bullet \longrightarrow S
$$

The cotangent complex $L_{S/R}$ of $S$ over $R$ is defined as the chain complex associated to the cosimplicial module

$$
\Omega_{P_\bullet/R} \otimes_{P_\bullet} S
$$

The naive cotangent complex as defined above is canonically isomorphic to the truncation $\tau_{\leq 1} L_{S/R}$ (see Homology, Section 15 and Cotangent, Section 10). In particular, it is indeed the case that $H_1(NL_{S/R}) = H_1(L_{S/R})$ so our definition

---

11This module is sometimes denoted $\Gamma_{S/R}$ in the literature.
Let $R \to S$ be a ring map. A presentation of $S$ over $R$ is a surjection $\alpha : P \to S$ of $R$-algebras where $P$ is a polynomial algebra (on a set of variables). Often, when $S$ is of finite type over $R$ we will indicate this by saying: “Let $R[x_1, \ldots, x_n] \to S$ be a presentation of $S/R'$, or “Let $0 \to I \to R[x_1, \ldots, x_n] \to S \to 0$ be a presentation of $S/R'$ if we want to indicate that $I$ is the kernel of the presentation. Note that the map $R[S] \to S$ used to define the naive cotangent complex is an example of a presentation.

Note that for every presentation $\alpha$ we obtain a two term chain complex of $S$-modules

$$NL(\alpha) : I/I^2 \longrightarrow \Omega_{P/R} \otimes_P S.$$  

Here the term $I/I^2$ is placed in degree 1 and the term $\Omega_{P/R} \otimes_P S$ is placed in degree 0. The class of $f \in I$ in $I/I^2$ is mapped to $df \otimes 1$ in $\Omega_{P/R} \otimes S$. The cokernel of this complex is canonically $\Omega_{S/R}$, see Lemma 130.9. We call the complex $NL(\alpha)$ the naive cotangent complex associated to the presentation $\alpha : P \to S$ of $S/R$. Note that if $P = R[S]$ with its canonical surjection onto $S$, then we recover $NL_{S/R}$. If $P = R[x_1, \ldots, x_n]$ then will sometimes use the notation $I/I^2 \to \bigoplus_{i=1,\ldots,n} Sdx_i$ to denote this complex.

Suppose we are given a commutative diagram

\[
\begin{array}{ccc}
S & \rightarrow & S' \\
\phi \downarrow & & \downarrow \\
R & \rightarrow & R'
\end{array}
\]  

of rings. Let $\alpha : P \to S$ be a presentation of $S$ over $R$ and let $\alpha' : P' \to S'$ be a presentation of $S'$ over $R'$. A morphism of presentations from $\alpha : P \to S$ to $\alpha' : P' \to S'$ is defined to be an $R$-algebra map

$$\varphi : P \to P'$$

such that $\phi \circ \alpha = \alpha' \circ \varphi$. Note that in this case $\varphi(I) \subset I'$, where $I = \text{Ker}(\alpha)$ and $I' = \text{Ker}(\alpha')$. Thus $\varphi$ induces a map of $S$-modules $I/I^2 \to I'/I'^2$ and by functoriality of differentials also an $S$-module map $\Omega_{P/R} \otimes S \to \Omega_{P'/R'} \otimes S'$. These maps are compatible with the differentials of $NL(\alpha)$ and $NL(\alpha')$ and we obtain a map of naive cotangent complexes

$$NL(\alpha) \longrightarrow NL(\alpha').$$

It is often convenient to consider the induced map $NL(\alpha) \otimes_S S' \to NL(\alpha').$

In the special case that $P = R[S]$ and $P' = R'[S']$ the map $\phi : S \to S'$ induces a canonical ring map $\varphi : P \to P'$ by the rule $[s] \mapsto [\phi(s)]$. Hence the construction above determines canonical(!) maps of chain complexes

$$NL_{S/R} \longrightarrow NL_{S'/R'}, \text{ and } NL_{S/R} \otimes SS' \longrightarrow NL_{S'/R'}.$$
associated to the diagram \([132.1.1]\). Note that this construction is compatible with composition: given a commutative diagram

\[
\begin{array}{ccc}
S & \xrightarrow{\phi} & S' \\
\downarrow & & \downarrow \\
R & \xrightarrow{\phi'} & R'
\end{array}
\]

we see that the composition of

\[
NL_{S/R} \to NL_{S'/R} \to NL_{S''/R'}
\]

is the map \(NL_{S/R} \to NL_{S''/R'}\) given by the outer square.

It turns out that \(NL(\alpha)\) is homotopy equivalent to \(NL_{S/R}\) and that the maps constructed above are well defined up to homotopy (homotopies of maps of complexes are discussed in Homology, Section [13] but we also spell out the exact meaning of the statements in the lemma below in its proof).

\textbf{Lemma 132.2.} Suppose given a diagram \([132.1.1]\). Let \(\alpha : P \to S\) and \(\alpha' : P' \to S'\) be presentations.

1. There exists a morphism of presentations from \(\alpha\) to \(\alpha'\).
2. Any two morphisms of presentations induce homotopic morphisms of complexes \(NL(\alpha) \to NL(\alpha')\).
3. The construction is compatible with compositions of morphisms of presentations (see proof for exact statement).
4. If \(R \to R'\) and \(S \to S'\) are isomorphisms, then for any map \(\varphi\) of presentations from \(\alpha\) to \(\alpha'\) the induced map \(NL(\alpha) \to NL(\alpha')\) is a homotopy equivalence and a quasi-isomorphism.

In particular, comparing \(\alpha\) to the canonical presentation \([132.0.1]\) we conclude there is a quasi-isomorphism \(NL(\alpha) \to NL_{S/R}\) well defined up to homotopy and compatible with all functorialities (up to homotopy).

**Proof.** Since \(P\) is a polynomial algebra over \(R\) we can write \(P = R[x_a, a \in A]\) for some set \(A\). As \(\alpha'\) is surjective, we can choose for every \(a \in A\) an element \(f_a \in P'\) such that \(\alpha'(f_a) = \phi(\alpha(x_a))\). Let \(\varphi : P = R[x_a, a \in A] \to P'\) be the unique \(R\)-algebra map such that \(\varphi(x_a) = f_a\). This gives the morphism in (1).

Let \(\varphi\) and \(\varphi'\) morphisms of presentations from \(\alpha\) to \(\alpha'\). Let \(I = \text{Ker}(\alpha)\) and \(I' = \text{Ker}(\alpha')\). We have to construct the diagonal map \(h\) in the diagram

\[
\begin{array}{cccc}
I/I^2 & \xrightarrow{d} & \Omega_{P/R} \otimes_P S \\
\downarrow{\varphi_1} & & \downarrow{\varphi_0} \\
I'/(I')^2 & \xrightarrow{d} & \Omega_{P'/R} \otimes_{P'} S'
\end{array}
\]

where the vertical maps are induced by \(\varphi, \varphi'\) such that

\[
\varphi_1 - \varphi'_1 = h \circ d \quad \text{and} \quad \varphi_0 - \varphi'_0 = d \circ h
\]

Consider the map \(\varphi - \varphi' : P \to P'\). Since both \(\varphi\) and \(\varphi'\) are compatible with \(\alpha\) and \(\alpha'\) we obtain \(\varphi - \varphi' : P \to I'\). This implies that \(\varphi, \varphi' : P \to P'\) induce the same...
Let \( 00S2 \) to \( \alpha \) then it is immediate that \( (\varphi - \varphi')(p) \in (I')^2 \). Also 
\( \varphi - \varphi' \) is \( R \)-linear and 
\[
(\varphi - \varphi')(fg) = \varphi(f)(\varphi - \varphi')(g) + (\varphi - \varphi')(f) \varphi'(g)
\]
Hence the induced map \( D : P \to (I')^2 \) is a \( R \)-derivation. Thus we obtain a canonical map \( h : \Omega_{P/R} \otimes_P S \to (I')^2 \) such that \( D = h \circ d \). A calculation (omitted) shows that \( h \) is the desired homotopy.

Suppose that we have a commutative diagram
\[
\begin{array}{ccc}
S & \xrightarrow{\phi} & S' \\
\uparrow & & \uparrow \\
R & \xrightarrow{\alpha'} & R'
\end{array}
\]
and that
1. \( \alpha : P \to S \),
2. \( \alpha' : P' \to S' \), and
3. \( \alpha'' : P'' \to S'' \)
are presentations. Suppose that
1. \( \varphi : P \to P \) is a morphism of presentations from \( \alpha \) to \( \alpha' \) and
2. \( \varphi' : P' \to P'' \) is a morphism of presentations from \( \alpha' \) to \( \alpha'' \).

Then it is immediate that \( \varphi' \circ \varphi : P \to P'' \) is a morphism of presentations from \( \alpha \) to \( \alpha'' \) and that the induced map \( NL(\alpha) \to NL(\alpha'') \) of naive cotangent complexes is the composition of the maps \( NL(\alpha) \to NL(\alpha') \) and \( NL(\alpha') \to NL(\alpha'') \) induced by \( \varphi \) and \( \varphi' \).

In the simple case of complexes with 2 terms a quasi-isomorphism is just a map that induces an isomorphism on both the cokernel and the kernel of the maps between the terms. Note that homotopic maps of 2 term complexes (as explained above) define the same maps on kernel and cokernel. Hence if \( \varphi \) is a map from a presentation \( \alpha \) of \( S \) over \( R \) to itself, then the induced map \( NL(\alpha) \to NL(\alpha) \) is a quasi-isomorphism being homotopic to the identity by part (2). To prove (4) in full generality, consider a morphism \( \varphi' \) from \( \alpha' \) to \( \alpha \) which exists by (1). The compositions \( NL(\alpha) \to NL(\alpha') \to NL(\alpha) \) and \( NL(\alpha') \to NL(\alpha) \to NL(\alpha') \) are homotopic to the identity maps by (3), hence these maps are homotopy equivalences by definition. It follows formally that both maps \( NL(\alpha) \to NL(\alpha') \) and \( NL(\alpha') \to NL(\alpha) \) are quasi-isomorphisms. Some details omitted.

08Q1 **Lemma 132.3.** Let \( A \to B \) be a polynomial algebra. Then \( NL_{B/A} \) is homotopy equivalent to the chain complex \( (0 \to \Omega_{B/A}) \) with \( \Omega_{B/A} \) in degree 0.

**Proof.** Follows from Lemma 132.2 and the fact that \( id_B : B \to B \) is a presentation of \( B \) over \( A \) with zero kernel.

The following lemma is part of the motivation for introducing the naive cotangent complex. The cotangent complex extends this to a genuine long exact cohomology sequence. If \( B \to C \) is a local complete intersection, then one can extend the sequence with a zero on the left, see More on Algebra, Lemma 32.6.

00S2 **Lemma 132.4 (Jacobi-Zariski sequence).** Let \( A \to B \to C \) be ring maps. Choose a presentation \( \alpha : A[x, s \in S] \to B \) with kernel \( I \). Choose a presentation \( \beta :
$B[y_t, t \in T] \to C$ with kernel $J$. Let $\gamma : A[x_s, y_t] \to C$ be the induced presentation of $C$ with kernel $K$. Then we get a canonical commutative diagram

$$
\begin{array}{ccccccccc}
0 & \longrightarrow & \Omega_{A[x_s]/A} \otimes C & \longrightarrow & \Omega_{A[x_s,y_t]/A} \otimes C & \longrightarrow & \Omega_{B[y_t]/B} \otimes C & \longrightarrow & 0 \\
I/I^2 \otimes C & \longrightarrow & K/K^2 & \longrightarrow & J/J^2 & \longrightarrow & 0 \\
\end{array}
$$

with exact rows. We get the following exact sequence of homology groups

$$H_1(NL_{B/A} \otimes B) \to H_1(L_{C/A}) \to H_1(L_{C/B}) \to C \otimes_B \Omega_{B/A} \to \Omega_{C/A} \to \Omega_{C/B} \to 0$$

of $C$-modules extending the sequence of Lemma 130.7. If $\text{Tor}_1^B(\Omega_{B/A}, C) = 0$, then $H_1(NL_{B/A} \otimes B) = H_1(L_{B/A}) \otimes B$.

**Proof.** The precise definition of the maps is omitted. The exactness of the top row follows as the $dx_s, dy_t$ form a basis for the middle module. The map $\gamma$ factors

$$A[x_s, y_t] \to B[y_t] \to C$$

with surjective first arrow and second arrow equal to $\beta$. Thus we see that $K \to J$ is surjective. Moreover, the kernel of the first displayed arrow is $IA[x_s,y_t]$. Hence $I/I^2 \otimes C$ surjects onto the kernel of $K/K^2 \to J/J^2$. Finally, we can use Lemma 132.2 to identify the terms as homology groups of the naive cotangent complexes. The final assertion follows as the degree 0 term of the complex $NL_{B/A}$ is a free $B$-module.

**Remark 132.5.** Let $A \to B$ and $\phi : B \to C$ be ring maps. Then the composition $NL_{B/A} \to NL_{C/A} \to NL_{C/B}$ is homotopy equivalent to zero. Namely, this composition is the functoriality of the naive cotangent complex for the square

$$
\begin{array}{ccc}
B & \longrightarrow & C \\
\phi \downarrow & & \downarrow & \phi \\
A & \longrightarrow & B
\end{array}
$$

Write $J = \text{Ker}(B[C] \to C)$. An explicit homotopy is given by the map $\Omega_{A[B]/A} \otimes_A B \to J/J^2$ which maps the basis element $\text{d}[b]$ to the class of $[\phi(b)] - b$ in $J/J^2$.

**Lemma 132.6.** Let $A \to B$ be a surjective ring map with kernel $I$. Then $NL_{B/A}$ is homotopy equivalent to the chain complex $(I/I^2 \to 0)$ with $I/I^2$ in degree 1. In particular $H_1(L_{B/A}) = 1/I^2$.

**Proof.** Follows from Lemma 132.2 and the fact that $A \to B$ is a presentation of $B$ over $A$.

**Lemma 132.7.** Let $A \to B \to C$ be ring maps. Assume $A \to C$ is surjective (so also $B \to C$ is). Denote $I = \text{Ker}(A \to C)$ and $J = \text{Ker}(B \to C)$. Then the sequence

$$I/I^2 \to J/J^2 \to \Omega_{B/A} \otimes_B B/J \to 0$$

is exact.

**Proof.** Follows from Lemma 132.4 and the description of the naive cotangent complexes $NL_{C/B}$ and $NL_{C/A}$ in Lemma 132.6.
Lemma 132.8 (Flat base change). Let $R \to S$ be a ring map. Let $\alpha : P \to S$ be a presentation. Let $R \to R'$ be a flat ring map. Let $\alpha' : P \otimes_R R' \to S = S \otimes_R R'$ be the induced presentation. Then $NL(\alpha) \otimes_R R' = NL(\alpha')$. In particular, the canonical map

$$NL_{S/R} \otimes_R R' \to NL_{S \otimes_R R'/R'}$$

is a homotopy equivalence if $R \to R'$ is flat.

Proof. This is true because $\text{Ker}(\alpha') = R' \otimes_R \text{Ker}(\alpha)$ since $R \to R'$ is flat.

Lemma 132.9. Let $R_i \to S_i$ be a system of ring maps over the directed set $I$. Set $R = \text{colim} R_i$ and $S = \text{colim} S_i$. Then $NL_{S/R} = \text{colim} NL_{S_i/R_i}$.

Proof. Recall that $NL_{S/R}$ is the complex $I/I^2 \to \bigoplus_{s \in S} Sd[s]$ where $I \subset R[S]$ is the kernel of the canonical presentation $R[S] \to S$. Now it is clear that $R[S] = \text{colim} R_i[S_i]$ and similarly that $I = \text{colim} I_i$ where $I_i = \text{Ker}(R_i[S_i] \to S_i)$. Hence the lemma is clear.

Lemma 132.10. If $S \subset A$ is a multiplicative subset of $A$, then $NL_{S^{-1}A/A}$ is homotopy equivalent to the zero complex.

Proof. Since $A \to S^{-1}A$ is flat we see that $NL_{S^{-1}A/A} \otimes_A S^{-1}A \to NL_{S^{-1}A/S^{-1}A}$ is a homotopy equivalence by flat base change (Lemma 132.8). Since the source of the arrow is isomorphic to $NL_{S^{-1}A/A}$ and the target of the arrow is zero (by Lemma 132.6) we win.

Lemma 132.11. Let $S \subset A$ be a multiplicative subset of $A$. Let $S^{-1}A \to B$ be a ring map. Then $NL_{B/A} \to NL_{B/S^{-1}A}$ is a homotopy equivalence.

Proof. Choose a presentation $\alpha : P \to B$ of $B$ over $A$. Then $\beta : S^{-1}P \to B$ is a presentation of $B$ over $S^{-1}A$. A direct computation shows that we have $NL(\alpha) = NL(\beta)$ which proves the lemma as the naive cotangent complex is well defined up to homotopy by Lemma 132.2.

Lemma 132.12. Let $A \to B$ be a ring map. Let $g \in B$. Suppose $\alpha : P \to B$ is a presentation with kernel $I$. Then a presentation of $B_g$ over $A$ is the map

$$\beta : P[x] \to B_g$$

extending $\alpha$ and sending $x$ to $1/g$. The kernel $J$ of $\beta$ is generated by $I$ and the element $fx - 1$ where $f \in P$ is an element mapped to $g \in B$ by $\alpha$. In this situation we have

1. $J/J^2 = (I/I^2)_g \oplus B_g(fx - 1)$,
2. $\Omega_{P[x]/A} \otimes_{P[x]} B_g = \Omega_{P/A} \otimes_P B_g \oplus B_g dx$,
3. $NL(\beta) \cong NL(\alpha) \otimes_B B_g \oplus (B_g \xrightarrow{\alpha} B_g)$

Hence the canonical map $NL_{B/A} \otimes_B B_g \to NL_{B_g/A}$ is a homotopy equivalence.

Proof. Since $P[x]/(I, fx - 1) = B[x]/(gx - 1) = B_g$ we get the statement about $I$ and $fx - 1$ generating $J$. Consider the commutative diagram

$$
\begin{array}{cccccc}
0 & \to & \Omega_{P/A} \otimes B_g & \to & \Omega_{P[x]/A} \otimes B_g & \to & \Omega_{B[x]/B} \otimes B_g & \to & 0 \\
& & \uparrow & & \uparrow & & \uparrow & & \\
& & (I/I^2)_g & \to & J/J^2 & \to & (gx - 1)/(gx - 1)^2 & \to & 0
\end{array}
$$
with exact rows of Lemma 132.4. The \( B_g \)-module \( \Omega_{B[x]/B} \otimes B_g \) is free of rank 1 on \( \text{d}x \). The element \( \text{d}x \) in the \( B_g \)-module \( \Omega_{P[x]/A} \otimes B_g \) provides a splitting for the top row. The element \( g x - 1 \in (g x - 1)/(g x - 1)^2 \) is mapped to \( g \text{d}x \) in \( \Omega_{B[x]/B} \otimes B_g \) and hence \( (g x - 1)/(g x - 1)^2 \) is free of rank 1 over \( B_g \). (This can also be seen by arguing that \( g x - 1 \) is a nonzerodivisor in \( B[x] \) because it is a polynomial with invertible constant term and any nonzerodivisor gives a quasi-regular sequence of length 1 by Lemma 68.2.)

Let us prove \( (I/I^2)_g \to J/J^2 \) injective. Consider the \( P \)-algebra map
\[
\pi : P[x] \to (P/I^2)_f = P_f/I_f^2
\]
sending \( x \) to \( 1/f \). Since \( J \) is generated by \( I \) and \( f x - 1 \) we see that \( \pi(J) \subset (I/I^2)_f = (I/I^2)_g \). Since this is an ideal of square zero we see that \( \pi(J^2) = 0 \). If \( a \in I \) maps to an element of \( J^2 \) in \( J \), then \( \pi(a) = 0 \), which implies that \( a \) maps to zero in \( I_f/I_f^2 \). This proves the desired injectivity.

Thus we have a short exact sequence of two term complexes
\[
0 \to NL(\alpha) \otimes_B B_g \to NL(\beta) \to (B_g \xrightarrow{\pi} B_g) \to 0
\]
Such a short exact sequence can always be split in the category of complexes. In our particular case we can take as splittings
\[
J/J^2 = (I/I^2)_g \oplus B_g(f x - 1) \quad \text{and} \quad \Omega_{P[x]/A} \otimes B_g = \Omega_{P/A} \otimes B_g \oplus B_g(g^{-2}\text{d}f + \text{d}x)
\]
This works because \( \text{d}(f x - 1) = x\text{d}f + f \text{d}x = g^{-2}\text{d}f + \text{d}x \) in \( \Omega_{P[x]/A} \otimes B_g \). \( \square \)

Lemma 132.13. Let \( A \to B \) be a ring map. Let \( S \subset B \) be a multiplicative subset. The canonical map \( \text{NL}_{B/A} \otimes_B S^{-1}B \to \text{NL}_{S^{-1}B/A} \) is a quasi-isomorphism.

Proof. We have \( S^{-1}B = \text{colim}_{g \in S} B_g \) where we think of \( S \) as a directed set (ordering by divisibility), see Lemma 9.9. By Lemma 132.12 each of the maps \( \text{NL}_{B/A} \otimes_B B_g \to \text{NL}_{B_g/A} \) are quasi-isomorphisms. The lemma follows from Lemma 132.9. \( \square \)

Lemma 132.14. Let \( R \) be a ring. Let \( A_1 \to A_0 \), and \( B_1 \to B_0 \) be two term complexes. Suppose that there exist morphisms of complexes \( \varphi : A_\bullet \to B_\bullet \) and \( \psi : B_\bullet \to A_\bullet \) such that \( \varphi \circ \psi \) and \( \psi \circ \varphi \) are homotopic to the identity maps. Then \( A_1 \oplus B_0 \cong B_1 \oplus A_0 \) as \( R \)-modules.

Proof. Choose a map \( h : A_0 \to A_1 \) such that
\[
\text{id}_{A_1} - \psi_1 \circ \varphi = h \circ \text{id}_{A_0} - \psi_0 \circ \varphi = d_A \circ h.
\]
Similarly, choose a map \( h' : B_0 \to B_1 \) such that
\[
\text{id}_{B_1} - \varphi_1 \circ \psi = h' \circ \text{id}_{B_0} - \varphi_0 \circ \psi = d_B \circ h'.
\]
A trivial computation shows that
\[
\begin{pmatrix}
\text{id}_{A_1} & -h' \circ \psi_1 + h \circ \psi_0 \\
0 & \text{id}_{B_0}
\end{pmatrix}
= 
\begin{pmatrix}
\psi_1 & h \\
-d_B & \varphi_0
\end{pmatrix}
\begin{pmatrix}
\varphi_1 & -h' \\
d_A & \psi_0
\end{pmatrix}
\]
This shows that both matrices on the right hand side are invertible and proves the lemma. \( \square \)
Lemma 132.15. Let \( R \to S \) be a ring map of finite type. For any presentations \( \alpha : R[x_1, \ldots, x_n] \to S \), and \( \beta : R[y_1, \ldots, y_m] \to S \) we have
\[
I/I^2 \oplus S^{\oplus m} \cong J/J^2 \oplus S^{\oplus n}
\]
as \( S \)-modules where \( I = \text{Ker}(\alpha) \) and \( J = \text{Ker}(\beta) \).


Lemma 132.16. Let \( R \to S \) be a ring map of finite type. Let \( g \in S \). For any presentations \( \alpha : R[x_1, \ldots, x_n] \to S \), and \( \beta : R[y_1, \ldots, y_m] \to S_g \) we have
\[
(I/I^2)_g \oplus S^{\oplus m}_g \cong J/J^2 \oplus S^{\oplus n}_g
\]
as \( S_g \)-modules where \( I = \text{Ker}(\alpha) \) and \( J = \text{Ker}(\beta) \).

Proof. By Lemma 132.15, we see that it suffices to prove this for a single choice of \( \alpha \) and \( \beta \). Thus we may take \( \beta \) the presentation of Lemma 132.12 and the result is clear.

133. Local complete intersections

The property of being a local complete intersection is an intrinsic property of a Noetherian local ring. This will be discussed in Divided Power Algebra, Section 8. However, for the moment we just define this property for finite type algebras over a field.

Definition 133.1. Let \( k \) be a field. Let \( S \) be a finite type \( k \)-algebra.

1. We say that \( S \) is a global complete intersection over \( k \) if there exists a presentation \( S = k[x_1, \ldots, x_n]/(f_1, \ldots, f_c) \) such that \( \dim(S) = n - c \).

2. We say that \( S \) is a local complete intersection over \( k \) if there exists a covering
\[
\text{Spec}(S) = \bigcup D(g_i)
\]
such that each of the rings \( S_{g_i} \) is a global complete intersection over \( k \).

We will also use the convention that the zero ring is a global complete intersection over \( k \).

Suppose \( S \) is a global complete intersection \( S = k[x_1, \ldots, x_n]/(f_1, \ldots, f_c) \) as in Definition 133.1. For a maximal ideal \( \mathfrak{m} \subset k[x_1, \ldots, x_n] \) we have \( \dim(k[x_1, \ldots, x_n]/\mathfrak{m}) = n \) (Lemma 113.1). If \( (f_1, \ldots, f_c) \subset \mathfrak{m} \), then we conclude that \( \dim(S_\mathfrak{m}) \geq n - c \) by Lemma 113.12. Since \( \dim(S) = n - c \) by Definition 133.1 we conclude that \( \dim(S_\mathfrak{m}) = n - c \) for all maximal ideals of \( S \) and that \( \text{Spec}(S) \) is equidimensional (Topology, Definition 10.5) of dimension \( n - c \), see Lemma 113.5. We will often use this without further mention.

Lemma 133.2. Let \( k \) be a field. Let \( S \) be a finite type \( k \)-algebra. Let \( g \in S \).

1. If \( S \) is a global complete intersection so is \( S_g \).

2. If \( S \) is a local complete intersection so is \( S_g \).

Proof. The second statement follows immediately from the first. Proof of the first statement. If \( S_g \) is the zero ring, then it is true. Assume \( S_g \) is nonzero. Write \( S = k[x_1, \ldots, x_n]/(f_1, \ldots, f_c) \) with \( n - c = \dim(S) \) as in Definition 133.1. By the remarks following the definition \( S \) is equidimensional of dimension \( n - c \), so \( \dim(S_g) = n - c \) as well. Let \( g' \in k[x_1, \ldots, x_n] \) be an element whose residue class corresponds to \( g \). Then \( S_g = k[x_1, \ldots, x_n, x_{n+1}]/(f_1, \ldots, f_c, x_{n+1}g' - 1) \) as desired.
Lemma 133.3. Let $k$ be a field. Let $S$ be a finite type $k$-algebra. If $S$ is a local complete intersection, then $S$ is a Cohen-Macaulay ring.

Proof. Choose a maximal prime $\mathfrak{m}$ of $S$. We have to show that $S_{\mathfrak{m}}$ is Cohen-Macaulay. By assumption we may assume $S = k[x_1, \ldots, x_n]/(f_1, \ldots, f_c)$ with $\dim(S) = n - c$. Let $\mathfrak{m}' \subset k[x_1, \ldots, x_n]$ be the maximal ideal corresponding to $\mathfrak{m}$. According to Proposition \cite{113.2} the local ring $k[x_1, \ldots, x_n]_{\mathfrak{m}'}$ is regular local of dimension $n$. In particular it is Cohen-Macaulay by Lemma \cite{105.3}. By Lemma \cite{59.12} applied $c$ times the local ring $S_{\mathfrak{m}} = k[x_1, \ldots, x_n]_{\mathfrak{m}'}/(f_1, \ldots, f_c)$ has dimension $\geq n - c$. By assumption $\dim(S_{\mathfrak{m}}) \leq n - c$. Thus we get equality. This implies that $f_1, \ldots, f_c$ is a regular sequence in $k[x_1, \ldots, x_n]_{\mathfrak{m}'}$ and that $S_{\mathfrak{m}}$ is Cohen-Macaulay. \hfill $\square$

The following is the technical key to the rest of the material in this section. An important feature of this lemma is that we may choose any presentation for the ring $S$, but that condition (1) does not depend on this choice.

Lemma 133.4. Let $k$ be a field. Let $S$ be a finite type $k$-algebra. Let $q$ be a prime of $S$. Choose any presentation $S = k[x_1, \ldots, x_n]/I$. Let $q'$ be the prime of $k[x_1, \ldots, x_n]$ corresponding to $q$. Set $c = \text{height}(q') - \text{height}(q)$, in other words $\dim_q(S) = n - c$ (see Lemma \cite{115.4}). The following are equivalent

1. There exists a $g \in S$, $g \notin q'$ such that $S_g$ is a global complete intersection over $k$.
2. The ideal $I_{q'} \subset k[x_1, \ldots, x_n]_{q'}$ can be generated by $c$ elements.
3. The conormal module $(I/I^2)_q$ can be generated by $c$ elements over $S_q$.
4. The conormal module $(I/I^2)_q$ is a free $S_q$-module of rank $c$.
5. The ideal $I_{q'}$ can be generated by a regular sequence in the regular local ring $k[x_1, \ldots, x_n]_{q'}$.

In this case any $c$ elements of $I_{q'}$ which generate $I_{q'}/q'I_{q'}$ form a regular sequence in the local ring $k[x_1, \ldots, x_n]_{q'}$.

Proof. Set $R = k[x_1, \ldots, x_n]_{q'}$. This is a Cohen-Macaulay local ring of dimension $\text{height}(q')$, see for example Lemma \cite{133.3} Moreover, $R = R/I_R = R/I_{q'} = S_q$ is a quotient of dimension $\text{height}(q)$. Let $f_1, \ldots, f_c \in I_{q'}$ be elements which generate $(I/I^2)_q$. By Lemma \cite{19.1} we see that $f_1, \ldots, f_c$ generate $I_{q'}$. Since the dimensions work out, we conclude by Proposition \cite{102.4} that $f_1, \ldots, f_c$ is a regular sequence in $R$. By Lemma \cite{68.2} we see that $(I/I^2)_q$ is free. These arguments show that (2), (3), (4) are equivalent and that they imply the last statement of the lemma, and therefore they imply (5).

If (5) holds, say $I_{q'}$ is generated by a regular sequence of length $c$, then $\text{height}(q) = \dim(S_q) = \dim(k[x_1, \ldots, x_n]_{q'}) - c = \text{height}(q') - c$ by dimension theory, see Section \cite{59} We conclude that $c = c$. Thus (5) implies (2).

We continue with the notation introduced in the first paragraph. For each $f_i$ we may find $d_i \in k[x_1, \ldots, x_n]$, $d_i \notin q'$ such that $f_i' = d_if_i \in k[x_1, \ldots, x_n]$. Then it is still true that $I_{q'} = (f_1', \ldots, f_c')R$. Hence there exists a $g' \in k[x_1, \ldots, x_n]$, $g' \notin q'$ such that $I_{q''} = (f_1', \ldots, f_c')$. Moreover, pick $g'' \in k[x_1, \ldots, x_n]$, $g'' \notin q'$ such that $\dim(S_{g''}) = \dim_q \text{Spec}(S)$. By Lemma \cite{115.4} this dimension is equal to $n - c$. Finally, set $g$ equal to the image of $g'g''$ in $S$. Then we see that

$$S_g \cong k[x_1, \ldots, x_n, x_{n+1}]/(f_1', \ldots, f_c', x_{n+1}g'g'' - 1)$$
and by our choice of $g''$ this ring has dimension $n - c$. Therefore it is a global complete intersection. Thus each of (2), (3), and (4) implies (1).

Assume (1). Let $S_g \cong k[y_1, \ldots, y_m]/(f_1, \ldots, f_t)$ be a presentation of $S_g$ as a global complete intersection. Write $J = (f_1, \ldots, f_t)$. Let $q' \subset k[y_1, \ldots, y_m]$ be the prime corresponding to $qS_g$. Note that $t = m - \dim(S_g) = \text{height}(q') - \text{height}(q)$, see Lemma 115.4 for the last equality. As seen in the proof of Lemma 133.3 (and also above) the elements $f_1, \ldots, f_t$ form a regular sequence in the local ring $k[y_1, \ldots, y_m]_{q''}$. By Lemma 68.2 we see that $(J/J^2)_q$ is free of rank $t$. By Lemma 132.16 we have

$$J/J^2 \oplus S_g^n \cong (I/I^2)_g \oplus S_g^n$$

Thus $(I/I^2)_q$ is free of rank $t + n - m - \dim(S_g) + n - m = n - \dim(S_g) = \text{height}(q') - \text{height}(q) = c$. Thus we obtain (4). □

The result of Lemma 133.4 suggests the following definition.

**Definition 133.5.** Let $k$ be a field. Let $S$ be a local $k$-algebra essentially of finite type over $k$. We say $S$ is a complete intersection (over $k$) if there exists a local $k$-algebra $R$ and elements $f_1, \ldots, f_c \in \mathfrak{m}_R$ such that

1. $R$ is essentially of finite type over $k$,
2. $R$ is a regular local ring,
3. $f_1, \ldots, f_c$ form a regular sequence in $R$, and
4. $S \cong R/(f_1, \ldots, f_c)$ as $k$-algebras.

By the Cohen structure theorem (see Theorem 154.8) any complete Noetherian local ring may be written as the quotient of some regular complete local ring. Hence we may use the definition above to define the notion of a complete intersection ring for any complete Noetherian local ring. We will discuss this in Divided Power Algebra, Section 8. In the meantime the following lemma shows that such a definition makes sense.

**Lemma 133.6.** Let $A \to B \to C$ be surjective local ring homomorphisms. Assume $A$ and $B$ are regular local rings. The following are equivalent

1. $\text{Ker}(A \to C)$ is generated by a regular sequence,
2. $\text{Ker}(A \to C)$ is generated by $\dim(A) - \dim(C)$ elements,
3. $\text{Ker}(B \to C)$ is generated by a regular sequence, and
4. $\text{Ker}(B \to C)$ is generated by $\dim(B) - \dim(C)$ elements.

**Proof.** A regular local ring is Cohen-Macaulay, see Lemma 105.3. Hence the equivalences (1) $\iff$ (2) and (3) $\iff$ (4), see Proposition 102.4. By Lemma 105.4 the ideal $\text{Ker}(A \to B)$ can be generated by $\dim(A) - \dim(B)$ elements. Hence we see that (4) implies (2).

It remains to show that (1) implies (4). We do this by induction on $\dim(A) - \dim(B)$. The case $\dim(A) - \dim(B) = 0$ is trivial. Assume $\dim(A) > \dim(B)$. Write $I = \text{Ker}(A \to C)$ and $J = \text{Ker}(A \to B)$. Note that $J \subset I$. Our assumption is that the minimal number of generators of $I$ is $\dim(A) - \dim(C)$. Let $\mathfrak{m} \subset A$ be the maximal ideal. Consider the maps

$$J/\mathfrak{m}J \to I/\mathfrak{m}I \to \mathfrak{m}/\mathfrak{m}^2$$

By Lemma 105.4 and its proof the composition is injective. Take any element $x \in J$ which is not zero in $J/\mathfrak{m}J$. By the above and Nakayama’s lemma $x$ is an element...
of a minimal set of generators of $I$. Hence we may replace $A$ by $A/xA$ and $I$ by $I/xA$ which decreases both $\dim(A)$ and the minimal number of generators of $I$ by $1$. Thus we win. 

**Lemma 133.7.** Let $k$ be a field. Let $S$ be a local $k$-algebra essentially of finite type over $k$. The following are equivalent:

1. $S$ is a complete intersection over $k$,
2. for any surjection $R \to S$ with $R$ a regular local ring essentially of finite presentation over $k$ the ideal $\ker(R \to S)$ can be generated by a regular sequence,
3. for some surjection $R \to S$ with $R$ a regular local ring essentially of finite presentation over $k$ the ideal $\ker(R \to S)$ can be generated by $\dim(R) - \dim(S)$ elements,
4. there exists a global complete intersection $A$ over $k$ and a prime $a$ of $A$ such that $S \cong A_a$, and
5. there exists a local complete intersection $A$ over $k$ and a prime $a$ of $A$ such that $S \cong A_a$.

**Proof.** It is clear that (2) implies (1) and (1) implies (3). It is also clear that (4) implies (5). Let us show that (3) implies (4). Thus we assume there exists a surjection $R \to S$ with $R$ a regular local ring essentially of finite presentation over $k$ such that the ideal $\ker(R \to S)$ can be generated by $\dim(R) - \dim(S)$ elements. We may write $R = (k[x_1, \ldots, x_n]/J)_q$ for some $J \subset k[x_1, \ldots, x_n]$ and some prime $q \subset k[x_1, \ldots, x_n]$ with $J \subset q$. Let $I \subset k[x_1, \ldots, x_n]$ be the kernel of the map $k[x_1, \ldots, x_n] \to S$ so that $S \cong (k[x_1, \ldots, x_n]/I)_q$. By assumption $(I/J)_q$ is generated by $\dim(R) - \dim(S)$ elements. We conclude that $I_q$ can be generated by $\dim(k[x_1, \ldots, x_n]_q) - \dim(S)$ elements by Lemma 133.6. From Lemma 133.4 we see that for some $g \in k[x_1, \ldots, x_n]$, $g \notin q$ the algebra $(k[x_1, \ldots, x_n]/I)_g$ is a global complete intersection and $S$ is isomorphic to a local ring of it.

To finish the proof of the lemma we have to show that (5) implies (2). Assume (5) and let $\pi : R \to S$ be a surjection with $R$ a regular local $k$-algebra essentially of finite type over $k$. By assumption we have $S = A_a$ for some local complete intersection $A$ over $k$. Choose a presentation $R = (k[y_1, \ldots, y_m]/J)_q$ with $J \subset q \subset k[y_1, \ldots, y_m]$. We may and do assume that $J$ is the kernel of the map $k[y_1, \ldots, y_m] \to R$. Let $I \subset k[y_1, \ldots, y_m]$ be the kernel of the map $k[y_1, \ldots, y_m] \to S = A_a$. Then $J \subset I$ and $(I/J)_q$ is the kernel of the surjection $\pi : R \to S$. So $S = (k[y_1, \ldots, y_m]/I)_q$.

By Lemma 125.7 we see that there exist $g \in A$, $g \notin a$ and $g' \in k[y_1, \ldots, y_m]$, $g' \notin q$ such that $A_g \cong (k[y_1, \ldots, y_m]/I)_{g'}$. After replacing $A$ by $A_g$ and $k[y_1, \ldots, y_m]$ by $k[y_1, \ldots, y_{m+1}]$ we may assume that $A \cong k[y_1, \ldots, y_m]/I$. Consider the surjective maps of local rings

$$k[y_1, \ldots, y_m]_q \to R \to S.$$ 

We have to show that the kernel of $R \to S$ is generated by a regular sequence. By Lemma 133.4 we know that $k[y_1, \ldots, y_m]_q \to A_a = S$ has this property (as $A$ is a local complete intersection over $k$). We win by Lemma 133.6. 

**Lemma 133.8.** Let $k$ be a field. Let $S$ be a finite type $k$-algebra. Let $q$ be a prime of $S$. The following are equivalent:

1. The local ring $S_q$ is a complete intersection ring (Definition 133.3).
Let $k$ be a field. Let $S$ be a finite type $k$-algebra. The following are equivalent:

1. The ring $S$ is a local complete intersection over $k$.
2. All local rings of $S$ are complete intersection rings over $k$.
3. All localizations of $S$ at maximal ideals are complete intersection rings over $k$.

**Proof.** This follows from Lemma 133.8 the fact that Spec($S$) is quasi-compact and the definitions. □

**Lemma 133.9.** Let $k$ be a field. Let $S$ be a finite type $k$-algebra. Then $S_q$ is a complete intersection over $k$ (Definition 133.5) if and only if $(S_k)_q$ is a complete intersection over $K$.

**Proof.** Choose a presentation $S = k[x_1, \ldots, x_n]/I$. This gives a presentation $S_K = K[x_1, \ldots, x_n]/I_K$ where $I_K = K \otimes_k I$. Let $q_K'$ be a prime of $S_K = K[x_1, \ldots, x_n]$, resp. $q_1 \in k[x_1, \ldots, x_n]$ be the corresponding prime. We will show that the equivalent conditions of Lemma 133.4 hold for the pair $(S = k[x_1, \ldots, x_n]/I, q)$ if and only if they hold for the pair $(S_K = K[x_1, \ldots, x_n]/I_K, q_K')$. The lemma will follow from this (see Lemma 133.8).

By Lemma 115.6 we have $\dim_q S = \dim_{q_K} S_K$. Hence the integer $c$ occurring in Lemma 133.4 is the same for the pair $(S = k[x_1, \ldots, x_n]/I, q)$ as for the pair $(S_K = K[x_1, \ldots, x_n]/I_K, q_K')$. On the other hand we have

$$I \otimes_{k[x_1, \ldots, x_n]} \kappa(q') \otimes_{\kappa(q')} \kappa(q_K') = I \otimes_{k[x_1, \ldots, x_n]} \kappa(q_K') = I \otimes_{k[x_1, \ldots, x_n]} K[x_1, \ldots, x_n] \otimes_{K[x_1, \ldots, x_n]} \kappa(q_K') = (K \otimes_k I) \otimes_{K[x_1, \ldots, x_n]} \kappa(q_K') = I_K \otimes_{K[x_1, \ldots, x_n]} \kappa(q_K').$$

Therefore, $\dim_{\kappa(q')} I \otimes_{k[x_1, \ldots, x_n]} \kappa(q') = \dim_{\kappa(q_K)} I_K \otimes_{K[x_1, \ldots, x_n]} \kappa(q_K)$. Thus it follows from Nakayama’s Lemma 19.1 that the minimal number of generators of $I_q'$ is the same as the minimal number of generators of $(I_K)_{q_K}'$. Thus the lemma follows from characterization (2) of Lemma 133.4. □

**Lemma 133.11.** Let $k \to K$ be a field extension. Let $S$ be a finite type $k$-algebra. Then $S$ is a local complete intersection over $k$ if and only if $S \otimes_k K$ is a local complete intersection over $K$.
**Proof.** This follows from a combination of Lemmas 133.9 and 133.10. But we also give a different proof here (based on the same principles).

Set $S' = S \otimes_k K$. Let $\alpha : k[x_1, \ldots, x_n] \to S$ be a presentation with kernel $I$. Let $\alpha' : K[x_1, \ldots, x_n] \to S'$ be the induced presentation with kernel $I'$.

Suppose that $S$ is a local complete intersection. Pick a prime $q \subset S'$. Denote $q'$ the corresponding prime of $K[x_1, \ldots, x_n]$, $p$ the corresponding prime of $S$, and $p'$ the corresponding prime of $k[x_1, \ldots, x_n]$. Consider the following diagram of Noetherian local rings

$$
\begin{array}{c}
S_q' & \leftarrow & K[x_1, \ldots, x_n]_{q'} \\
\uparrow & & \uparrow \\
S_p & \leftarrow & k[x_1, \ldots, x_n]_{p'}
\end{array}
$$

By Lemma 133.4 we know that $S_p$ is cut out by some regular sequence $f_1, \ldots, f_c$ in $k[x_1, \ldots, x_n]_{p'}$. Since the right vertical arrow is flat we see that the images of $f_1, \ldots, f_c$ form a regular sequence in $K[x_1, \ldots, x_n]_{q'}$. Because tensoring with $K$ over $k$ is an exact functor we have $S_q' = K[x_1, \ldots, x_n]_{q'}/(f_1, \ldots, f_c)$. Hence by Lemma 133.4 again we see that $S'$ is a local complete intersection in a neighbourhood of $q$. Since $q$ was arbitrary we see that $S'$ is a local complete intersection over $K$.

Suppose that $S'$ is a local complete intersection. Pick a maximal ideal $m$ of $S$. Let $m'$ denote the corresponding maximal ideal of $k[x_1, \ldots, x_n]$. Denote $\kappa = \kappa(m)$ the residue field. By Remark 16.8 the primes of $S'$ lying over $m$ correspond to primes in $K \otimes_k \kappa$. By the Hilbert-Nullstellensatz Theorem 33.1 we have $[k : k] < \infty$. Hence $K \otimes_k \kappa$ is finite nonzero over $K$. Hence $K \otimes_k \kappa$ has a finite number $> 0$ of ideals which are all maximal, each of which has a residue field finite over $K$ (see Section 52). Hence there are finitely many $> 0$ prime ideals $n \subset S'$ lying over $m$, each of which is maximal and has a residue field which is finite over $K$. Pick one, say $n \subset S'$, and let $n' \subset K[x_1, \ldots, x_n]$ denote the corresponding prime ideal of $K[x_1, \ldots, x_n]$. Note that since $V(mS')$ is finite, we see that $n$ is an isolated closed point of it, and we deduce that $mS'_n$ is an ideal of definition of $S'_n$. This implies that $\dim(S_m) = \dim(S'_n)$ for example by Lemma 111.7 (This can also be seen using Lemma 115.6). Consider the corresponding diagram of Noetherian local rings

$$
\begin{array}{c}
S_n' & \leftarrow & K[x_1, \ldots, x_n]_{n'} \\
\uparrow & & \uparrow \\
S_m & \leftarrow & k[x_1, \ldots, x_n]_{m'}
\end{array}
$$

According to Lemma 132.8 we have $NL(\alpha) \otimes_S S' = NL(\alpha')$, in particular $I'/(I')^2 = I/I^2 \otimes_S S'$. Thus $(I/I^2)_m \otimes_{S_m} \kappa$ and $(I'/(I')^2)_n \otimes_{S_n} \kappa(n)$ have the same dimension. Since $(I'/(I')^2)_n$ is free of rank $n - \dim S_n'$ we deduce that $(I/I^2)_m$ can be generated by $n - \dim S_n' = n - \dim S_m$ elements. By Lemma 133.4 we see that $S$ is a local complete intersection in a neighbourhood of $m$. Since $m$ was any maximal ideal we conclude that $S$ is a local complete intersection.

We end with a lemma which we will later use to prove that given ring maps $T \to A \to B$ where $B$ is syntomic over $T$, and $B$ is syntomic over $A$, then $A$ is syntomic over $T$. 

Let $00SM$ Syntomic ring maps are flat finitely presented ring maps all of whose fibers are local complete intersections. We discuss general local complete intersection ring maps in More on Algebra, Section 32.

**Definition 134.1.** A ring map $R \to S$ is called syntomic, or we say $S$ is a flat local complete intersection over $R$ if it is flat, of finite presentation, and if all of its fibre rings $S \otimes_R k(p)$ are local complete intersections, see Definition 133.1.

Clearly, an algebra over a field is syntomic over the field if and only if it is a local complete intersection. Here is a pleasing feature of this definition.

**Lemma 134.2.** Let $R \to S$ be a ring map. Let $R \to R'$ be a faithfully flat ring map. Set $S' = R' \otimes_R S$. Then $R \to S$ is syntomic if and only if $R' \to S'$ is syntomic.

**Proof.** By Lemma 125.2 and Lemma 38.8 this holds for the property of being flat and for the property of being of finite presentation. The map $\text{Spec}(R') \to \text{Spec}(R)$ is surjective, see Lemma 38.16. Thus it suffices to show given primes $p' \subset R'$ lying
Let $p \subset R$ that $S \otimes_R \kappa(p)$ is a local complete intersection if and only if $S' \otimes_R \kappa(p')$ is a local complete intersection. Note that $S' \otimes_R \kappa(p') = S \otimes_R \kappa(p) \otimes_{\kappa(p)} \kappa(p')$. Thus Lemma 133.11 applies.

**Lemma 134.3.** Any base change of a syntomic map is syntomic.

**Proof.** This is true for being flat, for being of finite presentation, and for having local complete intersections as fibres by Lemmas 38.7, 6.2 and 133.11.

**Lemma 134.4.** Let $R \to S$ be a ring map. Suppose we have $g_1, \ldots, g_m \in S$ which generate the unit ideal such that each $R \to S_{g_i}$ is syntomic. Then $R \to S$ is syntomic.

**Proof.** This is true for being flat and for being of finite presentation by Lemmas 38.19 and 22.3. The property of having fibre rings which are local complete intersections is local on $S$ by its very definition, see Definition 133.1.

**Definition 134.5.** Let $R \to S$ be a ring map. We say that $R \to S$ is a relative global complete intersection if we are given a presentation $S = R[x_1, \ldots, x_n]/(f_1, \ldots, f_c)$ such that every nonempty fibre has dimension $n - c$.

The following lemma is occasionally useful to find global presentations.

**Lemma 134.6.** Let $S$ be a finitely presented $R$-algebra which has a presentation $S = R[x_1, \ldots, x_n]/I$ such that $I/I^2$ is free over $S$. Then $S$ has a presentation $S = R[y_1, \ldots, y_m]/(f_1, \ldots, f_c)$ such that $(f_1, \ldots, f_c)/(f_1, \ldots, f_c)^2$ is free with basis given by the classes of $f_1, \ldots, f_c$.

**Proof.** Note that $I$ is a finitely generated ideal by Lemma 6.3. Let $f_1, \ldots, f_c \in I$ be elements which map to a basis of $I/I^2$. By Nakayama’s lemma (Lemma 19.1) there exists a $g \in 1 + I$ such that

$$g \cdot I \subset (f_1, \ldots, f_c)$$

and $I_g \cong (f_1, \ldots, f_c)_g$. Hence we see that

$$S \cong R[x_1, \ldots, x_n]/(f_1, \ldots, f_c)[1/g] \cong R[x_1, \ldots, x_n, x_{n+1}]/(f_1, \ldots, f_c, gx_{n+1} - 1)$$

as desired. It follows that $f_1, \ldots, f_c, gx_{n+1} - 1$ form a basis for $(f_1, \ldots, f_c, gx_{n+1} - 1)/(f_1, \ldots, f_c, gx_{n+1} - 1)^2$ for example by applying Lemma 132.12.

**Example 134.7.** Let $n, m \geq 1$ be integers. Consider the ring map

$$R = \mathbb{Z}[a_1, \ldots, a_{n+m}] \to S = \mathbb{Z}[b_1, \ldots, b_n, c_1, \ldots, c_m]$$

$$a_1 \to b_1 + c_1$$

$$a_2 \to b_2 + b_1c_1 + c_2$$

$$\ldots \ldots \ldots$$

$$a_{n+m} \to b_nc_m$$

In other words, this is the unique ring map of polynomial rings as indicated such that the polynomial factorization

$$x^{n+m} + a_1x^{n+m-1} + \ldots + a_{n+m} = (x^n + b_1x^{n-1} + \ldots + b_n)(x^m + c_1x^{m-1} + \ldots + c_m)$$

holds. Note that $S$ is generated by $n + m$ elements over $R$ (namely, $b_i, c_j$) and that there are $n + m$ equations (namely $a_k = a_k(b_i, c_j)$). In order to show that $S$ is a
relative global complete intersection over $R$ it suffices to prove that all fibres have dimension 0.

To prove this, let $R \to k$ be a ring map into a field $k$. Say $a_i$ maps to $\alpha_i \in k$. Consider the fibre ring $S_k = k \otimes_R S$. Let $k \to K$ be a field extension. A $k$-algebra map of $S_k \to K$ is the same thing as finding $\beta_1, \ldots, \beta_n, \gamma_1, \ldots, \gamma_m \in K$ such that $x^{n+m} + \alpha_1 x^{n+m-1} + \ldots + \alpha_{n+m} = (x^n + \beta_1 x^{n-1} + \ldots + \beta_n)(x^m + \gamma_1 x^{m-1} + \ldots + \gamma_m)$.

Hence we see there are at most finitely many choices of such $n+m$-tuples in $K$. This proves that all fibres have finitely many closed points (use Hilbert’s Nullstellensatz to see they all correspond to solutions in $\overline{k}$ for example) and hence that $R \to S$ is a relative global complete intersection.

Another way to argue this is to show $\mathbb{Z}[a_1, \ldots, a_{n+m}] \to \mathbb{Z}[b_1, \ldots, b_n, c_1, \ldots, c_m]$ is actually also a finite ring map. Namely, by Lemma 37.5 each of $b_i, c_j$ is integral over $R$, and hence $R \to S$ is finite by Lemma 35.4.

00SR Example 134.8. Consider the ring map

$$R = \mathbb{Z}[a_1, \ldots, a_n] \longrightarrow S = \mathbb{Z}[\alpha_1, \ldots, \alpha_n]$$

$$a_1 \longmapsto \alpha_1 + \ldots + \alpha_n$$

$$\vdots \quad \vdots \quad \vdots$$

$$a_n \longmapsto \alpha_1 \ldots \alpha_n$$

In other words this is the unique ring map of polynomial rings as indicated such that

$$x^n + a_1 x^{n-1} + \ldots + a_n = \prod_{i=1}^n (x + \alpha_i)$$

holds in $\mathbb{Z}[\alpha_i, x]$. Another way to say this is that $a_i$ maps to the $i$th elementary symmetric function in $\alpha_1, \ldots, \alpha_n$. Note that $S$ is generated by $n$ elements over $R$ subject to $n$ equations. Hence to show that $S$ is a relative global complete intersection over $R$ we have to show that the fibre rings $S \otimes_R \kappa(p)$ have dimension 0. This follows as in Example 134.7 because the ring map $\mathbb{Z}[a_1, \ldots, a_n] \to \mathbb{Z}[\alpha_1, \ldots, \alpha_n]$ is actually finite since each $\alpha_i \in S$ satisfies the monic equation $x^n - a_i x^{n-1} + \ldots + (-1)^n a_n$ over $R$.

03HS Lemma 134.9. Suppose that $A$ is a ring, and $P(x) = x^n + b_1 x^{n-1} + \ldots + b_n \in A[x]$ is a monic polynomial over $A$. Then there exists a syntomic, finite locally free, faithfully flat ring extension $A \subset A'$ such that $P(x) = \prod_{i=1}^n (x - \beta_i)$ for certain $\beta_i \in A'$.

Proof. Take $A' = A \otimes_R S$, where $R$ and $S$ are as in Example 134.8, where $R \to A$ maps $a_i$ to $b_i$, and let $\beta_i = -1 \otimes \alpha_i$. \hfill $\square$

00SS Lemma 134.10. Let $S = R[x_1, \ldots, x_n]/(f_1, \ldots, f_c)$ be a relative global complete intersection over $R$.

1. For any $R \to R'$ the base change $R' \otimes_R S = R'[x_1, \ldots, x_n]/(f_1, \ldots, f_c)$ is a relative global complete intersection.

2. For any $g \in S$ which is the image of $h \in R[x_1, \ldots, x_n]$ the ring $S_g = R[x_1, \ldots, x_n, x_{n+1}]/(f_1, \ldots, f_c, hx_{n+1} - 1)$ is a relative global complete intersection.
(3) If $R \to S$ factors as $R \to R_f \to S$ for some $f \in R$. Then the ring $S = R_f[x_1, \ldots, x_n]/(f_1, \ldots, f_c)$ is a relative global complete intersection over $R_f$.

Proof. By Lemma 115.5 the fibres of a base change have the same dimension as the fibres of the original map. Moreover $R' \otimes_R R[x_1, \ldots, x_n]/(f_1, \ldots, f_c) = R'[x_1, \ldots, x_n]/(f_1, \ldots, f_c)$. Thus (1) follows. The proof of (2) is that the localization at one element can be described as $S_g \cong S[x_{n+1}]/(gx_{n+1} - 1)$. Assertion (3) follows from (1) since under the assumptions of (3) we have $R_f \otimes_R S \cong S$. □

**Lemma 134.11.** Let $R$ be a ring. Let $S = R[x_1, \ldots, x_n]/(f_1, \ldots, f_c)$. We will find $h \in R[x_1, \ldots, x_n]$ which maps to $g \in S$ such that

$$S_g = R[x_1, \ldots, x_n, x_{n+1}]/(f_1, \ldots, f_c, hx_{n+1} - 1)$$

is a relative global complete intersection over $R$ in each of the following cases:

1. Let $I \subseteq R$ be an ideal. If the fibres of $\text{Spec}(S/IS) \to \text{Spec}(R/I)$ have dimension $n - c$, then we can find $(h, g)$ as above such that $g$ maps to $1 \in S/IS$.
2. Let $p \subseteq R$ be a prime. If $\dim(S \otimes_R \kappa(p)) = n - c$, then we can find $(h, g)$ as above such that $g$ maps to a unit of $S \otimes_R \kappa(p)$.
3. Let $q \subseteq S$ be a prime lying over $p \subseteq R$. If $\dim_q(S/R) = n - c$, then we can find $(h, g)$ as above such that $g \notin q$.

Proof. Ad (1). By Lemma 124.6 there exists an open subset $W \subseteq \text{Spec}(S)$ containing $V(IS)$ such that all fibres of $W \to \text{Spec}(R)$ have dimension $\leq n - c$. Say $W = \text{Spec}(S) \setminus V(J)$. Then $V(J) \cap V(IS) = \emptyset$ hence we can find a $g \in J$ which maps to $1 \in S/IS$. Let $h \in \overline{R[x_1, \ldots, x_n]}$ be any preimage of $g$.

Ad (2). By Lemma 124.6 there exists an open subset $W \subseteq \text{Spec}(S)$ containing $\text{Spec}(S \otimes_R \kappa(p))$ such that all fibres of $W \to \text{Spec}(R)$ have dimension $\leq n - c$. Say $W = \text{Spec}(S) \setminus V(J)$. Then $V(J \cdot S \otimes_R \kappa(p)) = \emptyset$. Hence we can find a $g \in J$ which maps to a unit in $S \otimes_R \kappa(p)$ (details omitted). Let $h \in \overline{R[x_1, \ldots, x_n]}$ be any preimage of $g$.

Ad (3). By Lemma 124.6 there exists a $g \in S$, $g \notin q$ such that all nonempty fibres of $R \to S_g$ have dimension $\leq n - c$. Let $h \in \overline{R[x_1, \ldots, x_n]}$ be any element that maps to $g$.

The following lemma says we can do absolute Noetherian approximation for relative global complete intersections.

**Lemma 134.12.** Let $R$ be a ring. Let $S$ be a relative global complete intersection with presentation $S = R[x_1, \ldots, x_n]/(f_1, \ldots, f_c)$. There exists a finite type $\mathbf{Z}$-subalgebra $R_0 \subseteq R$ such that $f_i \in R_0[x_1, \ldots, x_n]$ and such that

$$S_0 = R_0[x_1, \ldots, x_n]/(f_1, \ldots, f_c)$$

is a relative global complete intersection over $R_0$.

Proof. Let $R_0 \subseteq R$ be the $\mathbf{Z}$-algebra of $R$ generated by all the coefficients of the polynomials $f_1, \ldots, f_c$. Let $S_0 = R_0[x_1, \ldots, x_n]/(f_1, \ldots, f_c)$. Clearly, $S = R \otimes_{R_0} S_0$.

Pick a prime $q \subseteq S$ and denote $p \subseteq R$, $q_0 \subseteq S_0$, and $p_0 \subseteq R_0$ the primes it lies over. Because $\dim(S \otimes_R \kappa(p)) = n - c$ we also have $\dim(S \otimes_{R_0} \kappa(p_0)) = n - c$, see Lemma 115.5. By Lemma 124.6 there exists a $g \in S_0$, $g \notin q_0$ such that all
nonempty fibres of $R_0 \to (S_0)_q$ have dimension $\leq n - c$. As $q$ was arbitrary and $\text{Spec}(S)$ quasi-compact, we can find finitely many $g_1, \ldots, g_m \in S_0$ such that (a) for $j = 1, \ldots, m$ the nonempty fibres of $R_0 \to (S_0)_{g_j}$ have dimension $\leq n - c$ and (b) the image of $\text{Spec}(S) \to \text{Spec}(S_0)$ is contained in $D(g_1) \cup \ldots \cup D(g_m)$. In other words, the images of $g_1, \ldots, g_m$ in $S = R \otimes_{R_0} S_0$ generate the unit ideal. After increasing $R_0$ we may assume that $g_1, \ldots, g_m$ generate the unit ideal in $S_0$. By (a) the nonempty fibres of $R_0 \to S_0$ all have dimension $\leq n - c$ and we conclude. □

**Lemma 134.13.** Let $R$ be a ring. Let $S = R[x_1, \ldots, x_n]/(f_1, \ldots, f_c)$ be a relative global complete intersection. For every prime $q$ of $S$, let $q'$ denote the corresponding prime of $R[x_1, \ldots, x_n]$. Then

1. $f_1, \ldots, f_c$ is a regular sequence in the local ring $R[x_1, \ldots, x_n]_{q'}$,
2. each of the rings $R[x_1, \ldots, x_n]_{q'}/(f_1, \ldots, f_i)$ is flat over $R$, and
3. the $S$-module $(f_1, \ldots, f_c)/(f_1, \ldots, f_c)^2$ is free with basis given by the elements $f_i \bmod (f_1, \ldots, f_c)^2$.

**Proof.** First, by Lemma 68.2 part (3) follows from part (1). Parts (1) and (2) immediately reduce to the Noetherian case by Lemma 134.12 (some minor details omitted). Assume $R$ is Noetherian. Let $p = R \cap q'$. By Lemma 133.4 for example we see that $f_1, \ldots, f_c$ form a regular sequence in the local ring $R[x_1, \ldots, x_n]_{q'} \otimes_R \kappa(p)$. Moreover, the local ring $R[x_1, \ldots, x_n]_{q'}$ is flat over $R_p$. Since $R$ and hence $R[x_1, \ldots, x_n]_{q'}$ is Noetherian we may apply Lemma 98.3 to conclude. □

**Lemma 134.14.** A relative global complete intersection is syntomic, i.e., flat.

**Proof.** Let $R \to S$ be a relative global complete intersection. The fibres are global complete intersections, and $S$ is of finite presentation over $R$. Thus the only thing to prove is that $R \to S$ is flat. This is true by (2) of Lemma 134.13. □

**Lemma 134.15.** Let $R \to S$ be a ring map. Let $q \subset S$ be a prime lying over the prime $p$ of $R$. The following are equivalent:

1. There exists an element $g \in S$, $g \notin q$ such that $R \to S_g$ is syntomic.
2. There exists an element $g \in S$, $g \notin q$ such that $S_g$ is a relative global complete intersection over $R$.
3. There exists an element $g \in S$, $g \notin q$, such that $R \to S_g$ is of finite presentation, the local ring map $R_p \to S_q$ is flat, and the local ring $S_q/pS_q$ is a complete intersection ring over $\kappa(p)$ (see Definition 133.5).

**Proof.** The implication (1) $\Rightarrow$ (3) is Lemma 133.8. The implication (2) $\Rightarrow$ (1) is Lemma 134.14. It remains to show that (3) implies (2).

Assume (3). After replacing $S$ by $S_g$ for some $g \in S$, $g \notin q$ we may assume $S$ is finitely presented over $R$. Choose a presentation $S = R[x_1, \ldots, x_n]/I$. Let $q' \subset R[x_1, \ldots, x_n]$ be the prime corresponding to $q$. Write $\kappa(p) = k$. Note that $S \otimes_R k = k[x_1, \ldots, x_n]/T$ where $T \subset k[x_1, \ldots, x_n]$ is the ideal generated by the image of $I$. Let $\bar{q'} \subset k[x_1, \ldots, x_n]$ be the prime ideal generated by the image of $q'$. By Lemma 133.8 the equivalent conditions of Lemma 133.4 hold for $T$ and $\bar{q'}$. Say the dimension of $T_{\bar{q'}} / \bar{q'}^2$ over $\kappa(\bar{q'})$ is $c$. Pick $f_1, \ldots, f_c \in I$ mapping to a basis of this vector space. The images $T_{f_j}$ in $T$ generate $T_{\bar{q'}}$ (by Lemma 133.4). Set $S' = R[x_1, \ldots, x_n]/(f_1, \ldots, f_c)$. Let $J$ be the kernel of the surjection $S' \to S$. Since
Let $S$ be a ring. Let $S = R[x_1, \ldots, x_n]/I$ for some finitely generated ideal $I$. If $g \in S$ is such that $S_g$ is syntomic over $R$, then $(I/I^2)_g$ is a finite projective $S_g$-module.

**Proof.** By Lemma 134.15 there exist finitely many elements $g_1, \ldots, g_m \in S$ which generate the unit ideal in $S_g$ such that each $S_{g_g}$ is a relative global complete intersection over $R$. Since it suffices to prove that $(I/I^2)_{g_g}$ is finite projective, see Lemma 77.2, we may assume that $S_g$ is a relative global complete intersection. In this case the result follows from Lemmas 132.16 and 134.13.

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**Lemma 134.16.** Let $R$ be a ring. Let $S = R[x_1, \ldots, x_n]/I$ for some finitely generated ideal $I$. If $g \in S$ is such that $S_g$ is syntomic over $R$, then $(I/I^2)_g$ is a finite projective $S_g$-module.

**Proof.** Assume $R \to S$ and $S \to S'$ are syntonic. This implies that $R \to S'$ is flat by Lemma 38.4. It also implies that $R \to S'$ is of finite presentation by Lemma 6.2. Thus it suffices to show that the fibres of $R \to S'$ are local complete intersections. Choose a prime $p \subset R$. We have a factorization

$$\kappa(p) \to S \otimes_R \kappa(p) \to S' \otimes_R \kappa(p).$$

By assumption $S \otimes_R \kappa(p)$ is a local complete intersection, and by Lemma 134.3 we see that $S' \otimes_R \kappa(p)$ is a local complete intersection over $S$. By replacing $S$ by $S \otimes_R \kappa(p)$ and $S'$ by $S' \otimes_R \kappa(p)$ we may assume that $R$ is a field. Say $R = k$.

Choose a prime $q' \subset S'$ lying over the prime $q$ of $S$. Our goal is to find a $g' \in S'$, $g' \notin q'$ such that $S_{g'}$ is a global complete intersection over $k$. Choose a $g \in S$, $g \notin q$ such that $S_g = k[x_1, \ldots, x_n]/(f_1, \ldots, f_c)$ is a global complete intersection over $k$. Since $S_g \to S'_g$ is still syntomic also, and $g \notin q'$ we may replace $S_g$ by $S'_g$ and assume that $S = k[x_1, \ldots, x_n]/(f_1, \ldots, f_c)$ is a global complete intersection over $k$. Next we choose a $g' \in S'$, $g' \notin q'$ such that $S' = S[y_1, \ldots, y_m]/(h_1, \ldots, h_d)$ is a relative global complete intersection over $S$. Hence we have reduced to part (2) of the lemma.

Suppose that $R \to S$ and $S \to S'$ are relative global complete intersections. Say $S = R[x_1, \ldots, x_n]/(f_1, \ldots, f_c)$ and $S' = S[y_1, \ldots, y_m]/(h_1, \ldots, h_d)$. Then

$$S' \cong R[x_1, \ldots, x_n, y_1, \ldots, y_m]/(f_1, \ldots, f_c, h'_1, \ldots, h'_d)$$

for some lifts $h'_j \in R[x_1, \ldots, x_n, y_1, \ldots, y_m]$ of the $h_j$. Hence it suffices to bound the dimensions of the fibres. Thus we may yet again assume $R = k$ is a field.

In this case we see that we have a ring, namely $S$, which is of finite type over $k$ and equidimensional of dimension $n - c$, and a finite type ring map $S \to S'$ all
of whose nonempty fibre rings are equidimensional of dimension \( m - d \). Then, by Lemma \[111.6\] for example applied to localizations at maximal ideals of \( S' \), we see that \( \dim(S') \leq n - c + m - d \) as desired. □

The following lemma will be improved later, see Smoothing Ring Maps, Proposition \[135.2\].

**Lemma 134.18.** Let \( R \) be a ring and let \( I \subset R \) be an ideal. Let \( R/I \to S \) be a syntomic map. Then there exists elements \( \overline{g}_i \in S \) which generate the unit ideal of \( S \) such that each \( S_{g_i} \cong S/I_S \) for some relative global complete intersection \( S_i \) over \( R \).

**Proof.** By Lemma \[134.15\] we find a collection of elements \( \overline{g}_i \in S \) which generate the unit ideal of \( S \) such that each \( S_{g_i} \) is a relative global complete intersection over \( R/I \). Hence we may assume that \( S \) is a relative global complete intersection. Write \( S = (R/I)[x_1, \ldots, x_n]/(f_1, \ldots, f_c) \) as in Definition \[134.5\]. Choose \( f_1, \ldots, f_c \in R[x_1, \ldots, x_n] \) lifting \( f_1, \ldots, f_c \). Set \( S = R[x_1, \ldots, x_n]/(f_1, \ldots, f_c) \).

Note that \( S/IS \cong S \). By Lemma \[134.11\] we can find \( g \in S \) mapping to 1 in \( S \) such that \( S_g \) is a relative global complete intersection over \( R \). Since \( S \cong S_g/IS_g \) this finishes the proof. □

### 135. Smooth ring maps

**Definition 135.1.** A ring map \( R \to S \) is smooth if it is of finite presentation and the naive cotangent complex \( NL_{S/R} \) is quasi-isomorphic to a finite projective \( S \)-module placed in degree 0.

In particular, if \( R \to S \) is smooth then the module \( \Omega_{S/R} \) is a finite projective \( S \)-module. Moreover, by Lemma \[135.2\] the naive cotangent complex of any presentation has the same structure. Thus, for a surjection \( \alpha : R[x_1, \ldots, x_n] \to S \) with kernel \( I \) the map

\[
I/I^2 \to \Omega_{R[x_1, \ldots, x_n]/R} \otimes_{R[x_1, \ldots, x_n]} S
\]

is a split injection. In other words \( \bigoplus_{i=1}^n Sdx_i \cong I/I^2 \oplus \Omega_{S/R} \) as \( S \)-modules. This implies that \( I/I^2 \) is a finite projective \( S \)-module too!

**Lemma 135.2.** Let \( R \to S \) be a ring map of finite presentation. If for some presentation \( \alpha \) of \( S \) over \( R \) the naive cotangent complex \( NL(\alpha) \) is quasi-isomorphic to a finite projective \( S \)-module placed in degree 0, then this holds for any presentation.
Proof. Immediate from Lemma \([132.2]\) \qed

\textbf{Lemma 135.3.} Let \(R \to S\) be a smooth ring map. Any localization \(S_g\) is smooth over \(R\). If \(f \in R\) maps to an invertible element of \(S\), then \(R_f \to S\) is smooth.

\textbf{Proof.} By Lemma \([132.13]\) the naive cotangent complex for \(S_g\) over \(R\) is the base change of the naive cotangent complex of \(S\) over \(R\). The assumption is that the naive cotangent complex of \(S/R\) is \(\Omega_{S/R}\) and that this is a finite projective \(S\)-module. Hence so is its base change. Thus \(S_g\) is smooth over \(R\).

The second assertion follows in the same way from Lemma \([132.11]\) \qed

\textbf{Lemma 135.4.} Let \(R \to S\) be a smooth ring map. Let \(R \to R'\) be any ring map. Then the base change \(R' \to S' = R' \otimes_R S\) is smooth.

\textbf{Proof.} Let \(\alpha : R[x_1, \ldots, x_n] \to S\) be a presentation with kernel \(I\). Let \(\alpha' : R'[x_1, \ldots, x_n] \to R' \otimes_R S\) be the induced presentation. Let \(I' = \text{Ker}(\alpha')\). Since \(0 \to I \to R[x_1, \ldots, x_n] \to S \to 0\) is exact, the sequence \(R' \otimes_R I \to R'[x_1, \ldots, x_n] \to R' \otimes_R S \to 0\) is exact. Thus \(R' \otimes_R I \to I'\) is surjective. By Definition \([135.1]\) there is a short exact sequence

\[ 0 \to I/I^2 \to \Omega_{R[x_1, \ldots, x_n]/R} \otimes_{R[x_1, \ldots, x_n]} S \to \Omega_{S/R} \to 0 \]

and the \(S\)-module \(\Omega_{S/R}\) is finite projective. In particular \(I/I^2\) is a direct summand of \(\Omega_{R[x_1, \ldots, x_n]/R} \otimes_{R[x_1, \ldots, x_n]} S\). Consider the commutative diagram

\[
\begin{array}{ccc}
I/I^2 & \longrightarrow & \Omega_{R'[x_1, \ldots, x_n]/R'} \otimes_{R'[x_1, \ldots, x_n]} (R' \otimes_R S) \\
\downarrow & & \downarrow \\
I'(I'/I')^2 & \longrightarrow & \Omega_{R'[x_1, \ldots, x_n]/R'} \otimes_{R'[x_1, \ldots, x_n]} (R' \otimes_R S)
\end{array}
\]

Since the right vertical map is an isomorphism we see that the left vertical map is injective and surjective by what was said above. Thus we conclude that \(\text{NL}(\alpha')\) is quasi-isomorphic to \(\Omega_{S'/R'} \cong S' \otimes_S \Omega_{S/R}\). And this is finite projective since it is the base change of a finite projective module. \qed

\textbf{Lemma 135.5.} Let \(k\) be a field. Let \(S\) be a smooth \(k\)-algebra. Then \(S\) is a local complete intersection.

\textbf{Proof.} By Lemmas \([135.4]\) and \([133.11]\) it suffices to prove this when \(k\) is algebraically closed. Choose a presentation \(\alpha : k[x_1, \ldots, x_n] \to S\) with kernel \(I\). Let \(m\) be a maximal ideal of \(S\), and let \(m' = 1 I\) be the corresponding maximal ideal of \(k[x_1, \ldots, x_n]\). We will show that condition (5) of Lemma \([133.4]\) holds (with \(m\) instead of \(q\)). We may write \(m' = (x_1 - a_1, \ldots, x_n - a_n)\) for some \(a_i \in k\), because \(k\) is algebraically closed, see Theorem \([33.1]\). By our assumption that \(k \to S\) is smooth the \(S\)-module map \(d : I/I^2 \to \bigoplus_{i=1}^n Sdx_i\) is a split injection. Hence the corresponding map \(I/m'I \to \bigoplus \kappa(m')dx_i\) is injective. Say \(\text{dim}_{\kappa(m')}(I/m'I) = c\) and pick \(f_1, \ldots, f_c \in I\) which map to a \(\kappa(m')\)-basis of \(I/m'I\). By Nakayama's Lemma \([19.1]\) we see that \(f_1, \ldots, f_c\) generate \(I_{m'}\) over \(k[x_1, \ldots, x_n]_{m'}\). Consider the commutative diagram

\[
\begin{array}{ccc}
I \longrightarrow & I/I^2 \longrightarrow & I/m'I \\
\downarrow & \downarrow & \downarrow \\
\Omega_{k[x_1, \ldots, x_n]/k} \longrightarrow & \bigoplus Sdx_i \longrightarrow & \bigoplus Sdx_i/dx_1^2 \to (m')^2
\end{array}
\]
Let \( R \) be a ring. Given integers \( n \geq c \geq 0 \) and \( f_1, \ldots, f_c \in R[x_1, \ldots, x_n] \) we say \( S = R[x_1, \ldots, x_n]/(f_1, \ldots, f_c) \) is a standard smooth algebra over \( R \) if the polynomial
\[
g = \text{det} \begin{pmatrix}
\partial f_1/\partial x_1 & \partial f_2/\partial x_1 & \cdots & \partial f_c/\partial x_1 \\
\partial f_1/\partial x_2 & \partial f_2/\partial x_2 & \cdots & \partial f_c/\partial x_2 \\
\vdots & \vdots & \ddots & \vdots \\
\partial f_1/\partial x_c & \partial f_2/\partial x_c & \cdots & \partial f_c/\partial x_c
\end{pmatrix}
\]
maps to an invertible element in \( S \).

**Lemma 135.7.** Let \( S = R[x_1, \ldots, x_n]/(f_1, \ldots, f_c) = R[x_1, \ldots, x_n]/I \) be a standard smooth algebra. Then

1. the ring map \( R \rightarrow S \) is smooth,
2. the \( S \)-module \( \Omega_{S/R} \) is free on \( dx_{c+1}, \ldots, dx_n \),
3. the \( S \)-module \( I/I^2 \) is free on the classes of \( f_1, \ldots, f_c \),
4. for any \( g \in S \) the ring map \( R \rightarrow S_g \) is standard smooth,
5. for any ring map \( R \rightarrow R' \) the base change \( R' \rightarrow R' \otimes_R S \) is standard smooth,
6. if \( f \in R \) maps to an invertible element in \( S \), then \( R_f \rightarrow S \) is standard smooth, and
7. the ring \( S \) is a relative global complete intersection over \( R \).

**Proof.** Consider the naive cotangent complex of the given presentation
\[
(f_1, \ldots, f_c)/(f_1, \ldots, f_c)^2 \rightarrow \bigoplus_{i=1}^n Sdx_i
\]
Let us compose this map with the projection onto the first \( c \) direct summands of the direct sum. According to the definition of a standard smooth algebra the classes \( f_i \mod (f_1, \ldots, f_c)^2 \) map to a basis of \( \bigoplus_{i=1}^c Sdx_i \). We conclude that \((f_1, \ldots, f_c)/(f_1, \ldots, f_c)^2 \) is free of rank \( c \) with a basis given by the elements \( f_i \mod (f_1, \ldots, f_c)^2 \), and that the homology in degree 0, i.e., \( \Omega_{S/R} \), of the naive cotangent complex is a free \( S \)-module with basis the images of \( dx_{c+j}, j = 1, \ldots, n-c \). In particular, this proves \( R \rightarrow S \) is smooth.

The proofs of (4) and (6) are omitted. But see the example below and the proof of Lemma 134.10.

Let \( \varphi : R \rightarrow R' \) be any ring map. Denote \( S' = R'[x_1, \ldots, x_n]/(f_1', \ldots, f_c') \) where \( f_i' \) is the polynomial obtained from \( f_i \in R[x_1, \ldots, x_n] \) by applying \( \varphi \) to all the coefficients. Then \( S' \cong R' \otimes_R S \). Moreover, the determinant of Definition 135.6 for \( S'/R' \) is equal to \( g'\varphi \). Its image in \( S' \) is therefore the image of \( g \) via \( R[x_1, \ldots, x_n] \rightarrow S \rightarrow S' \) and hence invertible. This proves (5).
To prove (7) it suffices to show that \( S \otimes_R \kappa(p) \) has dimension \( n - c \) for every prime \( p \subset R \). By (5) it suffices to prove that any standard smooth algebra \( k[x_1, \ldots, x_n]/(f_1, \ldots, f_c) \) over a field \( k \) has dimension \( n - c \). We already know that \( k[x_1, \ldots, x_n]/(f_1, \ldots, f_c) \) is a local complete intersection by Lemma 135.5. Hence, since \( I/I^2 \) is free of rank \( c \) we see that \( k[x_1, \ldots, x_n]/(f_1, \ldots, f_c) \) has dimension \( n - c \), by Lemma 133.4 for example.

**Example 135.8.** Let \( R \) be a ring. Let \( f_1, \ldots, f_c \in R[x_1, \ldots, x_n] \). Let

\[
h = \det \begin{pmatrix} \partial f_1/\partial x_1 & \partial f_2/\partial x_1 & \cdots & \partial f_c/\partial x_1 \\ \partial f_1/\partial x_2 & \partial f_2/\partial x_2 & \cdots & \partial f_c/\partial x_2 \\ \vdots & \vdots & \ddots & \vdots \\ \partial f_1/\partial x_c & \partial f_2/\partial x_c & \cdots & \partial f_c/\partial x_c \end{pmatrix}.
\]

Set \( S = R[x_1, \ldots, x_{n+1}]/(f_1, \ldots, f_c, x_{n+1}h - 1) \). This is an example of a standard smooth algebra, except that the presentation is wrong and the variables should be in the following order: \( x_1, \ldots, x_c, x_{n+1}, x_{c+1}, \ldots, x_n \).

**Lemma 135.9.** A composition of standard smooth ring maps is standard smooth.

**Proof.** Suppose that \( R \to S \) and \( S \to S' \) are standard smooth. We choose presentations \( S = R[x_1, \ldots, x_n]/(f_1, \ldots, f_c) \) and \( S' = S[y_1, \ldots, y_m]/(g_1, \ldots, g_d) \). Choose elements \( g'_j \in R[x_1, \ldots, x_n, y_1, \ldots, y_m] \) mapping to the \( g_j \). In this way we see \( S' = R[x_1, \ldots, x_n, y_1, \ldots, y_m]/(f_1, \ldots, f_c, g'_1, \ldots, g'_d) \). To show that \( S' \) is standard smooth it suffices to verify that the determinant

\[
\det \begin{pmatrix} \partial f_1/\partial x_1 & \cdots & \partial f_c/\partial x_1 & \partial g_1/\partial x_1 & \cdots & \partial g_d/\partial x_1 \\ \cdots & \cdots & \cdots & \cdots & \cdots & \cdots \\ \cdots & \cdots & \cdots & \cdots & \cdots & \cdots \\ \partial f_1/\partial x_c & \cdots & \partial f_c/\partial x_c & \partial g_1/\partial x_c & \cdots & \partial g_d/\partial x_c \\ 0 & \cdots & 0 & \partial g_1/\partial y_1 & \cdots & \partial g_d/\partial y_1 \\ \cdots & \cdots & \cdots & \cdots & \cdots & \cdots \\ 0 & \cdots & \cdots & \cdots & \cdots & \partial g_1/\partial y_d & \cdots & \partial g_d/\partial y_d \end{pmatrix}
\]

is invertible in \( S' \). This is clear since it is the product of the two determinants which were assumed to be invertible by hypothesis.

**Lemma 135.10.** Let \( R \to S \) be a smooth ring map. There exists an open covering of \( \text{Spec}(S) \) by standard opens \( D(g) \) such that each \( S_g \) is standard smooth over \( R \). In particular \( R \to S \) is syntomic.

**Proof.** Choose a presentation \( \alpha : R[x_1, \ldots, x_n] \to S \) with kernel \( I = (f_1, \ldots, f_m) \). For every subset \( E \subset \{1, \ldots, m\} \) consider the open subset \( U_E \) where the classes \( f_e, e \in E \) freely generate the finite projective \( S \)-module \( I/I^2 \), see Lemma 78.3. We may cover \( \text{Spec}(S) \) by standard opens \( D(g) \) each completely contained in one of the opens \( U_E \). For such a \( g \) we look at the presentation

\[
\beta : R[x_1, \ldots, x_n, x_{n+1}] \to S_g
\]

mapping \( x_{n+1} \) to \( 1/g \). Setting \( J = \ker(\beta) \) we use Lemma 132.12 to see that \( J/J^2 \cong (I/I^2)_g \oplus S_g \) is free. We may and do replace \( S \) by \( S_g \). Then using Lemma 134.6 we may assume we have a presentation \( \alpha : R[x_1, \ldots, x_n] \to S \) with kernel \( T = (f_1, \ldots, f_c) \) such that \( I/I^2 \) is free on the classes of \( f_1, \ldots, f_c \).

Using the presentation \( \alpha \) obtained at the end of the previous paragraph, we more or less repeat this argument with the basis elements \( dx_1, \ldots, dx_n \) of \( \Omega_{R[x_1, \ldots, x_n]}/R \).
Namely, for any subset $E \subset \{1, \ldots, n\}$ of cardinality $c$ we may consider the open subset $U_E$ of $\text{Spec}(S)$ where the differential of $\text{NL}(\alpha)$ composed with the projection

$$S^\text{gc} \cong I/I^2 \to \Omega_{R[x_1, \ldots, x_n]/R} \otimes_{R[x_1, \ldots, x_n]} S \to \bigoplus_{i \in E} Sdx_i$$

is an isomorphism. Again we may find a covering of $\text{Spec}(S)$ by (finitely many) standard opens $D(g)$ such that each $D(g)$ is completely contained in one of the opens $U_E$. By renumbering, we may assume $E = \{1, \ldots, c\}$. For a $g$ with $D(g) \subset U_E$ we look at the presentation

$$\beta : R[x_1, \ldots, x_n, x_{n+1}] \to S_g$$

mapping $x_{n+1}$ to $1/g$. Setting $J = \text{Ker}(\beta)$ we conclude from Lemma \ref{lem:smooth-over-R} that $J = (f_1, \ldots, f_c, f_{x_n+1} - 1)$ where $\alpha(f) = g$ and that the composition

$$J/J^2 \to \Omega_{R[x_1, \ldots, x_{n+1}]/R} \otimes_{R[x_1, \ldots, x_{n+1}]} S_g \to \bigoplus_{i=1}^c S_g dx_i \oplus S_g dx_{n+1}$$

is an isomorphism. Reordering the coordinates as $x_1, \ldots, x_c, x_{n+1}, x_{c+1}, \ldots, x_n$ we conclude that $S_g$ is standard smooth over $R$ as desired.

This finishes the proof as standard smooth algebras are syntomic (Lemmas \ref{lem:smooth-over-R} and \ref{lem:smooth-over-R}) and being syntomic over $R$ is local on $S$ (Lemma \ref{lem:smooth-over-R}). \hfill \square

**Definition 135.11.** Let $R \to S$ be a ring map. Let $q$ be a prime of $S$. We say $R \to S$ is smooth at $q$ if there exists a $g \in S$, $g \not\in q$ such that $R \to S_g$ is smooth.

For ring maps of finite presentation we can characterize this as follows.

**Lemma 135.12.** Let $R \to S$ be of finite presentation. Let $q$ be a prime of $S$. The following are equivalent

1. $R \to S$ is smooth at $q$,
2. $H_1(L_{S/R})_q = 0$ and $\Omega_{S/R,q}$ is a projective $S_q$-module, and
3. $H_1(L_{S/R})_q = 0$ and $\Omega_{S/R,q}$ is a flat $S_q$-module.

**Proof.** We will use without further mention that formation of the naive cotangent complex commutes with localization, see Section \ref{sec:localization} especially Lemma \ref{lem:localization-cotangent}. It is clear that (1) implies (2) implies (3). Assume (3) holds. Note that $\Omega_{S/R}$ is a finitely presented $S$-module, see Lemma \ref{lem:finite-presented}. Hence $\Omega_{S/R,q}$ is a finite free module by Lemma \ref{lem:finite-free}. Writing $S_q$ as the colimit of principal localizations we see from Lemma \ref{lem:finite-presented} that we can find a $g \in S$, $g \not\in q$ such that $(\Omega_{S/R})_q$ is finite free. Choose a presentation $\alpha : R[x_1, \ldots, x_n] \to S$ with kernel $I$. We may work with $\text{NL}(\alpha)$ instead of $\text{NL}_{S/R}$, see Lemma \ref{lem:norm}. The surjection

$$\Omega_{R[x_1, \ldots, x_n]/R} \otimes_R S \to \Omega_{S/R} \to 0$$

has a right inverse after inverting $g$ because $(\Omega_{S/R})_q$ is projective. Hence the image of $d : (I/I^2)_g \to \Omega_{R[x_1, \ldots, x_n]/R} \otimes_R S_q$ is a direct summand and this map has a right inverse too. We conclude that $H_1(L_{S/R})_q$ is a quotient of $(I/I^2)_g$. In particular $H_1(L_{S/R})_q$ is a finite $S_q$-module. Thus the vanishing of $H_1(L_{S/R})_q$ implies the vanishing of $H_1(L_{S/R})_{gg'}$ for some $g' \in S$, $g' \not\in q$. Then $R \to S_{gg'}$ is smooth by definition. \hfill \square

**Lemma 135.13.** Let $R \to S$ be a ring map. Then $R \to S$ is smooth if and only if $R \to S$ is smooth at every prime $q$ of $S$. 
A composition of smooth ring maps is smooth.

Let $S$. By Lemma 77.2 this implies that $S$ is of finite presentation over $R$. According to Lemma 132.13 we see that $NL_{S/R} \otimes_S S_g$, is quasi-isomorphic to a finite projective $S_g$-module. By Lemma 77.2 this implies that $NL_{S/R}$ is quasi-isomorphic to a finite projective $S$-module.


Proof. You can prove this in many different ways. One way is to use the snake lemma (Lemma 4.4), the Jacobi-Zariski sequence (Lemma 132.4), combined with the characterization of projective modules as being direct summands of free modules (Lemma 76.2). Another proof can be obtained by combining Lemmas 135.10, 135.9 and 135.13.

00TE Lemma 135.15. Let $R$ be a ring. Let $S = R[x_1, \ldots, x_n]/(f_1, \ldots, f_c)$ be a relative global complete intersection. Let $q \subset S$ be a prime. Then $R \to S$ is smooth at $q$ if and only if there exists a subset $I \subset \{1, \ldots, n\}$ of cardinality $c$ such that the polynomial

$$g_I = \det(\partial f_j/\partial x_i)_{j=1,\ldots,c, i \in I}.$$ 

does not map to an element of $q$.

Proof. By Lemma 134.13 we see that the naive cotangent complex associated to the given presentation of $S$ is the complex

$$\bigoplus_{j=1}^c S \cdot f_j \longrightarrow \bigoplus_{i=1}^n S \cdot dx_i, \quad f_j \mapsto \sum \frac{\partial f_j}{\partial x_i} dx_i.$$ 

The maximal minors of the matrix giving the map are exactly the polynomials $g_I$.

Assume $g_I$ maps to $g \in S$, with $g \notin q$. Then the algebra $S_g$ is smooth over $R$. Namely, its naive cotangent complex is quasi-isomorphic to the complex above localized at $g$, see Lemma 132.13. And by construction it is quasi-isomorphic to a free rank $n-c$ module in degree 0.

Conversely, suppose that all $g_I$ end up in $q$. In this case the complex above tensored with $\kappa(q)$ does not have maximal rank, and hence there is no localization by an element $g \in S$, $g \notin q$ where this map becomes a split injection. By Lemma 132.13 again there is no such localization which is smooth over $R$.

00TF Lemma 135.16. Let $R \to S$ be a ring map. Let $q \subset S$ be a prime lying over the prime $p$ of $R$.

(1) there exists a $g \in S$, $g \notin q$ such that $R \to S_g$ is of finite presentation,
(2) the local ring homomorphism $R_p \to S_q$ is flat,
(3) the fibre $S \otimes_R \kappa(p)$ is smooth over $\kappa(p)$ at the prime corresponding to $q$.

Then $R \to S$ is smooth at $q$.

Proof. By Lemmas 134.15 and 135.5 we see that there exists a $g \in S$ such that $S_g$ is a relative global complete intersection. Replacing $S$ by $S_g$ we may assume $S = R[x_1, \ldots, x_n]/(f_1, \ldots, f_c)$ is a relative global complete intersection. For any subset $I \subset \{1, \ldots, n\}$ of cardinality $c$ consider the polynomial $g_I = \det(\partial f_j/\partial x_i)_{j=1,\ldots,c, i \in I}$ of Lemma 135.15. Note that the image $g_I$ of $g_I$ in the polynomial ring $\kappa(p)[x_1, \ldots, x_n]$ is the determinant of the partial derivatives of the
Let $R \to S$ be a ring map of finite presentation. Let $R \to R'$ be a flat ring map. Denote $S' = R' \otimes_R S$ the base change. Let $U \subset \text{Spec}(S)$ be the set of primes at which $R \to S$ is smooth. Let $V \subset \text{Spec}(S')$ the set of primes at which $R' \to S'$ is smooth. Then $V$ is the inverse image of $U$ under the map $f : \text{Spec}(S') \to \text{Spec}(S)$.

**Proof.** By Lemma 132.8 we see that $NL_{S/R} \otimes_S S'$ is homotopy equivalent to $NL_{S'/R'}$. This already implies that $f^{-1}(U) \subset V$.

Let $q' \subset S'$ be a prime lying over $q \subset S$. Assume $q' \in V$. We have to show that $q \in U$. Since $S \to S'$ is flat, we see that $S_q \to S'_q$, is faithfully flat (Lemma 38.17). Thus the vanishing of $H_1(L_{S/R})_q$ implies the vanishing of $H_1(L_{S'/R'})_{q'}$. By Lemma 77.5 applied to the $S_q$-module $(\Omega_{S/R})_q$ and the map $S_q \to S'_{q'}$, we see that $(\Omega_{S/R})_q$ is projective. Hence $R \to S$ is smooth at $q$ by Lemma 135.12.

**Lemma 135.18.** Let $k \subset K$ be a field extension. Let $S$ be a finite type algebra over $k$. Let $q_K$ be a prime of $S_K = K \otimes_k S$ and let $q$ be the corresponding prime of $S$. Then $S$ is smooth over $k$ at $q$ if and only if $S_K$ is smooth at $q_K$ over $K$.

**Proof.** This is a special case of Lemma 135.17.

**Lemma 135.19.** Let $R$ be a ring and let $I \subset R$ be an ideal. Let $R/I \to \overline{S}$ be a smooth ring map. Then there exists elements $\overline{g}_i \in \overline{S}$ which generate the unit ideal of $\overline{S}$ such that each $\overline{S}_{\overline{g}_i} \cong S_i/IS_i$ for some (standard) smooth ring $S_i$ over $R$.

**Proof.** By Lemma 135.10 we find a collection of elements $\overline{g}_i \in \overline{S}$ which generate the unit ideal of $\overline{S}$ such that each $\overline{S}_{\overline{g}_i}$ is standard smooth over $R/I$. Hence we may assume that $\overline{S}$ is standard smooth over $R/I$. Write $\overline{S} = (R/I)[x_1, \ldots, x_n]/(f_1, \ldots, f_c)$ as in Definition 135.6. Choose $f_1, \ldots, f_c \in R[x_1, \ldots, x_n]$ lifting $\overline{f}_1, \ldots, \overline{f}_c$. Set $S = R[x_1, \ldots, x_n, x_{n+1}]/(f_1, \ldots, f_c, x_{n+1} \Delta - 1)$ where $\Delta = \det(\frac{\partial f_i}{\partial x_j})_{i,j=1,\ldots,c}$ as in Example 135.8. This proves the lemma.

### 136. Formally smooth maps

In this section we define formally smooth ring maps. It will turn out that a ring map of finite presentation is formally smooth if and only if it is smooth, see Proposition 136.13.

**Definition 136.1.** Let $R \to S$ be a ring map. We say $S$ is formally smooth over $R$ if for every commutative solid diagram

$$
\begin{array}{ccc}
S & \longrightarrow & A/I \\
\downarrow & & \downarrow \\
R & \longrightarrow & A
\end{array}
$$

where $I \subset A$ is an ideal of square zero, a dotted arrow exists which makes the diagram commute.
Lemma 136.2. Let \( R \to S \) be a formally smooth ring map. Let \( R \to R' \) be any ring map. Then the base change \( S' = R' \otimes_R S \) is formally smooth over \( R' \).

Proof. Let a solid diagram

\[
\begin{array}{ccc}
S & \to & R' \otimes_R S \\
\downarrow & & \downarrow \\
A/I & \to & A \\
\end{array}
\]

as in Definition 136.1 be given. By assumption the longer dotted arrow exists. By the universal property of tensor product we obtain the shorter dotted arrow. \( \square \)

Lemma 136.3. A composition of formally smooth ring maps is formally smooth.

Proof. Omitted. (Hint: This is completely formal, and follows from considering a suitable diagram.) \( \square \)

Lemma 136.4. A polynomial ring over \( R \) is formally smooth over \( R \).

Proof. Suppose we have a diagram as in Definition 136.1 with \( S = R[x_j; j \in J] \). Then there exists a dotted arrow simply by choosing lifts \( a_j \in A \) of the elements in \( A/I \) to which the elements \( x_j \) map to under the top horizontal arrow. \( \square \)

Lemma 136.5. Let \( R \to S \) be a ring map. Let \( P \to S \) be a surjective \( R \)-algebra map from a polynomial ring \( P \) onto \( S \). Denote \( J \subset P \) the kernel. Then \( R \to S \) is formally smooth if and only if there exists an \( R \)-algebra map \( \sigma : S \to P/J^2 \) which is a right inverse to the surjection \( P/J^2 \to S \).

Proof. Assume \( R \to S \) is formally smooth. Consider the commutative diagram

\[
\begin{array}{ccc}
S & \to & P/J \\
\downarrow & & \downarrow \\
R & \to & P/J^2 \\
\end{array}
\]

By assumption the dotted arrow exists. This proves that \( \sigma \) exists.

Conversely, suppose we have a \( \sigma \) as in the lemma. Let a solid diagram

\[
\begin{array}{ccc}
S & \to & A/I \\
\downarrow & & \downarrow \\
R & \to & A \\
\end{array}
\]

as in Definition 136.1 be given. Because \( P \) is formally smooth by Lemma 136.4 there exists an \( R \)-algebra homomorphism \( \psi : P \to A \) which lifts the map \( P \to S \to A/I \). Clearly \( \psi(J) \subset I \) and since \( I^2 = 0 \) we conclude that \( \psi(J^2) = 0 \). Hence \( \psi \) factors as \( \overline{\psi} : P/J^2 \to A \). The desired dotted arrow is the composition \( \overline{\psi} \circ \sigma : S \to A \). \( \square \)

Remark 136.6. Lemma 136.5 holds more generally whenever \( P \) is formally smooth over \( R \).
Lemma 136.7. Let $R \to S$ be a ring map. Let $P \to S$ be a surjective $R$-algebra map from a polynomial ring $P$ onto $S$. Denote $J \subset P$ the kernel. Then $R \to S$ is formally smooth if and only if the sequence

$$0 \to J/J^2 \to \Omega_{P/R} \otimes_P S \to \Omega_{S/R} \to 0$$

of Lemma 130.9 is a split exact sequence.

Proof. Assume $S$ is formally smooth over $R$. By Lemma 136.5 this means there exists an $R$-algebra map $S \to P/J^2$ which is a right inverse to the canonical map $P/J^2 \to S$. By Lemma 130.10 we see that the sequence is split.

Assume the exact sequence of the lemma is split exact. Choose a splitting $\sigma : S/R \to \Omega_{P/R} \otimes_R S$. For each $\lambda \in S$ choose $x_\lambda \in P$ which maps to $\lambda$. Next, for each $\lambda \in S$ choose $f_\lambda \in J$ such that

$$df_\lambda = dx_\lambda - \sigma(d\lambda)$$

in the middle term of the exact sequence. We claim that $s : \lambda \mapsto x_\lambda - f_\lambda \mod J^2$ is an $R$-algebra homomorphism $s : S \to P/J^2$. To prove this we will repeatedly use that if $h \in J$ and $dh = 0$ in $\Omega_{P/R} \otimes_R S$, then $h \in J^2$. Let $\lambda, \mu \in S$. Then $s(\lambda) + s(\mu) = s(\lambda + \mu)$. Similarly, we have $\sigma(d\mu + \mu d\lambda - d\lambda \mu) = 0$ which implies that

$$\mu(dx_\lambda - df_\lambda) + \lambda(dx_\mu - df_\mu) - dx_\mu - df_\mu = 0$$

in the middle term of the exact sequence. Moreover we have

$$d(x_\lambda x_\mu) = x_\lambda dx_\mu + x_\mu dx_\lambda = \lambda dx_\mu + \mu dx_\lambda$$

in the middle term again. Combined these equations mean that $x_\lambda x_\mu - x_{\lambda\mu} - \mu f_\lambda - \lambda f_\mu + f_{\lambda\mu} \in J^2$, hence $(x_\lambda - f_\lambda)(x_\mu - f_\mu) - (x_{\lambda\mu} - f_{\lambda\mu}) \in J^2$ as $f_\lambda f_\mu \in J^2$, which means that $s(\lambda)s(\mu) = s(\lambda \mu)$. If $\lambda \in R$, then $d\lambda = 0$ and we see that $df_\lambda = dx_\lambda$, hence $\lambda - x_\lambda + f_\lambda \in J^2$ and hence $s(\lambda) = \lambda$ as desired. At this point we can apply Lemma 136.5 to conclude that $S/R$ is formally smooth.

□

Proposition 136.8. Let $R \to S$ be a ring map. Consider a formally smooth $R$-algebra $P$ and a surjection $P \to S$ with kernel $J$. The following are equivalent

1. $S$ is formally smooth over $R$,
2. for some $P \to S$ as above there exists a section to $P/J^2 \to S$,
3. for all $P \to S$ as above there exists a section to $P/J^2 \to S$,
4. for some $P \to S$ as above the sequence $0 \to J/J^2 \to \Omega_{P/R} \otimes S \to \Omega_{S/R} \to 0$ is split exact,
5. for all $P \to S$ as above the sequence $0 \to J/J^2 \to \Omega_{P/R} \otimes S \to \Omega_{S/R} \to 0$ is split exact, and
6. the naive cotangent complex $NL_{S/R}$ is quasi-isomorphic to a projective $S$-module placed in degree 0.

Proof. It is clear that (1) implies (3) implies (2), see first part of the proof of Lemma 136.5. It is also true that (3) implies (5) implies (4) and that (2) implies (4), see first part of the proof of Lemma 136.7. Finally, Lemma 136.7 applied to the canonical surjection $R[S] \to S$ shows that (1) implies (6).
Assume (4) and let’s prove (6). Consider the sequence of Lemma 132.4 associated to the ring maps \( R \to P \to S \). By the implication (1) \( \Rightarrow \) (6) proved above we see that \( \mathbb{N}_P \otimes_R S \) is quasi-isomorphic to \( \Omega_{P/R} \otimes_P S \) placed in degree 0. Hence \( H_1(\mathbb{N}_P \otimes_R S) = 0 \). Since \( P \to S \) is surjective we see that \( \mathbb{N}_S \) is homotopy equivalent to \( J/J^2 \) placed in degree 1 (Lemma 132.6). Thus we obtain the exact sequence \( 0 \to H_1(L_{S/R}) \to J/J^2 \to \Omega_{P/R} \otimes_P S \to \Omega_{S/R} \to 0 \). By assumption we see that \( H_1(L_{S/R}) = 0 \) and that \( \Omega_{S/R} \) is a projective \( S \)-module. Thus (6) follows.

Finally, let’s prove that (6) implies (1). The assumption means that the complex \( J/J^2 \to \Omega_{P/R} \otimes_S S \) where \( P = R[S] \) and \( P \to S \) is the canonical surjection \( 132.0.1 \). Hence Lemma 136.7 shows that \( S \) is formally smooth over \( R \).

**Lemma 136.9.** Let \( A \to B \to C \) be ring maps. Assume \( B \to C \) is formally smooth. Then the sequence

\[
0 \to \Omega_{B/A} \otimes_B C \to \Omega_{C/A} \to \Omega_{C/B} \to 0
\]

of Lemma 136.7 is a split short exact sequence.

**Proof.** Follows from Proposition 136.8 and Lemma 132.4.

**Lemma 136.10.** Let \( A \to B \to C \) be ring maps with \( A \to C \) formally smooth and \( B \to C \) surjective with kernel \( J \subset B \). Then the exact sequence

\[
0 \to J/J^2 \to \Omega_{B/A} \otimes_B C \to \Omega_{C/A} \to 0
\]

of Lemma 136.9 is split exact.

**Proof.** Follows from Proposition 136.8, Lemma 132.4, and Lemma 130.9.

**Lemma 136.11.** Let \( A \to B \to C \) be ring maps. Assume \( A \to C \) is surjective (so also \( B \to C \) is) and \( A \to B \) formally smooth. Denote \( I = \text{Ker}(A \to C) \) and \( J = \text{Ker}(B \to C) \). Then the sequence

\[
0 \to I/I^2 \to J/J^2 \to \Omega_{B/A} \otimes_B B/J \to 0
\]

of Lemma 132.7 is split exact.

**Proof.** Since \( A \to B \) is formally smooth there exists a ring map \( \sigma : B \to A/I^2 \) whose composition with \( A \to B \) equals the quotient map \( A \to A/I^2 \). Then \( \sigma \) induces a map \( J/J^2 \to I/I^2 \) which is inverse to the map \( I/I^2 \to J/J^2 \).

**Lemma 136.12.** Let \( R \to S \) be a ring map. Let \( I \subset R \) be an ideal. Assume

1. \( I^2 = 0 \),
2. \( R \to S \) is flat, and
3. \( R/I \to S/IS \) is formally smooth.

Then \( R \to S \) is formally smooth.

**Proof.** Assume (1), (2) and (3). Let \( P = R[\{ x_t \}_{t \in T}] \to S \) be a surjection of \( R \)-algebras with kernel \( J \). Thus \( 0 \to J \to P \to S \to 0 \) is a short exact sequence of flat \( R \)-modules. This implies that \( I \otimes_R S = IS \), \( I \otimes_R P = IP \) and \( I \otimes_R J = IJ \) as well as \( J \cap IP = IJ \). We will use throughout the proof that

\[
\Omega_{(S/IS)/(R/I)} = \Omega_{S/R} \otimes_S (S/IS) = \Omega_{S/R} \otimes_R R/I = \Omega_{S/R} \otimes_R \Omega_{S/R}
\]

and similarly for \( P \) (see Lemma 130.12). By Lemma 136.7 the sequence

\[
(136.12.1) \quad 0 \to J/(IJ + J^2) \to \Omega_{P/R} \otimes_P S/IS \to \Omega_{S/R} \otimes_S S/IS \to 0
\]
is split exact. Of course the middle term is \( \bigoplus_{t \in T} S/I S d x_t \). Choose a splitting \( \sigma : \Omega_{P/R} \otimes_P S/I S \to J/(IJ + J^2) \). For each \( t \in T \) choose an element \( f_t \in J \) which maps to \( \sigma(d x_t) \) in \( J/(IJ + J^2) \). This determines a unique \( S \)-module map
\[
\delta : \Omega_{P/R} \otimes_R S = \bigoplus S d x_t \to J/J^2
\]
with the property that \( \delta(d x_t) = f_t \). As \( \sigma \) is a section to \( d \) the difference
\[
\Delta = \text{id}_{J/J^2} - \delta \circ d
\]
is a self map \( J/J^2 \to J/J^2 \) whose image is contained in \( (IJ + J^2)/J^2 \). In particular \( \Delta((IJ + J^2)/J^2) = 0 \) because \( J^2 = 0 \). This means that \( \Delta \) factors as
\[
J/J^2 \to J/(IJ + J^2) \xrightarrow{\overline{\Delta}} (IJ + J^2)/J^2 \to J/J^2
\]
where \( \overline{\Delta} \) is a \( S/IS \)-module map. Using again that the sequence (136.12.1) is split, we can find a \( S/IS \)-module map \( \overline{\delta} : \Omega_{P/R} \otimes_P S/IS \to (IJ + J^2)/J^2 \) such that \( \overline{\delta} \circ \sigma \) is equal to \( \overline{\Delta} \). In the same manner as above the map \( \overline{\delta} \) determines an \( S \)-module map \( \delta : \Omega_{P/R} \otimes_P S \to J/J^2 \). After replacing \( \delta \) by \( \delta + \delta \) a simple computation shows that \( \Delta = 0 \). In other words \( \delta \) is a section of \( J/J^2 \to \Omega_{P/R} \otimes_P S \). By Lemma 136.7 we conclude that \( R \to S \) is formally smooth.

00TN Proposition 136.13. Let \( R \to S \) be a ring map. The following are equivalent
1. \( R \to S \) is of finite presentation and formally smooth,
2. \( R \to S \) is smooth.

Proof. Follows from Proposition 136.8 and Definition 135.1. (Note that \( \Omega_{S/R} \)

is a finitely presented \( S \)-module if \( R \to S \) is of finite presentation, see Lemma 130.15.)

00TP Lemma 136.14. Let \( R \to S \) be a smooth ring map. Then there exists a subring \( R_0 \subset R \) of finite type over \( \mathbf{Z} \) and a smooth ring map \( R_0 \to S_0 \) such that \( S \cong R \otimes_{R_0} S_0 \).

Proof. We are going to use that smooth is equivalent to finite presentation and formally smooth, see Proposition 136.13. Write \( S = R[x_1, \ldots, x_n]/(f_1, \ldots, f_m) \) and denote \( I = (f_1, \ldots, f_m) \). Choose a right inverse \( \sigma : S \to R[x_1, \ldots, x_n]/I^2 \) to the projection to \( S \) as in Lemma 136.5. Choose \( h_i \in R[x_1, \ldots, x_n] \) such that \( \sigma(x_i \bmod I) = h_i \bmod I^2 \). The fact that \( \sigma \) is an \( R \)-algebra homomorphism \( R[x_1, \ldots, x_n]/I \to R[x_1, \ldots, x_n]/I^2 \) is equivalent to the condition that
\[
f_{j} (h_1, \ldots, h_n) = \sum_{j_1, j_2} a_{j_1 j_2} f_{j_1} f_{j_2}
\]
for certain \( a_{j_1 j_2} \in R[x_1, \ldots, x_n] \). Let \( R_0 \subset R \) be the subring generated over \( \mathbf{Z} \) by all the coefficients of the polynomials \( f_j, h_i, a_{j_1 j_2} \). Set \( S_0 = R_0[x_1, \ldots, x_n]/(f_1, \ldots, f_m) \), with \( I_0 = (f_1, \ldots, f_m) \). Let \( \sigma_0 : S_0 \to R_0[x_1, \ldots, x_n]/I_0^2 \) defined by the rule \( x_i \mapsto h_i \bmod I_0^2 \); this works since the \( a_{j_1 j_2} \) are defined over \( R_0 \) and satisfy the same relations. Thus by Lemma 136.5 the ring \( S_0 \) is formally smooth over \( R_0 \).

0CAQ Lemma 136.15. Let \( A = \text{colim } A_i \) be a filtered colimit of rings. Let \( A \to B \) be a smooth ring map. There exists an \( i \) and a smooth ring map \( A_i \to B_i \) such that \( B = B_i \otimes_{A_i} A \).

Proof. Follows from Lemma 136.14 since \( R_0 \to A \) will factor through \( A_i \) for some \( i \) by Lemma 126.3.
Let $R \to S$ be a ring map. Let $R \to R'$ be a faithfully flat ring map. Then $R \to S$ is formally smooth if and only if $R' \to S'$ is formally smooth.

Proof. If $R \to S$ is formally smooth, then $R' \to S'$ is formally smooth by Lemma 136.2. To prove the converse, assume $R' \to S'$ is formally smooth. Note that $N \otimes_R R' = N \otimes_S S'$ for any $S$-module $N$. In particular $S \to S'$ is faithfully flat also. Choose a polynomial ring $P = R[\{x_i\}_{i \in I}]$ and a surjection of $R$-algebras $P \to S$ with kernel $J$. Note that $P' = P \otimes_R R'$ is a polynomial algebra over $R'$. Since $R \to R'$ is flat the kernel $J' = J \otimes_R R'$ of the surjection $P' \to S'$ is $J \otimes_R R'$. Hence the split exact sequence (see Lemma 136.7)

$$0 \to J'/J'^2 \to \Omega_{P'/R'} \otimes_{P'} S' \to \Omega_{S'/R'} \to 0$$

is the base change via $S \to S'$ of the corresponding sequence

$$0 \to J/J^2 \to \Omega_{P/R} \otimes_P S \to \Omega_{S/R} \to 0$$

see Lemma 130.9. As $S \to S'$ is faithfully flat we conclude two things: (1) this sequence (without ') is exact too, and (2) $\Omega_{S/R}$ is a projective $S$-module. Namely, $\Omega_{S'/R'}$ is projective as a direct sum of the free module $\Omega_{P'/R'} \otimes_{P'} S'$ and $\Omega_{S/R} \otimes_S S' = \Omega_{S'/R'}$ by what we said above. Thus (2) follows by descent of projectivity through faithfully flat ring maps, see Theorem 94.5. Hence the sequence $0 \to J/J^2 \to \Omega_{P/R} \otimes_P S \to \Omega_{S/R} \to 0$ is exact also and we win by applying Lemma 136.7 once more.

It turns out that smooth ring maps satisfy the following strong lifting property.

**Lemma 136.17.** Let $R \to S$ be a smooth ring map. Given a commutative solid diagram

$$
\begin{array}{ccc}
S & \longrightarrow & A/I \\
\downarrow & & \downarrow \\
R & \longrightarrow & A
\end{array}
$$

where $I \subset A$ is a locally nilpotent ideal, a dotted arrow exists which makes the diagram commute.

Proof. By Lemma 136.14 we can extend the diagram to a commutative diagram

$$
\begin{array}{ccc}
S_0 & \longrightarrow & S & \longrightarrow & A/I \\
\downarrow & & \downarrow & & \downarrow \\
R_0 & \longrightarrow & R & \longrightarrow & A
\end{array}
$$

with $R_0 \to S_0$ smooth, $R_0$ of finite type over $\mathbb{Z}$, and $S = S_0 \otimes_{R_0} R$. Let $x_1, \ldots, x_n \in S_0$ be generators of $S_0$ over $R_0$. Let $a_1, \ldots, a_n$ be elements of $A$ which map to the same elements in $A/I$ as the elements $x_1, \ldots, x_n$. Denote $A_0 \subset A$ the subring generated by the image of $R_0$ and the elements $a_1, \ldots, a_n$. Set $I_0 = A_0 \cap I$. Then $A_0/I_0 \subset A/I$ and $S_0 \to A/I$ maps into $A_0/I_0$. Thus it suffices to find the dotted arrow in the diagram

$$
\begin{array}{ccc}
S_0 & \longrightarrow & A_0/I_0 \\
\downarrow & & \downarrow \\
R_0 & \longrightarrow & A_0
\end{array}
$$
The ring $A_0$ is of finite type over $\mathbf{Z}$ by construction. Hence $A_0$ is Noetherian, whence $I_0$ is nilpotent, see Lemma 31.5. Say $I^n_0 = 0$. By Proposition 136.13 we can successively lift the $R_0$-algebra map $S_0 \to A_0/I_0$ to $S_0 \to A_0/I^2_0$, $S_0 \to A_0/I^3_0$, ..., and finally $S_0 \to A_0/I^n_0 = A_0$. \hfill $\square$

### 137. Smoothness and differentials

Some results on differentials and smooth ring maps.

**Lemma 137.1.** Given ring maps $A \to B \to C$ with $B \to C$ smooth, then the sequence

$$0 \to C \otimes_B \Omega_{B/A} \to \Omega_{C/A} \to \Omega_{C/B} \to 0$$

of Lemma 130.7 is exact.

**Proof.** This follows from the more general Lemma 136.9 because a smooth ring map is formally smooth, see Proposition 136.13. But it also follows directly from Lemma 132.4 since $H_1(L_{C/B}) = 0$ is part of the definition of smoothness of $B \to C$. \hfill $\square$

**Lemma 137.2.** Let $A \to B \to C$ be ring maps with $A \to C$ smooth and $B \to C$ surjective with kernel $J \subset B$. Then the exact sequence

$$0 \to J/J^2 \to \Omega_{B/A} \otimes_B C \to \Omega_{C/A} \to 0$$

of Lemma 130.9 is split exact.

**Proof.** This follows from the more general Lemma 136.10 because a smooth ring map is formally smooth, see Proposition 136.13. \hfill $\square$

**Lemma 137.3.** Let $A \to B \to C$ be ring maps. Assume $A \to C$ is surjective (so also $B \to C$ is) and $A \to B$ smooth. Denote $I = \text{Ker}(A \to C)$ and $J = \text{Ker}(B \to C)$. Then the sequence

$$0 \to I/I^2 \to J/J^2 \to \Omega_{B/A} \otimes_B J \to 0$$

of Lemma 132.7 is exact.

**Proof.** This follows from the more general Lemma 136.11 because a smooth ring map is formally smooth, see Proposition 136.13. \hfill $\square$

**Lemma 137.4.** Let $\varphi : R \to S$ be a smooth ring map. Let $\sigma : S \to R$ be a left inverse to $\varphi$. Set $I = \text{Ker}(\sigma)$. Then

1. $I/I^2$ is a finite locally free $R$-module, and
2. if $I/I^2$ is free, then $S^\wedge \cong R[[t_1, \ldots, t_d]]$ as $R$-algebras, where $S^\wedge$ is the $I$-adic completion of $S$.

**Proof.** By Lemma 130.10 applied to $R \to S \to R$ we see that $I/I^2 = \Omega_{S/R} \otimes_{S,\sigma} R$. Since by definition of a smooth morphism the module $\Omega_{S/R}$ is finite locally free over $S$ we deduce that (1) holds. If $I/I^2$ is free, then choose $f_1, \ldots, f_d \in I$ whose images in $I/I^2$ form an $R$-basis. Consider the $R$-algebra map defined by

$$\Psi : R[[x_1, \ldots, x_d]] \to S^\wedge, \quad x_i \mapsto f_i.$$ 

Denote $P = R[[x_1, \ldots, x_d]]$ and $J = (x_1, \ldots, x_d) \subset P$. We write $\Psi_n : P/J^n \to S/I^n$ for the induced map of quotient rings. Note that $S/I^2 = \varphi(R) \oplus I/I^2$. Thus $\Psi_2$ is an isomorphism. Denote $\sigma_2 : S/I^2 \to P/J^2$ the inverse of $\Psi_2$. We will prove by induction on $n$ that for all $n > 2$ there exists an inverse $\sigma_n : S/I^n \to P/J^n$ of $\Psi_n$. 

---

**05D5**
Namely, as $S$ is formally smooth over $R$ (by Proposition 136.13) we see that in the solid diagram

$$
\begin{array}{ccc}
S & \longrightarrow & P/J^n \\
\sigma_{n-1} \downarrow & & \downarrow \\
P/J^{n-1} & & 
\end{array}
$$

of $R$-algebras we can fill in the dotted arrow by some $R$-algebra map $\tau : S \to P/J^n$ making the diagram commute. This induces an $R$-algebra map $\tau : S/I^n \to P/J^n$ which is equal to $\sigma_{n-1}$ modulo $J^n$. By construction the map $\Psi_n$ is surjective and now $\tau \circ \Psi_n$ is an $R$-algebra endomorphism of $P/J^n$ which maps $x_i$ to $x_i + \delta_{i,n}$ with $\delta_{i,n} \in J^{n-1}/J^n$. It follows that $\Psi_n$ is an isomorphism and hence it has an inverse $\sigma_n$. This proves the lemma. \[\square\]

138. Smooth algebras over fields

00TQ Warning: The following two lemmas do not hold over nonperfect fields in general.

00TR Lemma 138.1. Let $k$ be an algebraically closed field. Let $S$ be a finite type $k$-algebra. Let $m \subset S$ be a maximal ideal. Then

$$\dim_k \Omega_{S/k} \otimes_S \kappa(m) = \dim_k m/m^2.$$

Proof. Consider the exact sequence

$$m/m^2 \to \Omega_{S/k} \otimes_S \kappa(m) \to \Omega_{\kappa(m)/k} \to 0$$

of Lemma 130.9. We would like to show that the first map is an isomorphism. Since $k$ is algebraically closed the composition $k \to \kappa(m)$ is an isomorphism by Theorem 33.1. So the surjection $S \to \kappa(m)$ splits as a map of $k$-algebras, and Lemma 130.10 shows that the sequence above is exact on the left. Since $\Omega_{\kappa(m)/k} = 0$, we win. \[\square\]

00TS Lemma 138.2. Let $k$ be an algebraically closed field. Let $S$ be a finite type $k$-algebra. Let $m \subset S$ be a maximal ideal. The following are equivalent:

1. The ring $S_m$ is a regular local ring.
2. We have $\dim_k \Omega_{S/k} \otimes_S \kappa(m) \leq \dim(S_m)$.
3. We have $\dim_k \Omega_{S/k} \otimes_S \kappa(m) = \dim(S_m)$.
4. There exists a $g \in S$, $g \not\in m$ such that $S_g$ is smooth over $k$. In other words $S/k$ is smooth at $m$.

Proof. Note that (1), (2) and (3) are equivalent by Lemma 138.1 and Definition 109.7.

Assume that $S$ is smooth at $m$. By Lemma 135.10 we see that $S_g$ is standard smooth over $k$ for a suitable $g \in S$, $g \not\in m$. Hence by Lemma 135.7 we see that $\Omega_{S_g/k}$ is free of rank $\dim(S_g)$. Hence by Lemma 138.1 we see that $\dim(S_m) = \dim(m/m^2)$ in other words $S_m$ is regular.

Conversely, suppose that $S_m$ is regular. Let $d = \dim(S_m) = \dim m/m^2$. Choose a presentation $S = k[x_1, \ldots, x_n]/I$ such that $x_i$ maps to an element of $m$ for all $i$. In other words, $m'' = (x_1, \ldots, x_n)$ is the corresponding maximal ideal of $k[x_1, \ldots, x_n]$. Note that we have a short exact sequence

$$I/m'' I \to m''/(m'')^2 \to m/(m)^2 \to 0$$
Pick \( c = n - d \) elements \( f_1, \ldots, f_c \in I \) such that their images in \( m''/(m'')^2 \) span the kernel of the map to \( m/m^2 \). This is clearly possible. Denote \( J = (f_1, \ldots, f_c) \).

So \( J \subset I \). Denote \( S' = k[x_1, \ldots, x_n]/J \) so there is a surjection \( S' \to S \). Denote \( m' = m''S' \) the corresponding maximal ideal of \( S' \). Hence we have

\[
\begin{array}{c}
k[x_1, \ldots, x_n] \rightarrow S' \rightarrow S \\
m'' \rightarrow m' \rightarrow m
\end{array}
\]

By our choice of \( J \) the exact sequence

\[
J/m'' J \rightarrow m''/(m'')^2 \rightarrow m'/(m')^2 \rightarrow 0
\]

shows that \( \dim(m'/(m')^2) = d \). Since \( S'_m \) surjects onto \( S_m \) we see that \( \dim(S_m') \geq d \). Hence by the discussion preceding Definition \[59.9\] we conclude that \( S'_m \) is regular of dimension \( d \) as well. Because \( S' \) was cut out by \( c = n - d \) equations we conclude that there exists a \( g' \in S' \), \( g' \notin m' \) such that \( S'_m \) is a global complete intersection over \( k \), see Lemma \[135.4\]. Also the map \( S_m' \to S_m \) is a surjection of Noetherian local domains of the same dimension and hence an isomorphism. Hence \( S' \to S \) is surjective with finitely generated kernel and becomes an isomorphism after localizing at \( m' \). Thus we can find \( g' \in S' \), \( g \notin m' \) such that \( S'_m \to S_g \) is an isomorphism. All in all we conclude that after replacing \( S \) by a principal localization we may assume that \( S \) is a global complete intersection.

At this point we may write \( S = k[x_1, \ldots, x_n]/(f_1, \ldots, f_c) \) with \( \dim S = n - c \). Recall that the naive cotangent complex of this algebra is given by

\[
\bigoplus S \cdot f_j \rightarrow \bigoplus S \cdot dx_i
\]

see Lemma \[134.13\]. By Lemma \[135.15\] in order to show that \( S \) is smooth at \( m \) we have to show that one of the \( c \times c \) minors \( q_t \) of the matrix “\( A \)” giving the map above does not vanish at \( m \). By Lemma \[138.1\] the matrix \( A \mod m \) has rank \( c \). Thus we win. □

**Lemma 138.3.** Let \( k \) be any field. Let \( S \) be a finite type \( k \)-algebra. Let \( X = \text{Spec}(S) \). Let \( q \subset S \) be a prime corresponding to \( x \in X \). The following are equivalent:

1. The \( k \)-algebra \( S \) is smooth at \( q \) over \( k \).
2. We have \( \dim_{\kappa(q)} \Omega_{S/k} \otimes_S \kappa(q) \leq \dim_x X \).
3. We have \( \dim_{\kappa(q)} \Omega_{S/k} \otimes_S \kappa(q) = \dim_x X \).

Moreover, in this case the local ring \( S_q \) is regular.

**Proof.** If \( S \) is smooth at \( q \) over \( k \), then there exists a \( g \in S, g \notin q \) such that \( S_g \) is standard smooth over \( k \), see Lemma \[135.10\]. A standard smooth algebra over \( k \) has a module of differentials which is free of rank equal to the dimension, see Lemma \[135.7\] (use that a relative global complete intersection over a field has dimension equal to the number of variables minus the number of equations). Thus we see that (1) implies (3). To finish the proof of the lemma it suffices to show that (2) implies (1) and that it implies that \( S_q \) is regular.

Assume (2). By Nakayama’s Lemma \[19.1\] we see that \( \Omega_{S/k,q} \) can be generated by \( \leq \dim_x X \) elements. We may replace \( S \) by \( S_g \) for some \( g \in S, g \notin q \) such that \( \Omega_{S/k} \) is generated by at most \( \dim_x X \) elements. Let \( K \supset k \) be an algebraically closed
field extension such that there exists a \( k \)-algebra map \( \psi : \kappa(q) \to K \). Consider \( S_K = K \otimes_k S \). Let \( m \subset S_K \) be the maximal ideal corresponding to the surjection

\[
S_K = K \otimes_k S \longrightarrow K \otimes_k \kappa(q) \longrightarrow K.
\]

Note that \( m \cap S = q \), in other words \( m \) lies over \( q \). By Lemma \ref{lemma-dimensional-change} the dimension of \( X_K = \text{Spec}(S_K) \) at the point corresponding to \( m \) is \( \dim X \). By Lemma \ref{lemma-dimension-change} this is equal to \( \dim((S_K)_m) \). By Lemma \ref{lemma-module-of-differentials} the module of differentials of \( S_K \) over \( K \) is the base change of \( \Omega_{S/k} \), hence also generated by at most \( \dim X = \dim((S_K)_m) \) elements. By Lemma \ref{lemma-smooth-at-point} we see that \( S_K \) is smooth at \( m \) over \( K \). By Lemma \ref{lemma-smooth-at-point} this implies that \( S \) is smooth at \( q \) over \( K \). This proves (1). Moreover, we know by Lemma \ref{lemma-smooth-at-point} that the local ring \( (S_K)_m \) is regular. Since \( S_q \to (S_K)_m \) is flat we conclude from Lemma \ref{lemma-flatness} that \( S_q \) is regular. \( \square \)

The following lemma can be significantly generalized (in several different ways).

**Lemma 138.4.** Let \( k \) be a field. Let \( R \) be a Noetherian local ring containing \( k \). Assume that the residue field \( \kappa = R/m \) is a finitely generated separable extension of \( k \). Then the map

\[
d : m/m^2 \to \Omega_{R/k} \otimes_R \kappa(m)
\]

is injective.

**Proof.** We may replace \( R \) by \( R/m^2 \). Hence we may assume that \( m^2 = 0 \). By assumption we may write \( \kappa = k(\pi_1, \ldots, \pi_r) \) where \( \pi_1, \ldots, \pi_r \) is a transcendence basis of \( \kappa \) over \( k \) and \( \overline{\pi} \) is separable algebraic over \( k(\pi_1, \ldots, \pi_r) \). Say its minimal equation is \( P(\overline{\pi}) = 0 \) with \( P(T) = T^d + \sum_{i<d} a_i T^i \), with \( a_i \in k(\pi_1, \ldots, \pi_r) \) and \( P'(\overline{\pi}) \neq 0 \). Choose any lifts \( x_i \in R \) of the elements \( \pi_i \in \kappa \). This gives a commutative diagram

\[
\begin{array}{ccc}
R & \longrightarrow & \kappa \\
\downarrow \varphi & & \uparrow \\
k(\pi_1, \ldots, \pi_r)
\end{array}
\]

of \( k \)-algebras. We want to extend the left upwards arrow \( \varphi \) to a \( k \)-algebra map from \( \kappa \) to \( R \). To do this choose any \( y \in R \) lifting \( \overline{\pi} \). To see that it defines a \( k \)-algebra map defined on \( \kappa \cong k(\pi_1, \ldots, \pi_r)[T]/(P) \) all we have to show is that we may choose \( y \) such that \( P(\overline{\pi}) \) = 0. If not then we compute for \( \delta \in m \) that

\[
P(y + \delta) = P(y) + P'(y)\delta
\]

because \( m^2 = 0 \). Since \( P'(y)\delta = P'(\overline{\pi})\delta \) we see that we can adjust our choice as desired. This shows that \( R \cong \kappa \oplus m \) as \( k \)-algebras! From a direct computation of \( \Omega_{\kappa \oplus m/k} \) the lemma follows. \( \square \)

**Lemma 138.5.** Let \( k \) be a field. Let \( S \) be a finite type \( k \)-algebra. Let \( q \subset S \) be a prime. Assume \( \kappa(q) \) is separable over \( k \). The following are equivalent:

1. The algebra \( S \) is smooth at \( q \) over \( k \).
2. The ring \( S_q \) is regular.

**Proof.** Denote \( R = S_q \) and denote its maximal by \( m \) and its residue field \( \kappa \). By Lemma \ref{lemma-smooth-at-point} and \ref{lemma-flatness} we see that there is a short exact sequence

\[
0 \to m/m^2 \to \Omega_{R/k} \otimes_R \kappa \to \Omega_{\kappa/k} \to 0
\]
Note that $\Omega_{R/k} = \Omega_{S/k,q}$; see Lemma 130.8. Moreover, since $\kappa$ is separable over $k$ we have $\dim_\kappa \Omega_{\kappa/k} = \text{trdeg}_k(\kappa)$. Hence we get

$$\dim_\kappa \Omega_{R/k} \otimes_R \kappa = \dim_\kappa m/m^2 + \text{trdeg}_k(\kappa) \geq \dim R + \text{trdeg}_k(\kappa) = \dim q S$$

(see Lemma 115.3 for the last equality) with equality if and only if $R$ is regular. Thus we win by applying Lemma 138.3. □

**Lemma 138.6.** Let $R \to S$ be a $\mathbb{Q}$-algebra map. Let $f \in S$ be such that $\Omega_{S/R} = Sdf \oplus C$ for some $S$-submodule $C$. Then

1. $f$ is not nilpotent, and
2. if $S$ is a Noetherian local ring, then $f$ is a nonzerodivisor in $S$.

**Proof.** For $a \in S$ write $d(a) = \theta(a)df + c(a)$ for some $\theta(a) \in S$ and $c(a) \in C$. Consider the $R$-derivation $S \to S$, $a \mapsto \theta(a)$. Note that $\theta(f) = 1$.

If $f^n = 0$ with $n > 1$ minimal, then $0 = \theta(f^n) = nf^{n-1}$ contradicting the minimality of $n$. We conclude that $f$ is not nilpotent.

Suppose $fa = 0$. If $f$ is a unit then $a = 0$ and we win. Assume $f$ is not a unit. Then $0 = \theta(fa) = f\theta(a) + a$ by the Leibniz rule and hence $a \in (f)$. By induction suppose we have shown $fa = 0 \Rightarrow a \in (f^n)$. Then writing $a = f^n b$ we get $0 = \theta(f^{n+1} b) = (n+1)f^n b + f^{n+1}\theta(b)$. Hence $a = f^n b = -f^{n+1}\theta(b)/(n+1) \in (f^{n+1})$. Since in the Noetherian local ring $S$ we have $(f^n) = 0$, see Lemma 50.4 we win. □

The following is probably quite useless in applications.

**Lemma 138.7.** Let $k$ be a field of characteristic 0. Let $S$ be a finite type $k$-algebra. Let $q \subset S$ be a prime. The following are equivalent:

1. The algebra $S$ is smooth at $q$ over $k$.
2. The $S_q$-module $\Omega_{S/k,q}$ is (finite) free.
3. The ring $S_q$ is regular.

**Proof.** In characteristic zero any field extension is separable and hence the equivalence of (1) and (3) follows from Lemma 138.5. Also (1) implies (2) by definition of smooth algebras. Assume that $\Omega_{S/k,q}$ is free over $S_q$. We are going to use the notation and observations made in the proof of Lemma 138.5. So $R = S_q$ is a Noetherian local ring with maximal ideal $m$ and residue field $\kappa$. Our goal is to prove $R$ is regular.

If $m/m^2 = 0$, then $m = 0$ and $R \cong S$. Hence $R$ is regular and we win.

If $m/m^2 \neq 0$, then choose any $f \in m$ whose image in $m/m^2$ is not zero. By Lemma 138.4 we see that $df$ has nonzero image in $\Omega_{R/k}/m\Omega_{R/k}$. By assumption $\Omega_{R/k} = \Omega_{S/k,q}$ is finite free and hence by Nakayama’s Lemma 19.1 we see that $df$ generates a direct summand. We apply Lemma 138.6 to deduce that $f$ is a nonzerodivisor in $R$. Furthermore, by Lemma 130.9 we get an exact sequence

$$(f)/(f^2) \to \Omega_{R/k} \otimes_R R/fR \to \Omega_{(R/fR)/k} \to 0$$

This implies that $\Omega_{(R/fR)/k}$ is finite free as well. Hence by induction we see that $R/fR$ is a regular local ring. Since $f \in m$ was a nonzerodivisor we conclude that $R$ is regular, see Lemma 105.7. □

**Example 138.8.** Lemma 138.7 does not hold in characteristic $p > 0$. The standard examples are the ring maps

$$\mathbf{F}_p \longrightarrow \mathbf{F}_p[x]/(x^p)$$
whose module of differentials is free but is clearly not smooth, and the ring map
\((p > 2)\)
\[
F_p(t) \rightarrow F_p(t)[x,y]/(x^p + y^2 + \alpha)
\]
which is not smooth at the prime \(\mathfrak{q} = (y, x^p + \alpha)\) but is regular.

Using the material above we can characterize smoothness at the generic point in
terms of field extensions.

**Lemma 138.9.** Let \(R \rightarrow S\) be an injective finite type ring map with \(R\) and \(S\)
domains. Then \(R \rightarrow S\) is smooth at \(\mathfrak{q} = (0)\) if and only if the induced extension
\(L/K\) of fraction fields is separable.

**Proof.** Assume \(R \rightarrow S\) is smooth at \((0)\). We may replace \(S\) by \(S_g\) for some nonzero
\(g \in S\) and assume that \(R \rightarrow S\) is smooth. Then \(K \rightarrow S \otimes_R K\) is smooth (Lemma
135.4). Moreover, for any field extension \(K \subset K'\) the ring map \(K' \rightarrow S \otimes_R K'\)
is smooth as well. Hence \(S \otimes_R K'\) is a regular ring by Lemma 138.3 in particular
reduced. It follows that \(S \otimes_R K\) is a geometrically reduced over \(K\). Hence \(L\) is
gеometrically reduced over \(K\), see Lemma 42.3. Hence \(L/K\) is separable by Lemma
43.1.

Conversely, assume that \(L/K\) is separable. We may assume \(R \rightarrow S\) is of finite
presentation, see Lemma 29.1. It suffices to prove that \(K \rightarrow S \otimes_R K\) is smooth at
\((0)\), see Lemma 135.17. This follows from Lemma 138.5, the fact that a field is a
regular ring, and the assumption that \(L/K\) is separable. \(\Box\)

### 139. Smooth ring maps in the Noetherian case

**Definition 139.1.** Let \(\varphi : B' \rightarrow B\) be a ring map. We say \(\varphi\) is a small extension
if \(B'\) and \(B\) are local Artinian rings, \(\varphi\) is surjective and \(I = \text{Ker}(\varphi)\) has length 1 as
a \(B'\)-module.

Clearly this means that \(I^2 = 0\) and that \(I = (x)\) for some \(x \in B'\) such that \(m'x = 0\)
where \(m' \subset B'\) is the maximal ideal.

**Lemma 139.2.** Let \(R \rightarrow S\) be a ring map. Let \(\mathfrak{q}\) be a prime ideal of \(S\) lying
over \(p \subset R\). Assume \(R\) is Noetherian and \(R \rightarrow S\) of finite type. The following are
equivalent:

1. \(R \rightarrow S\) is smooth at \(\mathfrak{q}\),
2. for every surjection of local \(R\)-algebras \((B', m') \rightarrow (B, m)\) with \(\text{Ker}(B' \rightarrow B)\)
having square zero and every solid commutative diagram

\[
\begin{array}{ccc}
S & \longrightarrow & B \\
\uparrow & & \uparrow \\
R & \longrightarrow & B'
\end{array}
\]
such that \(\mathfrak{q} = S \cap m\) there exists a dotted arrow making the diagram commute,
3. same as in (2) but with \(B' \rightarrow B\) ranging over small extensions, and
4. same as in (2) but with \(B' \rightarrow B\) ranging over small extensions such that in
addition \(S \rightarrow B\) induces an isomorphism \(\kappa(\mathfrak{q}) \cong \kappa(\mathfrak{m})\).
Proof. Assume (1). This means there exists a \( g \in S, g \notin q \) such that \( R \to S_g \) is smooth. By Proposition \ref{prop:smoothness_factorization} we know that \( R \to S_g \) is formally smooth. Note that given any diagram as in (2) the map \( S \to B \) factors automatically through \( S_q \) and a fortiori through \( S_g \). The formal smoothness of \( S_g \) over \( R \) gives us a morphism \( S_g \to B' \) fitting into a similar diagram with \( S_g \) at the upper left corner. Composing with \( S \to S_g \) gives the desired arrow. In other words, we have shown that (1) implies (2).

Clearly (2) implies (3) and (3) implies (4).

Assume (4). We are going to show that (1) holds, thereby finishing the proof of the lemma. Choose a presentation \( S = R[x_1, \ldots, x_n]/(f_1, \ldots, f_m) \). This is possible as \( S \) is of finite type over \( R \) and therefore of finite presentation (see Lemma \ref{lem:finite_type}). Set \( I = (f_1, \ldots, f_m) \).

Set \( I = (f_1, \ldots, f_m) \). Consider the naive cotangent complex

\[ d : I/I^2 \longrightarrow \bigoplus_{j=1}^m S dx_j \]

of this presentation (see Section \ref{sec:cotangent_complex}). It suffices to show that when we localize this complex at \( q \) then the map becomes a split injection, see Lemma \ref{lem:split_injection}. Denote \( S' = R[x_1, \ldots, x_n]/I^2 \). By Lemma \ref{lem:localization_module_differentials} we have

\[ S \otimes_{S'} \Omega_{S'/R} = S \otimes_{R[x_1, \ldots, x_n]} \Omega_{R[x_1, \ldots, x_n]/R} = \bigoplus_{j=1}^m S dx_j. \]

Thus the map

\[ d : I/I^2 \longrightarrow S \otimes_{S'} \Omega_{S'/R} \]

is the same as the map in the naive cotangent complex above. In particular the truth of the assertion we are trying to prove depends only on the three rings \( R \to S' \to S \).

Let \( q' \subset R[x_1, \ldots, x_n] \) be the prime ideal corresponding to \( q \). Since localization commutes with taking modules of differentials (Lemma \ref{lem:localization_module_differentials}) we see that it suffices to show that the map

\[ d : I/I^2 \longrightarrow S_q \otimes_{S'_q} \Omega_{S'_q/R} \]

coming from \( R \to S'_q \to S_q \) is a split injection.

Let \( N \in \mathbb{N} \) be an integer. Consider the ring

\[ B'_N = S'_q/(q')^N S'_q = (S'/(q')^N S')_q \]

and its quotient \( B_N = B'_N/IB'_N \). Note that \( B_N \cong S_q/q^NS_q \). Observe that \( B'_N \) is an Artinian local ring since it is the quotient of a local Noetherian ring by a power of its maximal ideal. Consider a filtration of the kernel \( I_N \) of \( B'_N \to B_N \) by \( B'_N \)-submodules

\[ 0 \subset J_{N,1} \subset J_{N,2} \subset \cdots \subset J_{N,n(N)} = I_N \]

such that each successive quotient \( J_{N,i}/J_{N,i-1} \) has length 1. (As \( B'_N \) is Artinian such a filtration exists.) This gives a sequence of small extensions

\[ B'_N \to B'_N/J_{N,1} \to B'_N/J_{N,2} \to \cdots \to B'_N/J_{N,n(N)} = B'_N/I_N = B_N = S_q/q^NS_q \]
Applying condition (4) successively to these small extensions starting with the map $S \to B_N$ we see there exists a commutative diagram

\[
\begin{array}{ccc}
S & \longrightarrow & B_N \\
\downarrow & & \downarrow \\
R & \longrightarrow & B'_N
\end{array}
\]

Clearly the ring map $S \to B'_N$ factors as $S \to S_q \to B'_N$ where $S_q \to B'_N$ is a local homomorphism of local rings. Moreover, since the maximal ideal of $B'_N$ to the $N$th power is zero we conclude that $S_q \to B'_N$ factors through $S_q/(q)^NS_q = B_N$. In other words we have shown that for all $N \in \mathbb{N}$ the surjection of $R$-algebras $B'_N \to B_N$ has a splitting.

Consider the presentation

\[I_N \to B_N \otimes_{B'_N} \Omega_{B'_N/R} \to \Omega_{B_N/R} \to 0\]

coming from the surjection $B'_N \to B_N$ with kernel $I_N$ (see Lemma 130.9). By the above the $R$-algebra map $B'_N \to B_N$ has a right inverse. Hence by Lemma 130.10 we see that the sequence above is split exact! Thus for every $N$ the map

\[I_N \longrightarrow B_N \otimes_{B'_N} \Omega_{B'_N/R}\]

is a split injection. The rest of the proof is gotten by unwinding what this means exactly. Note that

\[I_N = I_{q'}/(I_{q'}^2 + (q')^N \cap I_{q'})\]

By Artin-Rees (Lemma 50.2) we find a $c \geq 0$ such that

\[S_q/q^{N-c}S_q \otimes_{S_q} I_N = S_q/q^{N-c}S_q \otimes_{S_q} I_{q'}/I_{q'}^2\]

for all $N \geq c$ (these tensor product are just a fancy way of dividing by $q^{N-c}$). We may of course assume $c \geq 1$. By Lemma 130.11 we see that

\[S_{q'}/(q')^{N-c}S_{q'} \otimes_{S_{q'}} \Omega_{B'_N/R} = S_{q'}/(q')^{N-c}S_{q'} \otimes_{S_{q'}} \Omega_{S_{q'}/R}\]

we can further tensor this by $B_N = S_q/q^N$ to see that

\[S_q/q^{N-c}S_q \otimes_{S_{q'}} \Omega_{B'_N/R} = S_q/q^{N-c}S_q \otimes_{S_{q'}} \Omega_{S_{q'}/R}.\]

Since a split injection remains a split injection after tensoring with anything we see that

\[S_q/q^{N-c}S_q \otimes_{S_{q'}} (139.2.1) = S_q/q^{N-c}S_q \otimes_{S_q/q^NS_q} (I_N \longrightarrow B_N \otimes_{B'_N} \Omega_{B'_N/R})\]

is a split injection for all $N \geq c$. By Lemma 73.1 we see that (139.2.1) is a split injection. This finishes the proof. \qed

140. Overview of results on smooth ring maps

Here is a list of results on smooth ring maps that we proved in the preceding sections. For more precise statements and definitions please consult the references given.

1. A ring map $R \to S$ is smooth if it is of finite presentation and the naive cotangent complex of $S/R$ is quasi-isomorphic to a finite projective $S$-module in degree 0, see Definition 135.1.
(2) If $S$ is smooth over $R$, then $\Omega_{S/R}$ is a finite projective $S$-module, see discussion following Definition 135.1.

(3) The property of being smooth is local on $S$, see Lemma 135.13.

(4) The property of being smooth is stable under base change, see Lemma 135.4.

(5) The property of being smooth is stable under composition, see Lemma 135.14.

(6) A smooth ring map is syntomic, in particular flat, see Lemma 135.10.

(7) A finitely presented, flat ring map with smooth fibre rings is smooth, see Lemma 135.16.

(8) A finitely presented ring map $R \to S$ is smooth if and only if it is formally smooth, see Proposition 136.13.

(9) If $R \to S$ is a finite type ring map with $R$ Noetherian then to check that $R \to S$ is smooth it suffices to check the lifting property of formal smoothness along small extensions of Artinian local rings, see Lemma 139.2.

(10) A smooth ring map $R \to S$ is the base change of a smooth ring map $R_0 \to S_0$ with $R_0$ of finite type over $\mathbb{Z}$, see Lemma 136.14.

(11) Formation of the set of points where a ring map is smooth commutes with flat base change, see Lemma 135.17.

(12) If $S$ is of finite type over an algebraically closed field $k$, and $m \subset S$ a maximal ideal, then the following are equivalent

(a) $S$ is smooth over $k$ in a neighbourhood of $m$,
(b) $S_m$ is a regular local ring,
(c) $\dim(S_m) = \dim_{\kappa(m)} \Omega_S/\kappa \otimes S \kappa(m)$.

see Lemma 138.2.

(13) If $S$ is of finite type over a field $k$, and $q \subset S$ a prime ideal, then the following are equivalent

(a) $S$ is smooth over $k$ in a neighbourhood of $q$,
(b) $\dim_q(S/k) = \dim_{\kappa(q)} \Omega_{S/k} \otimes S \kappa(q)$.

see Lemma 138.3.

(14) If $S$ is smooth over a field, then all its local rings are regular, see Lemma 138.3.

(15) If $S$ is of finite type over a field $k$, $q \subset S$ a prime ideal, the field extension $k \subset \kappa(q)$ is separable and $S_q$ is regular, then $S$ is smooth over $k$ at $q$, see Lemma 138.5.

(16) If $S$ is of finite type over a field $k$, if $k$ has characteristic 0, if $q \subset S$ a prime ideal, and if $\Omega_{S/k,q}$ is free, then $S$ is smooth over $k$ at $q$, see Lemma 138.7.

Some of these results were proved using the notion of a standard smooth ring map, see Definition 135.6. This is the analogue of what a relative global complete intersection map is for the case of syntomic morphisms. It is also the easiest way to make examples.

### 141. Étale ring maps

An étale ring map is a smooth ring map whose relative dimension is equal to zero. This is the same as the following slightly more direct definition.

**Definition 141.1.** Let $R \to S$ be a ring map. We say $R \to S$ is étale if it is of finite presentation and the naive cotangent complex $N_{S/R}$ is quasi-isomorphic to
zero. Given a prime $q$ of $S$ we say that $R \to S$ is étale at $q$ if there exists a $g \in S$, $g \not\in q$ such that $R \to S_g$ is étale.

In particular we see that $\Omega_{S/R} = 0$ if $S$ is étale over $R$. If $R \to S$ is smooth, then $R \to S$ is étale if and only if $\Omega_{S/R} = 0$. From our results on smooth ring maps we automatically get a whole host of results for étale maps. We summarize these in Lemma 141.3 below. But before we do so we prove that any étale ring map is standard smooth.

**Lemma 141.2.** Any étale ring map is standard smooth. More precisely, if $R \to S$ is étale, then there exists a presentation $S = R[x_1, \ldots, x_n]/(f_1, \ldots, f_n)$ such that the image of $\det(\partial f_j/\partial x_i)$ is invertible in $S$.

**Proof.** Let $R \to S$ be étale. Choose a presentation $S = R[x_1, \ldots, x_n]/I$. As $R \to S$ is étale we know that

$$d : I/I^2 \to \bigoplus_{i=1, \ldots, n} Sdx_i$$

is an isomorphism, in particular $I/I^2$ is a free $S$-module. Thus by Lemma 134.6 we may assume (after possibly changing the presentation), that $I = (f_1, \ldots, f_c)$ such that the classes $f_i$ mod $I^2$ form a basis of $I/I^2$. It follows immediately from the fact that the displayed map above is an isomorphism that $c = n$ and that $\det(\partial f_j/\partial x_i)$ is invertible in $S$. \qed

**Lemma 141.3.** Results on étale ring maps.

1. The ring map $R \to R_f$ is étale for any ring $R$ and any $f \in R$.
2. Compositions of étale ring maps are étale.
3. A base change of an étale ring map is étale.
4. The property of being étale is local: Given a ring map $R \to S$ and elements $g_1, \ldots, g_m \in S$ which generate the unit ideal such that $R \to S_{g_j}$ is étale for $j = 1, \ldots, m$, then $R \to S$ is étale.
5. Given $R \to S$ of finite presentation, and a flat ring map $R \to R'$, set $S' = R' \otimes_R S$. The set of primes where $R' \to S'$ is étale is the inverse image via $\text{Spec}(S') \to \text{Spec}(S)$ of the set of primes where $R \to S$ is étale.
6. An étale ring map is syntomic, in particular flat.
7. If $S$ is finite type over a field $k$, then $S$ is étale over $k$ if and only if $\Omega_{S/k} = 0$.
8. Any étale ring map $R \to S$ is the base change of an étale ring map $R_0 \to S_0$ with $R_0$ of finite type over $Z$.
9. Let $A = \text{colim} A_i$ be a filtered colimit of rings. Let $A \to B$ be an étale ring map. Then there exists an étale ring map $A_i \to B_i$ for some $i$ such that $B \cong A \otimes_{A_i} B_i$.
10. Let $A$ be a ring. Let $S$ be a multiplicative subset of $A$. Let $S^{-1}A \to B'$ be étale. Then there exists an étale ring map $A \to B$ such that $B' \cong S^{-1}B$.

**Proof.** In each case we use the corresponding result for smooth ring maps with a small argument added to show that $\Omega_{S/R}$ is zero.

Proof of (1). The ring map $R \to R_f$ is smooth and $\Omega_{R_f/R} = 0$.

Proof of (2). The composition $A \to C$ of smooth maps $A \to B$ and $B \to C$ is smooth, see Lemma 141.3. By Lemma 130.7 we see that $\Omega_{C/A}$ is zero as both $\Omega_{C/B}$ and $\Omega_{B/A}$ are zero.
Proof of (3). Let $R \to S$ be étale and $R \to R'$ be arbitrary. Then $R' \to S' = R' \otimes_R S$ is smooth, see Lemma 135.4. Since $\Omega_{S'/R'} = S' \otimes_S \Omega_{S/R}$ by Lemma 130.12 we conclude that $\Omega_{S'/R'} = 0$. Hence $R' \to S'$ is étale.

Proof of (4). Assume the hypotheses of (4). By Lemma 135.13 we see that $R \to S$ is smooth. We are also given that $\Omega_{S_i/R} = (\Omega_{S/R})_{\mathfrak{p}_i} = 0$ for all $i$. Then $\Omega_{S/R} = 0$, see Lemma 22.2.

Proof of (5). The result for smooth maps is Lemma 135.17. In the proof of that lemma we used that $NL_{S/R} \otimes_S S'$ is homotopy equivalent to $NL_{S'/R'}$. This reduces us to showing that if $M$ is a finitely presented $S$-module the set of primes $\mathfrak{q}'$ of $S'$ such that $(M \otimes_S S')_{\mathfrak{q}'} = 0$ is the inverse image of the set of primes $\mathfrak{q}$ of $S$ such that $M_{\mathfrak{q}} = 0$. This follows from Lemma 39.6.

Proof of (6). Follows directly from the corresponding result for smooth ring maps (Lemma 135.10).

Proof of (7). Follows from Lemma 138.3 and the definitions.

Proof of (8). Lemma 136.14 gives the result for smooth ring maps. The resulting smooth ring map $R_0 \to S_0$ satisfies the hypotheses of Lemma 129.8 and hence we may replace $S_0$ by the factor of relative dimension 0 over $R_0$.

Proof of (9). Follows from (8) since $R_0 \to A$ will factor through $A_i$ for some $i$ by Lemma 126.3.

Proof of (10). Follows from (9), (1), and (2) since $S^{-1}A$ is a filtered colimit of principal localizations of $A$. □

Next we work out in more detail what it means to be étale over a field.

**Lemma 141.4.** Let $k$ be a field. A ring map $k \to S$ is étale if and only if $S$ is isomorphic to a $k$-algebra as a finite product of finite separable extensions of $k$.

**Proof.** If $k \to k'$ is a finite separable field extension then we can write $k' = k(\alpha) \cong k[x]/(f)$. Here $f$ is the minimal polynomial of the element $\alpha$. Since $k'$ is separable over $k$ we have $\gcd(f, f') = 1$. This implies that $d : k' \cdot f \to k' \cdot dx$ is an isomorphism. Hence $k \to k'$ is étale.

Conversely, suppose that $k \to S$ is étale. Let $\overline{k}$ be an algebraic closure of $k$. Then $S \otimes_k \overline{k}$ is étale over $\overline{k}$. Suppose we have the result over $\overline{k}$. Then $S \otimes_k \overline{k}$ is reduced and hence $S$ is reduced. Also, $S \otimes_k \overline{k}$ is finite over $\overline{k}$ and hence $S$ is finite over $k$. Hence $S$ is a finite product $S = \prod k_i$ of fields, see Lemma 52.2 and Proposition 59.6. The result over $\overline{k}$ means $S \otimes_k \overline{k}$ is isomorphic to a finite product of copies of $\overline{k}$, which implies that each $k \subset k_i$ is finite separable, see for example Lemmas 43.1 and 43.3. Thus we have reduced to the case $k = \overline{k}$. In this case Lemma 138.2 (combined with $\Omega_{S/k} = 0$) we see that $S_{\mathfrak{m}} \cong k$ for all maximal ideals $\mathfrak{m} \subset S$. This implies the result because $S$ is the product of the localizations at its maximal ideals by Lemma 52.2 and Proposition 59.6 again. □

**Lemma 141.5.** Let $R \to S$ be a ring map. Let $\mathfrak{q} \subset S$ be a prime lying over $\mathfrak{p}$ in $R$. If $S/R$ is étale at $\mathfrak{q}$ then

1. we have $\mathfrak{p}S_{\mathfrak{q}} = \mathfrak{q}S_{\mathfrak{q}}$ is the maximal ideal of the local ring $S_{\mathfrak{q}}$, and
2. the field extension $\kappa(\mathfrak{p}) \subset \kappa(\mathfrak{q})$ is finite separable.
Proof. First we may replace $S$ by $S_g$ for some $g \in S$, $g \not\in q$ and assume that $R \to S$ is étale. Then the lemma follows from Lemma 141.4 by unwinding the fact that $S \otimes_R \kappa(p)$ is étale over $\kappa(p)$.

Lemma 141.6. An étale ring map is quasi-finite.

Proof. Let $R \to S$ be an étale ring map. By definition $R \to S$ is of finite type. For any prime $p \subset R$ the fibre ring $S \otimes_R \kappa(p)$ is étale over $\kappa(p)$ and hence a finite products of fields finite separable over $\kappa(p)$, in particular finite over $\kappa(p)$. Thus $R \to S$ is quasi-finite by Lemma 121.4.

Lemma 141.7. Let $R \to S$ be a ring map. Let $q$ be a prime of $S$ lying over a prime $p$ of $R$. If

1. $R \to S$ is of finite presentation,
2. $R_p \to S_q$ is flat
3. $pS_q$ is the maximal ideal of the local ring $S_q$, and
4. the field extension $\kappa(p) \subset \kappa(q)$ is finite separable,

then $R \to S$ is étale at $q$.

Proof. Apply Lemma 121.2 to find a $g \in S$, $g \not\in q$ such that $q$ is the only prime of $S_g$ lying over $p$. We may and do replace $S$ by $S_g$. Then $S \otimes_R \kappa(p)$ has a unique prime, hence is a local ring, hence is equal to $S_q/pS_q \cong \kappa(q)$. By Lemma 135.16 there exists a $g \in S$, $g \not\in q$ such that $R \to S_q$ is smooth. Replace $S$ by $S_q$ again we may assume that $R \to S$ is smooth. By Lemma 135.10 we may even assume that $R \to S$ is standard smooth, say $S = R[x_1, \ldots, x_n]/(f_1, \ldots, f_c)$. Since $S \otimes_R \kappa(p) = \kappa(q)$ has dimension 0 we conclude that $n = c$, i.e., $R \to S$ is étale.

Here is a completely new phenomenon.

Lemma 141.8. Let $R \to S$ and $R \to S'$ be étale. Then any $R$-algebra map $S' \to S$ is étale.

Proof. First of all we note that $S' \to S$ is of finite presentation by Lemma 6.2. Let $q' \subset S'$ be a prime ideal lying over the primes $q \subset S$ and $p \subset R$. By Lemma 141.5 the ring map $S'_q/pS'_q \to S_q/pS_q$ is a map finite separable extensions of $\kappa(p)$. In particular it is flat. Hence by Lemma 127.8 we see that $S'_q \to S_q$ is flat. Thus $S' \to S$ is flat. Moreover the above also shows that $q'S_q$ is the maximal ideal of $S_q$ and that the residue field extension of $S'_q \to S_q$ is finite separable. Hence from Lemma 141.7 we conclude that $S' \to S$ is étale at $q$. Since being étale is local (see Lemma 141.3) we win.

Lemma 141.9. Let $\varphi : R \to S$ be a ring map. If $R \to S$ is surjective, flat and finitely presented then there exist an idempotent $e \in R$ such that $S = R_e$.

First proof. Let $I$ be the kernel of $\varphi$. We have that $I$ is finitely generated by Lemma 6.3 since $\varphi$ is of finite presentation. Moreover, since $S$ is flat over $R$, tensoring the exact sequence $0 \to I \to R \to S \to 0$ over $R$ with $S$ gives $I/I^2 = 0$. Now we conclude by Lemma 20.5.

Second proof. Since Spec($S$) $\to$ Spec($R$) is a homeomorphism onto a closed subset (see Lemma 16.7) and is open (see Proposition 40.8) we see that the image is $D(e)$ for some idempotent $e \in R$ (see Lemma 20.3). Thus $R_e \to S$ induces a bijection on spectra. Now this map induces an isomorphism on all local rings for
Then it follows that \( R_e \rightarrow S \) is also injective, for example see Lemma 22.1.

**Lemma 141.10.** Let \( R \) be a ring and let \( I \subset R \) be an ideal. Let \( R/I \rightarrow \overline{S} \) be an étale ring map. Then there exists an étale ring map \( R \rightarrow S \) such that \( \overline{S} \cong S/IS \) as \( R/I \)-algebras.

**Proof.** By Lemma 141.2 we can write \( \overline{S} = (R/I)[x_1, \ldots, x_n]/(f_1, \ldots, f_m) \) as in Definition 135.6 with \( \Delta = \det(\frac{\partial f_i}{\partial x_j})_{i,j=1,\ldots,n} \) invertible in \( \overline{S} \). Just take some lifts \( f_i \) and set \( S = R[x_1, \ldots, x_n, x_{n+1}]/(f_1, \ldots, f_n, x_{n+1}\Delta - 1) \) where \( \Delta = \det(\frac{\partial f_i}{\partial x_j})_{i,j=1,\ldots,n} \) as in Example 135.8. This proves the lemma.

**Lemma 141.11.** Consider a commutative diagram

\[
\begin{array}{ccc}
0 & \rightarrow & J & \rightarrow & B' & \rightarrow & B & \rightarrow & 0 \\
& & \uparrow & & \uparrow & & \uparrow & & \\
0 & \rightarrow & I & \rightarrow & A' & \rightarrow & A & \rightarrow & 0
\end{array}
\]

with exact rows where \( B' \rightarrow B \) and \( A' \rightarrow A \) are surjective ring maps whose kernels are ideals of square zero. If \( A \rightarrow B \) is étale, and \( J = I \otimes_A B \), then \( A' \rightarrow B' \) is étale.

**Proof.** By Lemma 141.10 there exists an étale ring map \( A' \rightarrow C \) such that \( C/IC = B \). Then \( A' \rightarrow C \) is formally smooth (by Proposition 136.13) hence we get an \( A' \)-algebra map \( \varphi : C \rightarrow B' \). Since \( A' \rightarrow C \) is flat we have \( I \otimes_A B = I \otimes_A C/IC = IC \). Hence the assumption that \( J = I \otimes_A B \) implies that \( \varphi \) induces an isomorphism \( IC \rightarrow J \) and an isomorphism \( C/IC \rightarrow B'/IB' \), whence \( \varphi \) is an isomorphism.

**Example 141.12.** Let \( n, m \geq 1 \) be integers. Consider the ring map

\[
R = \mathbb{Z}[a_1, \ldots, a_{n+m}] \rightarrow S = \mathbb{Z}[b_1, \ldots, b_n, c_1, \ldots, c_m]
\]

\[
a_1 \mapsto b_1 + c_1
\]

\[
a_2 \mapsto b_2 + b_1c_1 + c_2
\]

\[
\vdots \quad \vdots \quad \vdots
\]

\[
a_{n+m} \mapsto b_nc_m
\]

of Example 134.7. Write symbolically

\[
S = R[b_1, \ldots, c_m]/\langle \{a_k(b_i, c_j) - a_k\}_{k=1,\ldots,n+m} \rangle
\]

where for example \( a_1(b_1, c_j) = b_1 + c_1 \). The matrix of partial derivatives is

\[
\begin{pmatrix}
1 & c_1 & \cdots & c_m & 0 & \cdots & 0 \\
0 & 1 & c_1 & \cdots & c_m & 0 & \cdots & 0 \\
\vdots & \vdots & \ddots & \vdots & \vdots & \vdots & \ddots & \vdots \\
0 & \cdots & 0 & 1 & c_1 & c_2 & \cdots & c_m \\
1 & b_1 & \cdots & b_{n-1} & b_n & 0 & \cdots & 0 \\
0 & 1 & b_1 & \cdots & b_{n-1} & b_n & 0 & \cdots & 0 \\
\vdots & \vdots & \ddots & \vdots & \vdots & \vdots & \ddots & \vdots & \vdots \\
0 & \cdots & 0 & 1 & b_1 & \cdots & b_n
\end{pmatrix}
\]

The determinant \( \Delta \) of this matrix is better known as the resultant of the polynomials \( g = x^n + b_1x^{n-1} + \ldots + b_n \) and \( h = x^m + c_1x^{m-1} + \ldots + c_m \), and the matrix above
is known as the \textit{Sylvester matrix} associated to \( g, h \). In a formula \( \Delta = \operatorname{Res}_x(g, h) \).

The Sylvester matrix is the transpose of the matrix of the linear map
\[
S(x)_{<m} \oplus S(x)_{<n} \rightarrow S(x)_{<n+m} \quad a \oplus b \mapsto ag + bh
\]

Let \( q \subset S \) be any prime. By the above the following are equivalent:

1. \( R \to S \) is étale at \( q \).
2. \( \Delta = \operatorname{Res}_x(g, h) \not\in q \).
3. the images \( g, h \in \kappa(q)[x] \) of the polynomials \( g, h \) are relatively prime in \( \kappa(q)[x] \).

The equivalence of (2) and (3) holds because the image of the Sylvester matrix in \( \operatorname{Mat}(n + m, \kappa(q)) \) has a kernel if and only if the polynomials \( g, h \) have a factor in common. We conclude that the ring map
\[
R \longrightarrow S\left[\frac{1}{\Delta}\right] = S\left[\frac{1}{\operatorname{Res}_x(g, h)}\right]
\]
is étale.

Lemma \ref{141.2} tells us that it does not really make sense to define a standard étale morphism to be a standard smooth morphism of relative dimension 0. As a model for an étale morphism we take the example given by a finite separable extension \( k \subset k' \) of fields. Namely, we can always find an element \( \alpha \in k' \) such that \( k' = k(\alpha) \) and such that the minimal polynomial \( f(x) \in k[x] \) of \( \alpha \) has derivative \( f' \) which is relatively prime to \( f \).

\textbf{Definition} \ref{141.13}. Let \( R \) be a ring. Let \( g, f \in R[x] \). Assume that \( f \) is monic and the derivative \( f' \) is invertible in the localization \( R[x]_g/(f) \). In this case the ring map \( R \to R[x]_g/(f) \) is said to be \textit{standard étale}.

\textbf{Lemma} \ref{141.14}. Let \( R \to R[x]_g/(f) \) be standard étale.

1. The ring map \( R \to R[x]_g/(f) \) is étale.
2. For any ring map \( R \to R' \) the base change \( R' \to R'[x]_g/(f) \) of the standard étale ring map \( R \to R[x]_g/(f) \) is standard étale.
3. Any principal localization of \( R[x]_g/(f) \) is standard étale over \( R \).
4. A composition of standard étale maps is not standard étale in general.

\textbf{Proof}. Omitted. Here is an example for (4). The ring map \( F_2 \to F_{2^2} \) is standard étale. The ring map \( F_{2^2} \to F_{2^2} \times F_{2^2} \times F_{2^2} \times F_{2^2} \) is standard étale. But the ring map \( F_2 \to F_{2^2} \times F_{2^2} \times F_{2^2} \times F_{2^2} \) is not standard étale. \( \square \)

Standard étale morphisms are a convenient way to produce étale maps. Here is an example.

\textbf{Lemma} \ref{141.15}. Let \( R \) be a ring. Let \( p \) be a prime of \( R \). Let \( \kappa(p) \subset L \) be a finite separable field extension. There exists an étale ring map \( R \to R' \) together with a prime \( p' \) lying over \( p \) such that the field extension \( \kappa(p) \subset \kappa(p') \) is isomorphic to \( \kappa(p) \subset L \).

\textbf{Proof}. By the theorem of the primitive element we may write \( L = \kappa(p)[\alpha] \). Let \( \overline{T} \in \kappa(p)[x] \) denote the minimal polynomial for \( \alpha \) (in particular this is monic). After replacing \( \alpha \) by \( c \alpha \) for some \( c \in R \), \( c \not\in p \) we may assume all the coefficients of \( \overline{T} \) are in the image of \( R \to \kappa(p) \) (verification omitted). Thus we can find a monic
polynomial $f \in R[x]$ which maps to $\mathcal{F}$ in $\kappa(p)[x]$. Since $\kappa(p) \subset L$ is separable, we see that $\gcd(\mathcal{F}, \mathcal{F}') = 1$. Hence there is an element $\gamma \in L$ such that $\mathcal{F}(\alpha)\gamma = 1$. Thus we get a $R$-algebra map

$$
R[x, 1/f]/(f) \rightarrow L \\
x \mapsto \alpha \\
1/f' \mapsto \gamma
$$

The left hand side is a standard étale algebra $R'$ over $R$ and the kernel of the ring map gives the desired prime. □

**Proposition 141.16.** Let $R \rightarrow S$ be a ring map. Let $q \subset S$ be a prime. If $R \rightarrow S$ is étale at $q$, then there exists a $g \in S$, $g \notin q$ such that $R \rightarrow S_g$ is standard étale.

**Proof.** The following proof is a little roundabout and there may be ways to shorten it.

Step 1. By Definition 141.1 there exists a $g \in S$, $g \notin q$ such that $R \rightarrow S_g$ is étale. Thus we may assume that $S$ is étale over $R$.

Step 2. By Lemma 141.3 there exists an étale ring map $R_0 \rightarrow S_0$ with $R_0$ of finite type over $\mathbb{Z}$, and a ring map $R_0 \rightarrow R$ such that $R = R \otimes_{R_0} S_0$. Denote $q_0$ the prime of $S_0$ corresponding to $q$. If we show the result for $(R_0 \rightarrow S_0, q_0)$ then the result follows for $(R \rightarrow S, q)$ by base change. Hence we may assume that $R$ is Noetherian.

Step 3. Note that $R \rightarrow S$ is quasi-finite by Lemma 141.6. By Lemma 122.14 there exists a finite ring map $R \rightarrow S'$, an $R$-algebra map $S' \rightarrow S$, an element $g' \in S'$ such that $g' \notin q$ such that $S' \rightarrow S$ induces an isomorphism $S'_{g'} \cong S_g$. (Note that of course $S'$ is not étale over $R$ in general.) Thus we may assume that (a) $R$ is Noetherian, (b) $R \rightarrow S$ is finite and (c) $R \rightarrow S$ is étale at $q$ (but no longer necessarily étale at all primes).

Step 4. Let $p \subset R$ be the prime corresponding to $q$. Consider the fibre ring $S \otimes_R \kappa(p)$. This is a finite algebra over $\kappa(p)$. Hence it is Artinian (see Lemma 52.2) and so a finite product of local rings

$$
S \otimes_R \kappa(p) = \prod_{i=1}^n A_i
$$

see Proposition 59.6. One of the factors, say $A_1$, is the local ring $S_q/pS_q$ which is isomorphic to $\kappa(q)$, see Lemma 141.5. The other factors correspond to the other primes, say $q_2, \ldots, q_n$, of $S$ lying over $p$.

Step 5. We may choose a nonzero element $\alpha \in \kappa(q)$ which generates the finite separable field extension $\kappa(p) \subset \kappa(q)$ (so even if the field extension is trivial we do not allow $\alpha = 0$). Note that for any $\lambda \in \kappa(p)^*$ the element $\lambda\alpha$ also generates $\kappa(q)$ over $\kappa(p)$. Consider the element

$$
\mathcal{F} = (\alpha, 0, \ldots, 0) \in \prod_{i=1}^n A_i = S \otimes_R \kappa(p).
$$

After possibly replacing $\alpha$ by $\lambda\alpha$ as above we may assume that $\mathcal{F}$ is the image of $t \in S$. Let $I \subset R[x]$ be the kernel of the $R$-algebra map $R[x] \rightarrow S$ which maps $x$ to
t. Set $S' = R[x]/I$, so $S' \subset S$. Here is a diagram

\[
\begin{array}{ccc}
R[x] & \rightarrow & S' \\
\downarrow & & \downarrow \\
R & \rightarrow & S
\end{array}
\]

By construction the primes $q_j$, $j \geq 2$ of $S$ all lie over the prime $(p, x)$ of $R[x]$, whereas the prime $q$ lies over a different prime of $R[x]$ because $\alpha \neq 0$.

Step 6. Denote $q' \subset S'$ the prime of $S'$ corresponding to $q$. By the above $q$ is the only prime of $S$ lying over $q'$. Thus we see that $S_q = S_{q'}$, see Lemma 40.11 (we have going up for $S' \rightarrow S$ by Lemma 35.22 since $S' \rightarrow S$ is finite as $R \rightarrow S$ is finite). It follows that $S_{q'} \rightarrow S_q$ is finite and injective as the localization of the finite injective ring map $S' \rightarrow S$. Consider the maps of local rings

\[
R_q \rightarrow S_{q'} \rightarrow S_q
\]

The second map is finite and injective. We have $S_q/pS_q = \kappa(q)$, see Lemma 141.5. Hence a fortiori $S_{q'}/q'S_q = \kappa(q)$. Since

\[
\kappa(p) \subset \kappa(q') \subset \kappa(q)
\]

and since $\alpha$ is in the image of $\kappa(q')$ in $\kappa(q)$ we conclude that $\kappa(q') = \kappa(q)$. Hence by Nakayama’s Lemma 19.1 applied to the $S_{q'}$-module map $S_{q'} \rightarrow S_q$, the map $S_{q'} \rightarrow S_q$ is surjective. In other words, $S_{q'} \cong S_q$.

Step 7. By Lemma 125.7 there exist $g \in S$, $g \not\in q$ and $q' \in S'$, $g' \not\in q'$ such that $S_{q'} \cong S_q$. As $R$ is Noetherian the ring $S'$ is finite over $R$ because it is an $R$-submodule of the finite $R$-module $S$. Hence after replacing $S$ by $S'$ we may assume that (a) $R$ is Noetherian, (b) $S$ finite over $R$, (c) $S$ is étale over $R$ at $q$, and (d) $S = R[x]/I$.

Step 8. Consider the ring $S \otimes_R \kappa(p) = \kappa(p)[x]/\overline{I}$ where $\overline{I} = I \cdot \kappa(p)[x]$ is the ideal generated by $I$ in $\kappa(p)[x]$. As $\kappa(p)[x]$ is a PID we know that $\overline{I} = (\overline{h})$ for some monic $\overline{h} \in \kappa(p)[x]$. After replacing $R$ by $\lambda \cdot \overline{h}$ for some $\lambda \in \kappa(p)$ we may assume that $\overline{h}$ is the image of some $h \in I \subset R[x]$. (The problem is that we do not know if we may choose $h$ monic.) Also, as in Step 4 we know that $S \otimes_R \kappa(p) = A_1 \times \cdots \times A_n$ with $A_1 = \kappa(q)$ a finite separable extension of $\kappa(p)$ and $A_2, \ldots, A_n$ local. This implies that

\[
\overline{h} = \overline{h}_1^{e_1} \overline{h}_2^{e_2} \cdots \overline{h}_n^{e_n}
\]

for certain pairwise coprime irreducible monic polynomials $\overline{h}_i \in \kappa(p)[x]$ and certain $e_2, \ldots, e_n \geq 1$. Here the numbering is chosen so that $A_i = \kappa(p)[x]/(\overline{h}_i^{e_i})$ as $\kappa(p)[x]$-algebras. Note that $\overline{h}_i$ is the minimal polynomial of $\alpha \in \kappa(q)$ and hence is a separable polynomial (its derivative is prime to itself).

Step 9. Let $m \in I$ be a monic element; such an element exists because the ring extension $R \rightarrow R[x]/I$ is finite hence integral. Denote $\overline{m}$ the image in $\kappa(p)[x]$. We may factor

\[
\overline{m} = \overline{h}_1^{d_1} \overline{h}_2^{d_2} \cdots \overline{h}_n^{d_n}
\]

for some $d_1 \geq 1$, $d_j \geq e_j$, $j = 2, \ldots, n$ and $\overline{h} \in \kappa(p)[x]$ prime to all the $\overline{h}_i$. Set $f = m^l + h$ where $l \deg(m) > \deg(h)$, and $l \geq 2$. Then $f$ is monic as a polynomial
Let $\phi : \kappa(\mathfrak{p})[x] \to \kappa(\mathfrak{p})[x]$ be a prime lying over ideal with $\alpha$ locally free and faithfully flat ring map $f$. Proof. Let $x = f'$ (the derivative with respect to $x$).

Step 10. The ring map $R[x] \to S = R[x]/I$ has the properties: (1) it maps $f$ to zero, and (2) it maps $g$ to an element of $S \setminus \mathfrak{q}$. The first assertion is clear since $f$ is an element of $I$. For the second assertion we just have to show that $g$ does not map to zero in $\kappa(\mathfrak{q}) = \kappa(\mathfrak{p})[x]/(\overline{h}_1)$. The image of $g$ in $\kappa(\mathfrak{p})[x]$ is the derivative of $\overline{f}$. Thus (2) is clear because

$$g = \frac{d\overline{f}}{dx} \equiv \overline{h}_1 \frac{dw}{dx} + \overline{w}$$

$\overline{w}$ is prime to $\overline{h}_1$ and $\overline{h}_1$ is separable.

Step 11. We conclude that $\varphi : R[x]/(f) \to S$ is a surjective ring map, $R[x]/(f)$ is étale over $R$ (because it is standard étale, see Lemma 141.14) and $\varphi(\mathfrak{q}) \notin \mathfrak{q}$. Pick an element $g' \in R[x]/(f)$ such that also $\varphi(g') \notin \mathfrak{q}$ and $S_{\varphi(g')}$ is étale over $R$ (which exists since $S$ is étale over $R$ at $\mathfrak{q}$). Then the ring map $R[x]/(f) \to S_{\varphi(g')}$ is a surjective map of étale algebras over $R$. Hence it is étale by Lemma 141.9. Hence it is a localization by Lemma 141.9. Thus a localization of $S$ at an element not in $\mathfrak{q}$ is isomorphic to a localization of a standard étale algebra over $R$ which is what we wanted to show. \qed

The following two lemmas say that the étale topology is coarser than the topology generated by Zariski coverings and finite flat morphisms. They should be skipped on a first reading.

**Lemma 141.17.** Let $R \to S$ be a standard étale morphism. There exists a ring map $R \to S'$ with the following properties

1. $R \to S'$ is finite, finitely presented, and flat (in other words $S'$ is finite projective as an $R$-module),
2. $\text{Spec}(S') \to \text{Spec}(R)$ is surjective,
3. for every prime $\mathfrak{q} \subset S$, lying over $\mathfrak{p} \subset R$ and every prime $\mathfrak{q}' \subset S'$ lying over $\mathfrak{p}$ there exists a $g' \in S'$, $g' \notin \mathfrak{q}'$ such that the ring map $R \to S'$, factors through a map $\varphi : S \to S' \to S'$ with $\varphi^{-1}(\mathfrak{q}' S') = \mathfrak{q}$.

**Proof.** Let $S = R[x]/(f)$ be a presentation of $S$ as in Definition 141.13. Write $f = x^n + a_1x^{n-1} + \ldots + a_n$ with $a_i \in R$. By Lemma 134.9 there exists a finite locally free and faithfully flat ring map $R \to S'$ such that $f = \prod(x - \alpha_i)$ for certain $\alpha_i \in S'$. Hence $R \to S'$ satisfies conditions (1), (2). Let $\mathfrak{q} \subset R[x]/(f)$ be a prime ideal with $g \notin \mathfrak{q}$ (i.e., it corresponds to a prime of $S$). Let $\mathfrak{p} = R \cap \mathfrak{q}$ and let $\mathfrak{q}' \subset S'$ be a prime lying over $\mathfrak{p}$. Note that there are $n$ maps of $R$-algebras

$$\varphi_i : R[x]/(f) \to S'$$

To finish the proof we have to show that for some $i$ we have (a) the image of $\varphi_i(\mathfrak{q})$ in $\kappa(\mathfrak{q}')$ is not zero, and (b) $\varphi_i^{-1}(\mathfrak{q}') = \mathfrak{q}$. Because then we can just take $g' = \varphi_i(g)$, and $\varphi = \varphi_i$ for that $i$. 

\[COMMUTATIVE ALGEBRA 370\]
Let \( \overline{f} \) denote the image of \( f \) in \( \kappa(p)[x] \). Note that as a point of \( \text{Spec}(\kappa(p)[x]/(\overline{f})) \) the prime \( q \) corresponds to an irreducible factor \( f_1 \) of \( \overline{f} \). Moreover, \( \overline{g} \notin q \) means that \( f_1 \) does not divide the image \( \overline{g} \) of \( g \) in \( \kappa(p)[x] \). Denote \( \pi_1, \ldots, \pi_n \) the images of \( \alpha_1, \ldots, \alpha_n \) in \( \kappa(q') \). Note that the polynomial \( \overline{f} \) splits completely in \( \kappa(q')[x] \), namely

\[
\overline{f} = \prod_i (x - \overline{\pi}_i)
\]

Moreover \( \varphi_i(g) \) reduces to \( \overline{g}(\overline{\alpha}_i) \). It follows we may pick \( i \) such that \( f_1(\overline{\alpha}_i) = 0 \) and \( \overline{g}(\overline{\pi}_i) \neq 0 \). For this \( i \) properties (a) and (b) hold. Some details omitted.

**Lemma 141.18.** Let \( R \to S \) be a ring map. Assume that

1. \( R \to S \) is étale, and
2. \( \text{Spec}(S) \to \text{Spec}(R) \) is surjective.

Then there exists a ring map \( R \to S' \) such that

1. \( R \to S' \) is finite, finitely presented, and flat (in other words it is finite projective as an \( R \)-module),
2. \( \text{Spec}(S') \to \text{Spec}(R) \) is surjective,
3. for every prime \( q' \subseteq S' \) there exists a \( g' \in S' \), \( g' \notin q' \) such that the ring map \( R \to S' \) factors as \( R \to S \to S' \).

**Proof.** By Proposition 141.16 and the quasi-compactness of \( \text{Spec}(S) \) (see Lemma 16.10) we can find \( g_1, \ldots, g_n \in S \) generating the unit ideal of \( S \) such that each \( R \to S_{g_i} \) is standard étale. If we prove the lemma for the ring map \( R \to \prod_{i=1, \ldots, n} S_{g_i} \), then the lemma follows for the ring map \( R \to S \). Hence we may assume that \( S = \prod_{i=1, \ldots, n} S_i \) is a finite product of standard étale morphisms.

For each \( i \) choose a ring map \( R \to S_i \) as in Lemma 141.17 adapted to the standard étale morphism \( R \to S_i \). Set \( S' = S'_1 \otimes_R \ldots \otimes_R S'_n \); we will use the \( R \)-algebra maps \( S'_i \to S' \) without further mention below. We claim this works. Properties (1) and (2) are immediate. For property (3) suppose that \( q' \subseteq S' \) is a prime. Denote \( p \) its image in \( \text{Spec}(R) \). Choose \( i \in \{1, \ldots, n\} \) such that \( p \) is in the image of \( \text{Spec}(S_i) \to \text{Spec}(R) \); this is possible by assumption. Set \( q'_i \subseteq S'_i \) the image of \( q' \) in the spectrum of \( S'_i \). By construction of \( S'_i \) there exists a \( g'_i \in S'_i \) such that \( R \to (S'_i)_{g'_i} \) factors as \( R \to S_i \to (S'_i)_{g'_i} \). Hence also \( R \to S'_i \) factors as

\[
R \to S_i \to (S'_i)_{g'_i} \to S'_{g'_i},
\]

as desired.

**Lemma 141.19.** Let \( R \) be a ring. Let \( f \in R[x] \) be a monic polynomial. Let \( p \) be a prime of \( R \). Let \( f \mod p = \overline{g}h \) be a factorization of the image of \( f \) in \( \kappa(p)[x] \). If \( \text{gcd}(\overline{g}, \overline{h}) = 1 \), then there exist

1. an étale ring map \( R \to R' \),
2. a prime \( p' \subseteq R' \) lying over \( p \), and
3. a factorization \( f = gh \) in \( R'[x] \)

such that

1. \( \kappa(p) = \kappa(p') \),
2. \( \overline{g} = g \mod p', \overline{h} = h \mod p' \), and
3. the polynomials \( g, h \) generate the unit ideal in \( R'[x] \).
Proof. Suppose \( \overline{g} = \overline{b}_0 x^n + \overline{b}_1 x^{n-1} + \ldots + \overline{b}_n \), and \( \overline{h} = \overline{c}_0 x^m + \overline{c}_1 x^{m-1} + \ldots + \overline{c}_m \) with \( \overline{b}_0, \overline{c}_0 \in \mathfrak{p}(p) \) nonzero. After localizing \( R \) at some element of \( R \) not contained in \( \mathfrak{p} \) we may assume \( \overline{b}_0 \) is the image of an invertible element \( b_0 \in R \). Replacing \( \overline{g} \) by \( \overline{g}/b_0 \) and \( \overline{h} \) by \( b_0 \overline{h} \) we reduce to the case where \( \overline{g}, \overline{h} \) are monic \( (\text{verification omitted}) \). Say \( \overline{g} = g^n + g_{n-1} x^{n-1} + \ldots + g_0 \), and \( \overline{h} = h^m + h_{m-1} x^{m-1} + \ldots + h_0 \). Write \( f = x^n + a_1 x^{n-1} + \ldots + a_{n+m} \). Consider the fibre product

\[
R' = R \otimes_{Z[\alpha_1, \ldots, \alpha_{n+m}]} Z[b_1, \ldots, b_n, c_1, \ldots, c_m]
\]

where the map \( Z[\alpha_k] \to Z[b_i, c_j] \) is as in Examples 134.7 and 141.12. By construction there is an \( R \)-algebra map

\[
R' = R \otimes_{Z[\alpha_1, \ldots, \alpha_{n+m}]} Z[b_1, \ldots, b_n, c_1, \ldots, c_m] \to \kappa(\mathfrak{p})
\]

which maps \( b_i \) to \( \overline{b}_i \) and \( c_j \) to \( \overline{c}_j \). Denote \( \mathfrak{p}' \subset R' \) the kernel of this map. Since by assumption the polynomials \( \overline{g}, \overline{h} \) are relatively prime we see that the element \( \Delta = \text{Res}_{\overline{g}, \overline{h}} \in Z[b_i, c_j] \) (see Example 141.12) does not map to zero in \( \kappa(\mathfrak{p}) \) under the displayed map. We conclude that \( R \to R' \) is étale at \( \mathfrak{p}' \). In fact a solution to the problem posed in the lemma is the ring map \( R \to R'[1/\Delta] \) and the prime \( \mathfrak{p}' R'[1/\Delta] \).

Because \( \text{Res}_{\overline{g}, \overline{h}} \) is invertible in this ring the Sylvester matrix is invertible over \( R'[1/\Delta] \) and hence \( 1 = a g + b h \) for some \( a, b \in R'[1/\Delta][x] \) see Example 141.12 \( \square \)

The following lemmas say roughly that after an étale extension a quasi-finite ring map becomes finite. To help interpret the results recall that the locus where a finite type ring map is quasi-finite is open (see Lemma 122.13) and that formation of this locus commutes with arbitrary base change (see Lemma 121.8).

**Lemma 141.20.** Let \( R \to S' \to S \) be ring maps. Let \( \mathfrak{p} \subset R \) be a prime. Let \( g \in S' \) be an element. Assume

1. \( R \to S' \) is integral,
2. \( R \to S \) is finite type,
3. \( S'_g \cong S_g \), and
4. \( g \) invertible in \( S' \otimes_R \kappa(\mathfrak{p}) \).

Then there exists a \( f \in R, f \not\in \mathfrak{p} \) such that \( R_f \to S_f \) is finite.

**Proof.** By assumption the image \( T \) of \( V(g) \subset \text{Spec}(S') \) under the morphism \( \text{Spec}(S') \to \text{Spec}(R) \) does not contain \( \mathfrak{p} \). By Section 40 especially, Lemma 40.6 we see \( T \) is closed. Pick \( f \in R, f \not\in \mathfrak{p} \) such that \( T \cap D(f) = \emptyset \). Then we see that \( g \) becomes invertible in \( S'_f \). Hence \( S'_f \cong S_f \). Thus \( S_f \) is both of finite type and integral over \( R_f \), hence finite. \( \square \)

**Lemma 141.21.** Let \( R \to S \) be a ring map. Let \( \mathfrak{q} \subset S \) be a prime lying over the prime \( \mathfrak{p} \subset R \). Assume \( R \to S \) finite type and quasi-finite at \( \mathfrak{q} \). Then there exists

1. an étale ring map \( R \to R' \),
2. a prime \( \mathfrak{p}' \subset R' \) lying over \( \mathfrak{p} \),
3. a product decomposition

\[
R' \otimes_R S = A \times B
\]

with the following properties

1. \( \kappa(\mathfrak{p}) = \kappa(\mathfrak{p}') \),
2. \( R' \to A \) is finite,
3. \( A \) has exactly one prime \( \mathfrak{r} \) lying over \( \mathfrak{p}' \), and
(4) \( q \) lies over \( q \).

**Proof.** Let \( S' \subset S \) be the integral closure of \( R \) in \( S \). Let \( q' = S' \cap q \). By Zariski’s Main Theorem [122.12] there exists a \( g \in S' \), \( g \notin q' \) such that \( S'_g \cong S_g \). Consider the fibre rings \( F = S \otimes_R \kappa(p) \) and \( F' = S' \otimes_R \kappa(p) \). Denote \( \overline{q}' \) the prime of \( F' \) corresponding to \( q' \). Since \( F' \) is integral over \( \kappa(p) \) we see that \( \overline{q}' \) is a closed point of \( \text{Spec}(F') \), see Lemma [141.19]. Note that \( q \) defines an isolated closed point \( \overline{q} \) of \( \text{Spec}(F) \) (see Definition [121.3]). Since \( S'_g \cong S_g \) we have \( F'_g \cong F_g \), so \( \overline{q} \) and \( \overline{q}' \) have isomorphic open neighbourhoods in \( \text{Spec}(F) \) and \( \text{Spec}(F') \). We conclude the set \( \{ \overline{q}' \} \subset \text{Spec}(F') \) is open. Combined with \( q' \) being closed (shown above) we conclude that \( \overline{q}' \) defines an isolated closed point of \( \text{Spec}(F') \) as well.

An additional small remark is that under the map \( \text{Spec}(F) \to \text{Spec}(F') \) the point \( \overline{q} \) is the only point mapping to \( \overline{q}' \). This follows from the discussion above.

By Lemma [23.3] we may write \( F' = F'_1 \times F'_2 \) with \( \text{Spec}(F'_1) = \{ \overline{q}' \} \). Since \( F' = S' \otimes_R \kappa(p) \), there exists an \( s' \in S' \) which maps to the element \( (r, 0) \in F'_1 \times F'_2 = F' \) for some \( r \in R \), \( r \notin p \). In fact, what we will use about \( s' \) is that it is an element of \( S' \), not contained in \( q' \), and contained in any other prime lying over \( p \).

Let \( f(x) \in R[x] \) be a monic polynomial such that \( f(s') = 0 \). Denote \( \overline{f} \in \kappa(p)[x] \) the image. We can factor it as \( \overline{f} = x^e \overline{h} \) where \( \overline{h}(0) \neq 0 \). By Lemma [141.19] we can find an étale ring extension \( R \to R' \), a prime \( p' \) lying over \( p \), and a factorization \( f = hi \) in \( R'[x] \) such that \( \kappa(p) = \kappa(p') \), \( \overline{h} = h \mod p' \), \( x^e = i \mod p' \), and we can write \( ah + bi = 1 \) in \( R'[x] \) (for suitable \( a, b \)).

Consider the elements \( \overline{h}(s'), i(s') \in R' \otimes_R S' \). By construction we have \( h(s')i(s') = f(s') = 0 \). On the other hand they generate the unit ideal since \( a(s')h(s') + b(s')i(s') = 1 \). Thus we see that \( R' \otimes_R S' \) is the product of the localizations at these elements:

\[
R' \otimes_R S' = (R' \otimes_R S')_{h(s')} \times (R' \otimes_R S')_{i(s')} = S'_1 \times S'_2
\]

Moreover this product decomposition is compatible with the product decomposition we found for the fibre ring \( F' \); this comes from our choice of \( s', h \) which guarantee that \( \overline{q}' \) is the only prime of \( F' \) which does not contain the image of \( h(s') \) in \( F' \).

Here we use that the fibre ring of \( R' \otimes_R S' \) over \( R' \) at \( p' \) is the same as \( F' \) due to the fact that \( \kappa(p) = \kappa(p') \). It follows that \( S'_1 \) has exactly one prime, say \( r' \), lying over \( p' \) and that this prime lies over \( q \). Hence the element \( g \in S' \) maps to an element of \( S'_1 \) not contained in \( r' \).

The base change \( R' \otimes_R S \) inherits a similar product decomposition

\[
R' \otimes_R S = (R' \otimes_R S)_{h(s')} \times (R' \otimes_R S)_{i(s')} = S_1 \times S_2
\]

It follows from the above that \( S_1 \) has exactly one prime, say \( r' \), lying over \( p' \) (consider the fibre ring as above), and that this prime lies over \( q \).

Now we may apply Lemma [141.20] to the ring maps \( R' \to S'_1 \to S_1 \), the prime \( p' \) and the element \( g \) to see that after replacing \( R' \) by a principal localization we can assume that \( S_1 \) is finite over \( R' \) as desired. \( \square \)

**Lemma 141.22.** Let \( R \to S \) be a ring map. Let \( p \subset R \) be a prime. Assume \( R \to S \) finite type. Then there exists

1. an étale ring map \( R \to R' \),
2. a prime \( p' \subset R' \) lying over \( p \),

\( \square \)
(3) a product decomposition
\[ R' \otimes_R S = A_1 \times \ldots \times A_n \times B \]
with the following properties
1. we have \( \kappa(p) = \kappa(p') \),
2. each \( A_i \) is finite over \( R' \),
3. each \( A_i \) has exactly one prime \( \tau_i \) lying over \( p' \), and
4. \( R' \to B \) not quasi-finite at any prime lying over \( p' \).

**Proof.** Denote \( F = S \otimes_R \kappa(p) \) the fibre ring of \( S/R \) at the prime \( p \). As \( F \) is of finite type over \( \kappa(p) \) it is Noetherian and hence \( \text{Spec}(F) \) has finitely many isolated closed points. If there are no isolated closed points, i.e., no primes \( q \) of \( S \) over \( p \) such that \( S/R \) is quasi-finite at \( q \), then the lemma holds. If there exists at least one such prime \( q \), then we may apply Lemma 141.22. This gives a diagram
\[
\begin{array}{c}
S \to R' \otimes_R S \to A_1 \times B' \\
\downarrow \quad \quad \quad \quad \quad \quad \downarrow \\
R' \to R'
\end{array}
\]
as in said lemma. Since the residue fields at \( p \) and \( p' \) are the same, the fibre rings of \( S/R \) and \( (A_1 \times B')/R' \) are the same. Hence, by induction on the number of isolated closed points of the fibre we may assume that the lemma holds for \( R' \to B' \) and \( p' \). Thus we get an étale ring map \( R' \to R'' \), a prime \( p'' \subset R'' \) and a decomposition
\[ R'' \otimes_{R'} B' = A_2 \times \ldots \times A_n \times B \]
We omit the verification that the ring map \( R \to R'' \), the prime \( p'' \) and the resulting decomposition
\[ R'' \otimes_R S = (R'' \otimes_{R'} A_1) \times A_2 \times \ldots \times A_n \times B \]
is a solution to the problem posed in the lemma. \( \square \)

**Lemma 141.23.** Let \( R \to S \) be a ring map. Let \( p \subset R \) be a prime. Assume \( R \to S \) finite type. Then there exists
1. an étale ring map \( R \to R' \),
2. a prime \( p' \subset R' \) lying over \( p \),
3. a product decomposition
\[ R' \otimes_R S = A_1 \times \ldots \times A_n \times B \]
with the following properties
1. each \( A_i \) is finite over \( R' \),
2. each \( A_i \) has exactly one prime \( \tau_i \) lying over \( p' \),
3. the finite field extensions \( \kappa(p') \subset \kappa(\tau_i) \) are purely inseparable, and
4. \( R' \to B \) not quasi-finite at any prime lying over \( p' \).

**Proof.** The strategy of the proof is to make two étale ring extensions: first we control the residue fields, then we apply Lemma [141.22]. Denote \( F = S \otimes_R \kappa(p) \) the fibre ring of \( S/R \) at the prime \( p \). As in the proof of Lemma [141.22] there are finitely many primes, say \( q_1, \ldots, q_n \) of \( S \) lying over \( R \) at which the ring map \( R \to S \) is quasi-finite. Let \( \kappa(p) \subset L_i \subset \kappa(q_i) \) be the subfield such that \( \kappa(p) \subset L_i \) is separable, and the field extension \( L_i \subset \kappa(q_i) \) is purely
inseparable. Let \( \kappa(p) \subset L \) be a finite Galois extension into which \( L_i \) embeds for \( i = 1, \ldots, n \). By Lemma 143.1 we can find an étale ring extension \( R \to R' \) together with a prime \( p' \) lying over \( p \) such that the field extension \( \kappa(p) \subset \kappa(p') \) is isomorphic to \( \kappa(p) \subset L \). Thus the fibre ring of \( R' \otimes_R S \) at \( p' \) is isomorphic to \( F \otimes_{\kappa(p)} L \). The primes lying over \( q_i \) correspond to primes of \( \kappa(q_i) \otimes_{\kappa(p)} L \) which is a product of fields purely inseparable over \( L \) by our choice of \( L \) and elementary field theory. These are also the only primes over \( p' \) at which \( R' \to R' \otimes_R S \) is quasi-finite, by Lemma 121.8. Hence after replacing \( R \) by \( R' \), \( p \) by \( p' \), and \( S \) by \( R' \otimes_R S \) we may assume that for all primes \( q \) lying over \( p \) for which \( S/R \) is quasi-finite the field extensions \( \kappa(p) \subset \kappa(q) \) are purely inseparable.

Next apply Lemma 141.22. The result is what we want since the field extensions do not change under this étale ring extension. \( \Box \)

142. Local homomorphisms

**Lemma 142.1.** Let \((R, m_R) \to (S, m_S)\) be a local homomorphism of local rings. Assume \( S \) is the localization of an étale ring extension of \( R \). Then there exists a finite, finitely presented, faithfully flat ring map \( R \to S' \) such that for every maximal ideal \( m' \) of \( S' \) there is a factorization

\[
R \to S \to S'_{m'}. 
\]

of the ring map \( R \to S'_{m'} \).

**Proof.** Write \( S = T_k \) for some étale \( R \)-algebra \( T \). By Proposition 141.16 we may assume \( T \) is standard étale. Apply Lemma 141.17 to the ring map \( R \to T \) to get \( R \to S' \). Then in particular for every maximal ideal \( m' \) of \( S' \) we get a factorization \( \varphi : T \to S'_{g'} \), for some \( g' \not\in m' \) such that \( q = \varphi^{-1}(m'S'_{g'}) \). Thus \( \varphi \) induces the desired local ring map \( S \to S'_{m'} \). \( \Box \)

143. Integral closure and smooth base change

**Lemma 143.1.** Let \( R \) be a ring. Let \( f \in R[x] \) be a monic polynomial. Let \( R \to B \) be a ring map. If \( h \in B[x]/(f) \) is integral over \( R \), then the element \( f'h \) can be written as \( f'h = \sum b_i x^i \) with \( b_i \in B \) integral over \( R \).

**Proof.** Say \( h^e + r_1 h^{e-1} + \ldots + r_e = 0 \) in the ring \( B[x]/(f) \) with \( r_i \in R \). There exists a finite free ring extension \( B \subset B' \) such that \( f = (x - \alpha_1) \ldots (x - \alpha_d) \) for some \( \alpha_i \in B' \), see Lemma 134.9. Note that each \( \alpha_i \) is integral over \( R \). We may represent \( h = h_0 + h_1 x + \ldots + h_{d-1} x^{d-1} \) with \( h_i \in B \). Then it is a universal fact that

\[
f'h \equiv \sum_{i=1}^{d} h(\alpha_i)(x - \alpha_1) \ldots (x - \alpha_i) \ldots (x - \alpha_d)
\]

as elements of \( B[x]/(f) \). You prove this by evaluating both sides at the points \( \alpha_i \) over the ring \( B_{\text{univ}} = \mathbb{Z}[\alpha_i, h_j] \) (some details omitted). By our assumption that \( h \) satisfies \( h^e + r_1 h^{e-1} + \ldots + r_e = 0 \) in the ring \( B[x]/(f) \) we see that

\[
h(\alpha_i)^e + r_1 h(\alpha_i)^{e-1} + \ldots + r_e = 0
\]

in \( B' \). Hence \( h(\alpha_i) \) is integral over \( R \). Using the formula above we see that \( f'h \equiv \sum_{j=0}^{d-1} b_j x^j \) in \( B'[x]/(f) \) with \( b_j \in B' \) integral over \( R \). However, since \( f'h \in \]
$B[x]/(f)$ and since $1, x, \ldots, x^{d-1}$ is a $B'$-basis for $B'[x]/(f)$ we see that $b'_j \in B$ as desired. □

**Lemma 143.2.** Let $R \to S$ be an étale ring map. Let $R \to B$ be any ring map. Let $A \subset B$ be the integral closure of $R$ in $B$. Let $A' \subset S \otimes_R B$ be the integral closure of $S$ in $S \otimes_R B$. Then the canonical map $S \otimes_R A \to A'$ is an isomorphism.

**Proof.** The map $S \otimes_R A \to A'$ is injective because $A \subset B$ and $R \to S$ is flat. We are going to use repeatedly that taking integral closure commutes with localization, see Lemma 35.11. Hence we may localize on $S$, by Lemma 22.2 (the criterion for checking whether an $S$-module map is an isomorphism). Thus we may assume that $S = R[x]/(f) = (R[x]/(f))_p$ is standard étale over $R$, see Proposition 141.16. Applying localization one more time we see that $A'$ is $(A'')_p$ where $A''$ is the integral closure of $R[x]/(f)$ in $B[x]/(f)$. Suppose that $a \in A''$. It suffices to show that $a$ is in $S \otimes_R A$. By Lemma 143.1 we see that $f'a = \sum a_i x^i$ with $a_i \in A$. Since $f'$ is invertible in $B[x]/(f)$ (by definition of a standard étale ring map) we conclude that $a \in S \otimes_R A$ as desired. □

**Example 143.3.** Let $p$ be a prime number. The ring extension

$$R = \mathbb{Z}[1/p] \subset R' = \mathbb{Z}[1/p][x]/(x^{p-1} + \ldots + x + 1)$$

has the following property: For $d < p$ there exist elements $\alpha_0, \ldots, \alpha_{d-1} \in R'$ such that

$$\prod_{0 \leq i < j < d} (\alpha_i - \alpha_j)$$

is a unit in $R'$. Namely, take $\alpha_i$ equal to the class of $x^i$ in $R'$ for $i = 0, \ldots, p - 1$. Then we have

$$T^p - 1 = \prod_{i=0}^{p-1} (T - \alpha_i)$$

in $R'[T]$. Namely, the ring $\mathbb{Q}[x]/(x^{p-1} + \ldots + x + 1)$ is a field because the cyclotomic polynomial $x^{p-1} + \ldots + x + 1$ is irreducible over $\mathbb{Q}$ and the $\alpha_i$ are pairwise distinct roots of $T^p - 1$, whence the equality. Taking derivatives on both sides and substituting $T = \alpha_i$ we obtain

$$pe_i^{p-1} = (\alpha_i - \alpha_1) \cdots (\alpha_i - \alpha_i) \cdots (\alpha_i - \alpha_1)$$

and we see this is invertible in $R'$.

**Lemma 143.4.** Let $R \to S$ be a smooth ring map. Let $R \to B$ be any ring map. Let $A \subset B$ be the integral closure of $R$ in $B$. Let $A' \subset S \otimes_R B$ be the integral closure of $S$ in $S \otimes_R B$. Then the canonical map $S \otimes_R A \to A'$ is an isomorphism.

**Proof.** Arguing as in the proof of Lemma 143.2 we may localize on $S$. Hence we may assume that $R \to S$ is a standard smooth ring map, see Lemma 135.10. By definition of a standard smooth ring map we see that $S$ is étale over a polynomial ring $R[x_1, \ldots, x_n]$. Since we have seen the result in the case of an étale ring extension (Lemma 143.2) this reduces us to the case where $S = R[x]$. Thus we have to show

$$f = \sum b_i x^i$$

integral over $R[x] \iff$ each $b_i$ integral over $R$.

The implication from right to left holds because the set of elements in $B[x]$ integral over $R[x]$ is a ring (Lemma 35.7) and contains $x$.

Suppose that $f \in B[x]$ is integral over $R[x]$, and assume that $f = \sum_{i<d} b_i x^i$ has degree $< d$. Since integral closure and localization commute, it suffices to show
there exist distinct primes \( p, q \) such that each \( b_i \) is integral both over \( R[1/p] \) and over \( R[1/q] \). Hence, we can find a finite free ring extension \( R \subset R' \) such that \( R' \) contains \( \alpha_1, \ldots, \alpha_d \) with the property that \( \prod_{i<j}(\alpha_i - \alpha_j) \) is a unit in \( R' \), see Example \ref{example}. In this case we have the universal equality

\[
f = \sum_i f(\alpha_i) \frac{(x - \alpha_i) \cdots (x - \alpha_i)}{(\alpha_i - \alpha_i) \cdots (\alpha_i - \alpha_i)}.
\]

OK, and the elements \( f(\alpha_i) \) are integral over \( R' \) since \( (R' \otimes_R B)[x] \to R' \otimes_R B \), \( h \mapsto h(\alpha_i) \) is a ring map. Hence we see that the coefficients of \( f \) in \( (R' \otimes_R B)[x] \) are integral over \( R' \). Since \( R' \) is finite over \( R \) (hence integral over \( R \)) we see that they are integral over \( R \) also, as desired. \( \square \)

**Lemma 143.5.** Let \( R \to S \) and \( R \to B \) be ring maps. Let \( A \subset B \) be the integral closure of \( R \) in \( B \). Let \( A' \subset S \otimes_R B \) be the integral closure of \( S \) in \( S \otimes_R B \). If \( S \) is a filtered colimit of smooth \( R \)-algebras, then the canonical map \( S \otimes_R A \to A' \) is an isomorphism.

**Proof.** This follows from the straightforward fact that taking tensor products and taking integral closures commutes with filtered colimits and Lemma \ref{lemma}. \( \square \)

### 144. Formally unramified maps

**Definition 144.1.** Let \( R \to S \) be a ring map. We say \( S \) is formally unramified over \( R \) if for every commutative solid diagram

\[
\begin{array}{ccc}
S & \longrightarrow & A/I \\
\downarrow & & \downarrow \\
R & \longrightarrow & A
\end{array}
\]

where \( I \subset A \) is an ideal of square zero, there exists at most one dotted arrow making the diagram commute.

**Lemma 144.2.** Let \( R \to S \) be a ring map. The following are equivalent:

1. \( R \to S \) is formally unramified,
2. the module of differentials \( \Omega_{S/R} \) is zero.

**Proof.** Let \( J = \text{Ker}(S \otimes_R S \to S) \) be the kernel of the multiplication map. Let \( A_{\text{univ}} = S \otimes_R S/J^2 \). Recall that \( I_{\text{univ}} = J/J^2 \) is isomorphic to \( \Omega_{S/R} \), see Lemma \ref{lemma}. Moreover, the two \( R \)-algebra maps \( \sigma_1, \sigma_2 : S \to A_{\text{univ}}, \sigma_1(s) = s \otimes 1 \mod J^2 \) and \( \sigma_2(s) = 1 \otimes s \mod J^2 \) differ by the universal derivation \( d : S \to \Omega_{S/R} = I_{\text{univ}} \).

Assume \( R \to S \) formally unramified. Then we see that \( \sigma_1 = \sigma_2 \). Hence \( d(s) = 0 \) for all \( s \in S \). Hence \( \Omega_{S/R} = 0 \).

Assume that \( \Omega_{S/R} = 0 \). Let \( A, I, R \to A, S \to A/I \) be a solid diagram as in Definition \ref{definition}. Let \( \tau_1, \tau_2 : S \to A \) be two dotted arrows making the diagram commute. Consider the \( R \)-algebra map \( A_{\text{univ}} \to A \) defined by the rule \( s_1 \otimes s_2 \mapsto \tau_1(s_1)\tau_2(s_2) \). We omit the verification that this is well defined. Since \( A_{\text{univ}} \cong S \) as \( I_{\text{univ}} = \Omega_{S/R} = 0 \) we conclude that \( \tau_1 = \tau_2 \). \( \square \)
Lemma 144.3. Let $R \to S$ be a ring map. The following are equivalent:

1. $R \to S$ is formally unramified,
2. $R \to S_q$ is formally unramified for all primes $q$ of $S$, and
3. $R_p \to S_q$ is formally unramified for all primes $q$ of $S$ with $p = R \cap q$.

Proof. We have seen in Lemma 144.2 that (1) is equivalent to $\Omega_{S/R} = 0$. Similarly, by Lemma 130.8 we see that (2) and (3) are equivalent to $(\Omega_{S/R})_q = 0$ for all $q$. Hence the equivalence follows from Lemma 22.1. □

Lemma 144.4. Let $A \to B$ be a formally unramified ring map.

1. For $S \subset A$ a multiplicative subset, $S^{-1}A \to S^{-1}B$ is formally unramified.
2. For $S \subset B$ a multiplicative subset, $A \to S^{-1}B$ is formally unramified.

Proof. Follows from Lemma 144.3. (You can also deduce it from Lemma 144.2 combined with Lemma 130.8.) □

Lemma 144.5. Let $R$ be a ring. Let $I$ be a directed set. Let $(S_i, \varphi_{ii})$ be a system of $R$-algebras over $I$. If each $R \to S_i$ is formally unramified, then $S = \text{colim}_{i \in I} S_i$ is formally unramified over $R$.

Proof. Consider a diagram as in Definition 144.1. By assumption there exists at most one $R$-algebra map $S_i \to A$ lifting the compositions $S_i \to S \to A/I$. Since every element of $S$ is in the image of one of the maps $S_i \to S$ we see that there is at most one map $S \to A$ fitting into the diagram. □

145. Conormal modules and universal thickenings

It turns out that one can define the first infinitesimal neighbourhood not just for a closed immersion of schemes, but already for any formally unramified morphism. This is based on the following algebraic fact.

Lemma 145.1. Let $R \to S$ be a formally unramified ring map. There exists a surjection of $R$-algebras $S' \to S$ whose kernel is an ideal of square zero with the following universal property: Given any commutative diagram

\[
\begin{array}{ccc}
S & \to & A/I \\
\downarrow & & \downarrow \\
R & \to & A
\end{array}
\]

where $I \subset A$ is an ideal of square zero, there is a unique $R$-algebra map $a' : S' \to A$ such that $S' \to A \to A/I$ is equal to $S' \to S \to A/I$.

Proof. Choose a set of generators $z_i \in S$, $i \in I$ for $S$ as an $R$-algebra. Let $P = R[\{x_i\}_{i \in I}]$ denote the polynomial ring on generators $x_i$, $i \in I$. Consider the $R$-algebra map $P \to S$ which maps $x_i$ to $z_i$. Let $J = \text{Ker}(P \to S)$. Consider the map

\[
d : J/J^2 \to \Omega_{P/R} \otimes P S
\]

see Lemma 130.9. This is surjective since $\Omega_{S/R} = 0$ by assumption, see Lemma 144.2. Note that $\Omega_{P/R}$ is free on $dx_i$, and hence the module $\Omega_{P/R} \otimes P S$ is free over $S$. Thus we may choose a splitting of the surjection above and write

\[
J/J^2 = K \oplus \Omega_{P/R} \otimes P S
\]
Let \( J^2 \subset J' \subset J \) be the ideal of \( P \) such that \( J'/J^2 \) is the second summand in the decomposition above. Set \( S' = P/J' \). We obtain a short exact sequence

\[ 0 \to J/J' \to S' \to S \to 0 \]

and we see that \( J/J' \cong K \) is a square zero ideal in \( S' \). Hence

\[ \begin{array}{ccc}
S & \to & S \\
\downarrow & & \downarrow \\
R & \to & S'
\end{array} \]

is a diagram as above. In fact we claim that this is an initial object in the category of diagrams. Namely, let \((I \subset A, a, b)\) be an arbitrary diagram. We may choose an \( R \)-algebra map \( \beta : P \to A \) such that

\[ \begin{array}{ccc}
S & \to & S \\
\downarrow & & \downarrow \\
R & \to & P \xrightarrow{\beta} A
\end{array} \]

is commutative. Now it may not be the case that \( \beta(J') = 0 \), in other words it may not be true that \( \beta \) factors through \( S' = P/J' \). But what is clear is that \( \beta(J') \subset I \) and since \( \beta(J) \subset I \) and \( I^2 = 0 \) we have \( \beta(J^2) = 0 \). Thus the “obstruction” to finding a morphism from \((J/J' \subset S', 1, R \to S')\) to \((I \subset A, a, b)\) is the corresponding \( S \)-linear map \( \overline{\beta} : J'/J^2 \to I \). The choice in picking \( \beta \) lies in the choice of \( \delta_i \). A different choice of \( \beta \), say \( \beta' \), is gotten by taking \( \beta'(x_i) = \beta(x_i) + \delta_i \) with \( \delta_i \in I \). In this case, for \( g \in J' \), we obtain

\[ \beta'(g) = \beta(g) + \sum_i \delta_i \frac{\partial g}{\partial x_i}. \]

Since the map \( d|_{J'/J^2} : J'/J^2 \to \Omega_{P/R} \otimes_P S \) given by \( g \mapsto \frac{\partial g}{\partial x_i} \partial x_i \) is an isomorphism by construction, we see that there is a unique choice of \( \delta_i \in I \) such that \( \beta'(g) = 0 \) for all \( g \in J' \). (Namely, \( \delta_i = -\overline{\beta}(g) \) where \( g \in J'/J^2 \) is the unique element with \( \frac{\partial g}{\partial x_i} = 1 \) if \( i = j \) and 0 else.) The uniqueness of the solution implies the uniqueness required in the lemma.

In the situation of Lemma 145.1 the \( R \)-algebra map \( S' \to S \) is unique up to unique isomorphism.

**Definition 145.2.** Let \( R \to S \) be a formally unramified ring map.

1. The universal first order thickening of \( S \) over \( R \) is the surjection of \( R \)-algebras \( S' \to S \) of Lemma 145.1.
2. The conormal module of \( R \to S \) is the kernel \( I \) of the universal first order thickening \( S' \to S \), seen as an \( S \)-module.

We often denote the conormal module \( C_{S/R} \) in this situation.

**Lemma 145.3.** Let \( I \subset R \) be an ideal of a ring. The universal first order thickening of \( R/I \) over \( R \) is the surjection \( R/I^2 \to R/I \). The conormal module of \( R/I \) over \( R \) is \( C_{(R/I)/R} = I/I^2 \).

**Proof.** Omitted.
Lemma 145.4. Let $A \to B$ be a formally unramified ring map. Let $\varphi : B' \to B$ be the universal first order thickening of $B$ over $A$.

(1) Let $S \subset A$ be a multiplicative subset. Then $S^{-1}B' \to S^{-1}B$ is the universal first order thickening of $S^{-1}B$ over $S^{-1}A$. In particular $S^{-1}C_{B/A} = C_{S^{-1}B/S^{-1}A}$.

(2) Let $S \subset B$ be a multiplicative subset. Then $S' = \varphi^{-1}(S)$ is a multiplicative subset in $B'$ and $(S')^{-1}B' \to S^{-1}B$ is the universal first order thickening of $S^{-1}B$ over $A$. In particular $S^{-1}C_{B/A} = C_{S^{-1}B/A}$.

Note that the lemma makes sense by Lemma 144.4.

Proof. With notation and assumptions as in (1). Let $(S^{-1}B)' \to S^{-1}B$ be the universal first order thickening of $S^{-1}B$ over $S^{-1}A$. Note that $S^{-1}B' \to S^{-1}B$ is a surjection of $S^{-1}A$-algebras whose kernel has square zero. Hence by definition we obtain a map $(S^{-1}B)' \to S^{-1}B'$ compatible with the maps towards $S^{-1}B$. Consider any commutative diagram

$$
\begin{array}{c}
B \\
\downarrow \\
S^{-1}B \\
\downarrow \\
D/I
\end{array}
\quad
\begin{array}{c}
A \\
\downarrow \\
S^{-1}A \\
\downarrow \\
D
\end{array}
$$

where $I \subset D$ is an ideal of square zero. Since $B'$ is the universal first order thickening of $B$ over $A$ we obtain an $A$-algebra map $B' \to D$. But it is clear that the image of $S$ in $D$ is mapped to invertible elements of $D$, and hence we obtain a compatible map $S^{-1}B' \to D$. Applying this to $D = (S^{-1}B)'$ we see that we get a map $S^{-1}B' \to (S^{-1}B)'$. We omit the verification that this map is inverse to the map described above.

With notation and assumptions as in (2). Let $(S^{-1}B)' \to S^{-1}B$ be the universal first order thickening of $S^{-1}B$ over $A$. Note that $(S')^{-1}B' \to S^{-1}B$ is a surjection of $A$-algebras whose kernel has square zero. Hence by definition we obtain a map $(S^{-1}B)' \to (S')^{-1}B'$ compatible with the maps towards $S^{-1}B$. Consider any commutative diagram

$$
\begin{array}{c}
B \\
\downarrow \\
S^{-1}B \\
\downarrow \\
D/I
\end{array}
\quad
\begin{array}{c}
A \\
\downarrow \\
S^{-1}A \\
\downarrow \\
D
\end{array}
$$

where $I \subset D$ is an ideal of square zero. Since $B'$ is the universal first order thickening of $B$ over $A$ we obtain an $A$-algebra map $B' \to D$. But it is clear that the image of $S'$ in $D$ is mapped to invertible elements of $D$, and hence we obtain a compatible map $(S')^{-1}B' \to D$. Applying this to $D = (S^{-1}B)'$ we see that we get a map $(S')^{-1}B' \to (S^{-1}B)'$. We omit the verification that this map is inverse to the map described above. \[\square\]

Lemma 145.5. Let $R \to A \to B$ be ring maps. Assume $A \to B$ formally unramified. Let $B' \to B$ be the universal first order thickening of $B$ over $A$. Then $B'$ is formally unramified over $A$, and the canonical map $\Omega_{A/R} \otimes_A B \to \Omega_{B'/R} \otimes_{B'} B$ is an isomorphism.

Proof. We are going to use the construction of $B'$ from the proof of Lemma 145.1 although in principle it should be possible to deduce these results formally from
the definition. Namely, we choose a presentation \( B = P/J \), where \( P = A[x_i] \) is a polynomial ring over \( A \). Next, we choose elements \( f_i \in J \) such that \( df_i = dx_i \otimes 1 \) in \( \Omega_{P/A} \otimes_P B \). Having made these choices we have \( B' = P/J' \) with \( J' = (f_i) + J^2 \), see proof of Lemma \[145.1\].

Consider the canonical exact sequence

\[ J'/J^2 \rightarrow \Omega_{P/A} \otimes_P B' \rightarrow \Omega_B'/A \rightarrow 0 \]

see Lemma \[130.9\]. By construction the classes of the \( f_i \) in \( J' \) map to elements of the module \( \Omega_{P/A} \otimes_P B' \) which generate it modulo \( J'/J^2 \) by construction. Since \( J'/J^2 \) is a nilpotent ideal, we see that these elements generate the module altogether (by Nakayama’s Lemma \[19.1\]). This proves that \( \Omega_{B'/A} = 0 \) and hence that \( B' \) is formally unramified over \( A \), see Lemma \[144.2\].

Since \( P \) is a polynomial ring over \( A \) we have \( \Omega_{P/R} = \Omega_{A/R} \otimes_A P \oplus \bigoplus Pdx_i \). We are going to use this decomposition. Consider the following exact sequence

\[ J'/J^2 \rightarrow \Omega_{P/R} \otimes_P B' \rightarrow \Omega_{B'/R} \rightarrow 0 \]

see Lemma \[130.9\] We may tensor this with \( B \) and obtain the exact sequence

\[ J'/J^2 \otimes_B B \rightarrow \Omega_{P/R} \otimes_P B \rightarrow \Omega_{B'/R} \otimes_B B \rightarrow 0 \]

If we remember that \( J' = (f_i) + J^2 \) then we see that the first arrow annihilates the submodule \( J^2/J' \). In terms of the direct sum decomposition \( \Omega_{P/R} \otimes_P B = \Omega_{A/R} \otimes_A B \oplus \bigoplus Bdx_i \) given we see that the submodule \( (f_i)/J^2 \otimes_B B \) maps isomorphically onto the summand \( \bigoplus Bdx_i \). Hence what is left of this exact sequence is an isomorphism \( \Omega_{A/R} \otimes_A B \rightarrow \Omega_{B'/R} \otimes_B B \) as desired. \[ \square \]

### 146. Formally étale maps

**Definition 146.1.** Let \( R \rightarrow S \) be a ring map. We say \( S \) is formally étale over \( R \) if for every commutative solid diagram

\[
\begin{array}{ccc}
S & \rightarrow & A/I \\
\uparrow & & \uparrow \\
R & \rightarrow & A
\end{array}
\]

where \( I \subset A \) is an ideal of square zero, there exists a unique dotted arrow making the diagram commute.

Clearly a ring map is formally étale if and only if it is both formally smooth and formally unramified.

**Lemma 146.2.** Let \( R \rightarrow S \) be a ring map of finite presentation. The following are equivalent:

(1) \( R \rightarrow S \) is formally étale,

(2) \( R \rightarrow S \) is étale.

**Proof.** Assume that \( R \rightarrow S \) is formally étale. Then \( R \rightarrow S \) is smooth by Proposition \[136.13\]. By Lemma \[144.2\] we have \( \Omega_{S/R} = 0 \). Hence \( R \rightarrow S \) is étale by definition.
Assume that $R \to S$ is étale. Then $R \to S$ is formally smooth by Proposition 136.13. By Lemma 144.2 it is formally unramified. Hence $R \to S$ is formally étale. □

**Lemma 146.3.** Let $R$ be a ring. Let $I$ be a directed set. Let $(S_i, \varphi_{ii'})$ be a system of $R$-algebras over $I$. If each $R \to S_i$ is formally étale, then $S = \operatorname{colim}_{i \in I} S_i$ is formally étale over $R$.

**Proof.** Consider a diagram as in Definition 146.1. By assumption we get unique $R$-algebra maps $S_i \to A$ lifting the compositions $S_i \to S \to A/I$. Hence these are compatible with the transition maps $\varphi_{ii'}$ and define a lift $S \to A$. This proves existence. The uniqueness is clear by restricting to each $S_i$. □

**Lemma 146.4.** Let $R$ be a ring. Let $S \subset R$ be any multiplicative subset. Then the ring map $R \to S^{-1}R$ is formally étale.

**Proof.** Let $I \subset A$ be an ideal of square zero. What we are saying here is that given a ring map $\varphi : R \to A$ such that $\varphi(f) \mod I$ is invertible for all $f \in S$ we have also that $\varphi(f)$ is invertible in $A$ for all $f \in S$. This is true because $A^*$ is the inverse image of $(A/I)^*$ under the canonical map $A \to A/I$. □

### 147. Unramified ring maps

**Definition 147.1.** Let $R \to S$ be a ring map.

1. We say $R \to S$ is **unramified** if $R \to S$ is of finite type and $\Omega_{S/R} = 0$.
2. We say $R \to S$ is **G-unramified** if $R \to S$ is of finite presentation and $\Omega_{S/R} = 0$.
3. Given a prime $q$ of $S$ we say that $S$ is **unramified at** $q$ if there exists a $g \in S$, $g \not\in q$ such that $R \to S_g$ is unramified.
4. Given a prime $q$ of $S$ we say that $S$ is **G-unramified at** $q$ if there exists a $g \in S$, $g \not\in q$ such that $R \to S_g$ is G-unramified.

Of course a G-unramified map is unramified.

**Lemma 147.2.** Let $R \to S$ be a ring map. The following are equivalent

1. $R \to S$ is formally unramified and of finite type, and
2. $R \to S$ is unramified.

Moreover, also the following are equivalent

1. $R \to S$ is formally unramified and of finite presentation, and
2. $R \to S$ is G-unramified.

**Proof.** Follows from Lemma 144.2 and the definitions. □

**Lemma 147.3.** Properties of unramified and G-unramified ring maps.

1. The base change of an unramified ring map is unramified. The base change of a G-unramified ring map is G-unramified.
2. The composition of unramified ring maps is unramified. The composition of G-unramified ring maps is G-unramified.
3. Any principal localization $R \to R_f$ is G-unramified and unramified.
Hence we see that (9) is equivalent to (7) since the $\Omega$ equivalent. Moreover Ad (8) and (9). These are equivalent in the same manner that (6) and (7) are to the condition of (6).

Ad (11). Follows from (6) and (7) and the fact that the spectrum of $S$ is quasi-compact.
Ad (12). Write \( S = R[x_1, \ldots, x_n]/(g_1, \ldots, g_m) \). As \( \Omega_{S/R} = 0 \) we can write
\[
dx_i = \sum h_{ij} dg_j + \sum a_{ijk} g_j dx_k
\]
in \( \Omega_{R[x_1, \ldots, x_n]/R} \) for some \( h_{ij}, a_{ijk} \in R[x_1, \ldots, x_n] \). Choose a finitely generated \( \mathbb{Z} \)-subalgebra \( R_0 \subset R \) containing all the coefficients of the polynomials \( g_i, h_{ij}, a_{ijk} \). Set \( S_0 = R_0[x_1, \ldots, x_n]/(g_1, \ldots, g_m) \). This works.

Ad (13). Write \( S = R[x_1, \ldots, x_n]/I \). As \( \Omega_{S/R} = 0 \) we can write
\[
dx_i = \sum h_{ij} dg_j + \sum g_{ik}' dx_k
\]
in \( \Omega_{R[x_1, \ldots, x_n]/R} \) for some \( h_{ij} \in R[x_1, \ldots, x_n] \) and \( g_{ij}, g_{ik}' \in I \). Choose a finitely generated \( \mathbb{Z} \)-subalgebra \( R_0 \subset R \) containing all the coefficients of the polynomials \( g_{ij}, h_{ij}, g_{ik}' \). Set \( S_0 = R_0[x_1, \ldots, x_n]/(g_{ij}, g_{ik}') \). This works.

\[\text{Lemma 147.4.} \text{ Let } R \to S \text{ be a ring map. If } R \to S \text{ is unramified, then there exists an idempotent } e \in S \otimes_R S \text{ such that } S \otimes_R S \to S \otimes_R S \to (S \otimes_R S)_e.\]

\[\text{Proof.} \text{ Let } J = \text{ Ker}(S \otimes_R S \to S). \text{ By assumption } J/J^2 = 0, \text{ see Lemma 130.13. Since } S \text{ is of finite type over } R \text{ we see that } J \text{ is finitely generated, namely by } x_i \otimes 1 - 1 \otimes x_i, \text{ where } x_i \text{ generate } S \text{ over } R. \text{ We win by Lemma 203.5.} \]

\[\text{Lemma 147.5.} \text{ Let } R \to S \text{ be a ring map. Let } q \subset S \text{ be a prime lying over } p \text{ in } R. \text{ If } S/R \text{ is unramified at } q \text{ then}
\begin{enumerate}
\item we have } pS_q = qS_q \text{ is the maximal ideal of the local ring } S_q \text{, and }
\item the field extension } \kappa(p) \subset \kappa(q) \text{ is finite separable.}
\end{enumerate}

\[\text{Proof.} \text{ We may first replace } S \text{ by } S_g \text{ for some } g \in S, g \not\in q \text{ and assume that } R \to S \text{ is unramified. The base change } S \otimes_R \kappa(p) \text{ is unramified over } \kappa(p) \text{ by Lemma 147.3. By Lemma 138.3 it is smooth hence étale over } \kappa(p). \text{ Hence we see that } S \otimes_R \kappa(p) = (R \setminus p)^{-1}S/pS \text{ is a product of finite separable field extensions of } \kappa(p) \text{ by Lemma 141.4. This implies the lemma.} \]

\[\text{Lemma 147.6.} \text{ Let } R \to S \text{ be a finite type ring map. Let } q \text{ be a prime of } S. \text{ If } R \to S \text{ is unramified at } q \text{ then } R \to S \text{ is quasi-finite at } q. \text{ In particular, an unramified ring map is quasi-finite.} \]

\[\text{Proof.} \text{ An unramified ring map is of finite type. Thus it is clear that the second statement follows from the first. To see the first statement apply the characterization of Lemma 121.2 part (2) using Lemma 147.5.} \]

\[\text{Lemma 147.7.} \text{ Let } R \to S \text{ be a ring map. Let } q \text{ be a prime of } S \text{ lying over a prime } p \text{ of } R. \text{ If}
\begin{enumerate}
\item } R \to S \text{ is of finite type, }
\item } pS_q = qS_q \text{ is the maximal ideal of the local ring } S_q \text{, and }
\item the field extension } \kappa(p) \subset \kappa(q) \text{ is finite separable,}
\end{enumerate}
\text{then } R \to S \text{ is unramified at } q. \]

\[\text{Proof.} \text{ By Lemma 147.3 (8) it suffices to show that } \Omega_{S \otimes_R \kappa(p)}/\kappa(p) \text{ is zero when localized at } q. \text{ Hence we may replace } S \text{ by } S \otimes_R \kappa(p) \text{ and } R \text{ by } \kappa(p). \text{ In other words, we may assume that } R = k \text{ is a field and } S \text{ is a finite type } k \text{-algebra. In this case the hypotheses imply that } S_q \cong \kappa(q) \text{ and hence } S = \kappa(q) \times S' \text{ (see Lemma 121.1). Hence } (\Omega_{S/k})_q = \Omega_{\kappa(q)/k} \text{ which is zero as desired.} \]
Lemma 147.8. Let $R \to S$ be a ring map. The following are equivalent

1. $R \to S$ is étale,
2. $R \to S$ is flat and $G$-unramified, and
3. $R \to S$ is flat, unramified, and of finite presentation.

Proof. Parts (2) and (3) are equivalent by definition. The implication (1) $\Rightarrow$ (3) follows from the fact that étale ring maps are of finite presentation, Lemma 141.3 (flatness of étale maps), and Lemma 147.3 (étale maps are unramified). Conversely, the characterization of étale ring maps in Lemma 141.7 and the structure of unramified ring maps in Lemma 147.5 shows that (3) implies (1). (This uses that $R \to S$ is étale if $R \to S$ is étale at every prime $q \subset S$, see Lemma 141.3.)

Proposition 147.9. Let $R \to S$ be a ring map. Let $q \subset S$ be a prime. If $R \to S$ is unramified at $q$, then there exist

1. $a g \in S$, $g \not\in q$,
2. a standard étale ring map $R \to S'$, and
3. a surjective $R$-algebra map $S' \to S_g$.

Proof. This proof is the “same” as the proof of Proposition 141.16. The proof is a little roundabout and there may be ways to shorten it.

Step 1. By Definition 147.1 there exists a $g \in S$, $g \not\in q$ such that $R \to S_g$ is unramified. Thus we may assume that $S$ is unramified over $R$.

Step 2. By Lemma 147.3 there exists an unramified ring map $R_0 \to S_0$ with $R_0$ of finite type over $\mathbb{Z}$, and a ring map $R_0 \to R$ such that $S$ is a quotient of $R \otimes_{R_0} S_0$. Denote $q_0$ the prime of $S_0$ corresponding to $q$. If we show the result for $(R_0 \to S_0, q_0)$ then the result follows for $(R \to S, q)$ by base change. Hence we may assume that $R$ is Noetherian.

Step 3. Note that $R \to S$ is quasi-finite by Lemma 147.6. By Lemma 122.14 there exists a finite ring map $R \to S'$, an $R$-algebra map $S' \to S$, an element $g' \in S'$ such that $g' \not\in q$ such that $S' \to S$ induces an isomorphism $S'_{g'} \cong S_g$. (Note that $S'$ may not be unramified over $R$.) Thus we may assume that (a) $R$ is Noetherian, (b) $R \to S$ is finite and (c) $R \to S$ is unramified at $q$ (but no longer necessarily unramified at all primes).

Step 4. Let $p \subset R$ be the prime corresponding to $q$. Consider the fibre ring $S \otimes_R \kappa(p)$. This is a finite algebra over $\kappa(p)$. Hence it is Artinian (see Lemma 52.2) and so a finite product of local rings

$$S \otimes_R \kappa(p) = \prod_{i=1}^n A_i$$

see Proposition 59.6. One of the factors, say $A_1$, is the local ring $S_q/pS_q$ which is isomorphic to $\kappa(q)$, see Lemma 147.5. The other factors correspond to the other primes, say $q_2, \ldots, q_n$, of $S$ lying over $p$.

Step 5. We may choose a nonzero element $\alpha \in \kappa(q)$ which generates the finite separable field extension $\kappa(p) \subset \kappa(q)$ (so even if the field extension is trivial we do not allow $\alpha = 0$). Note that for any $\lambda \in \kappa(p)^*$ the element $\lambda \alpha$ also generates $\kappa(q)$ over $\kappa(p)$. Consider the element

$$\tau = (\alpha, 0, \ldots, 0) \in \prod_{i=1}^n A_i = S \otimes_R \kappa(p).$$
After possibly replacing $\alpha$ by $\lambda \alpha$ as above we may assume that $\overline{t}$ is the image of $t \in S$. Let $I \subset R[x]$ be the kernel of the $R$-algebra map $R[x] \to S$ which maps $x$ to $t$. Set $S' = R[x]/I$, so $S' \subset S$. Here is a diagram

$$
\begin{array}{ccc}
R[x] & \longrightarrow & S' \\
\downarrow & & \downarrow \\
R & \longrightarrow & S
\end{array}
$$

By construction the primes $q_j$, $j \geq 2$ of $S$ all lie over the prime $(p, x)$ of $R[x]$, whereas the prime $q$ lies over a different prime of $R[x]$ because $\alpha \neq 0$.

Step 6. Denote $q' \subset S'$ the prime of $S'$ corresponding to $q$. By the above $q$ is the only prime of $S$ lying over $q'$. Thus we see that $S_q = S_{q'}$, see Lemma 125.7 (we have going up for $S' \to S$ by Lemma 35.22 since $S' \to S$ is finite as $R \to S$ is finite). It follows that $S'_{q'} \to S_q$ is finite and injective as the localization of the finite injective ring map $S' \to S$. Consider the maps of local rings

$$
R_p \to S'_{q'} \to S_q
$$

The second map is finite and injective. We have $S_q/pS_q = \kappa(q)$, see Lemma 147.5. Hence a fortiori $S_q/q'S_q = \kappa(q)$. Since

$$
\kappa(p) \subset \kappa(q') \subset \kappa(q)
$$

and since $\alpha$ is in the image of $\kappa(q')$ in $\kappa(q)$ we conclude that $\kappa(q') = \kappa(q)$. Hence by Nakayama’s Lemma 13.1 applied to the $S'_{q'}$-module map $S'_{q'} \to S_q$, the map $S'_{q'} \to S_q$ is surjective. In other words, $S'_{q'} \cong S_q$.

Step 7. By Lemma 125.7 there exist $g \in S$, $g \notin q$ and $g' \in S'$, $g' \notin q'$ such that $S'_{q'} \cong S_q$. As $R$ is Noetherian the ring $S'$ is finite over $R$ because it is an $R$-submodule of the finite $R$-module $S$. Hence after replacing $S$ by $S'$ we may assume that (a) $R$ is Noetherian, (b) $S$ finite over $R$, (c) $S$ is unramified over $R$ at $q$, and (d) $S = R[x]/I$.

Step 8. Consider the ring $S \otimes_R \kappa(p) = \kappa(p)[x]/\overline{T}$ where $\overline{T} = I \cdot \kappa(p)[x]$ is the ideal generated by $I$ in $\kappa(p)[x]$. As $\kappa(p)[x]$ is a PID we know that $\overline{T} = (\overline{h})$ for some monic $\overline{h} \in \kappa(p)$. After replacing $\overline{h}$ by $\lambda \cdot \overline{h}$ for some $\lambda \in \kappa(p)$ we may assume that $\overline{h}$ is the image of some $h \in R[x]$. (The problem is that we do not know if we may choose $h$ monic.) Also, as in Step 4 we know that $S \otimes_R \kappa(p) = A_1 \times \ldots \times A_n$ with $A_1 = \kappa(q)$ a finite separable extension of $\kappa(p)$ and $A_2, \ldots, A_n$ local. This implies that

$$
\overline{h} = \overline{h_1 \overline{h_2^{e_2}} \ldots \overline{h_n^{e_n}}}
$$

for certain pairwise coprime irreducible monic polynomials $\overline{h}_i \in \kappa(p)[x]$ and certain $e_2, \ldots, e_n \geq 1$. Here the numbering is chosen so that $A_i = \kappa(p)[x]/(\overline{h}_i^{e_i})$ as $\kappa(p)[x]$-algebras. Note that $\overline{h}_1$ is the minimal polynomial of $\alpha \in \kappa(q)$ and hence is a separable polynomial (its derivative is prime to itself).

Step 9. Let $m \in I$ be a monic element; such an element exists because the ring extension $R \to R[x]/I$ is finite hence integral. Denote $\overline{m}$ the image in $\kappa(p)[x]$. We may factor

$$
\overline{m} = \overline{h_1^{d_1} h_2^{d_2} \ldots h_n^{d_n}}
$$
for some \(d_1 \geq 1, d_j \geq e_j, j = 2, \ldots, n\) and \(\overline{f} \in \kappa(p)[x]\) prime to all the \(\overline{h}_i\). Set \(f = m^l + h\) where \(l \deg(m) > \deg(h)\), and \(l \geq 2\). Then \(f\) is monic as a polynomial over \(R\). Also, the image \(\overline{f}\) of \(f\) in \(\kappa(p)[x]\) factors as
\[
\overline{f} = \overline{h}_1 \overline{h}_2^2 \cdots \overline{h}_n^e + k \overline{h}_1^{d_1} \overline{h}_2^{d_2} \cdots \overline{h}_n^{d_n} = \overline{h}_1 (\overline{h}_2^e \cdots \overline{h}_n^e + k \overline{h}_1^{d_1-1} \overline{h}_2^{d_2} \cdots \overline{h}_n^{d_n}) = \overline{h}_1 \overline{w}
\]
with \(\overline{w}\) a polynomial relatively prime to \(\overline{h}_1\). Set \(g = \overline{f}\) (the derivative with respect to \(x\)).

Step 10. The ring map \(R[x] \to S = R[x]/I\) has the properties: (1) it maps \(f\) to zero, and (2) it maps \(g\) to an element of \(S \setminus q\). The first assertion is clear since \(f\) is an element of \(I\). For the second assertion we just have to show that \(g\) does not map to zero in \(\kappa(\rho) = \kappa(p)[x]/(\overline{h}_1)\). The image of \(g\) in \(\kappa(p)[x]\) is the derivative of \(\overline{f}\). Thus (2) is clear because
\[
\overline{g} = \frac{d \overline{f}}{dx} = \overline{w} \frac{d \overline{h}_1}{dx} + \overline{h}_1 \frac{d \overline{w}}{dx}.
\]
\(\overline{w}\) is prime to \(\overline{h}_1\) and \(\overline{h}_1\) is separable.

Step 11. We conclude that \(\varphi : R[x]/(f) \to S\) is a surjective ring map, \(R[x]/(f)\) is étale over \(R\) (because it is standard étale, see Lemma 141.14) and \(\varphi(\rho) \notin q\). Thus the map \((R[x]/(f))_\rho \to S_{\varphi(\rho)}\) is the desired surjection.

**Lemma 147.10.** Let \(R \to S\) be a ring map. Let \(q\) be a prime of \(S\) lying over \(p \subset R\). Assume that \(R \to S\) is of finite type and unramified at \(q\). Then there exist

1. an étale ring map \(R \to R'\),
2. a prime \(p' \subset R'\) lying over \(p\).
3. a product decomposition

\[
R' \otimes_R S = A \times B
\]

with the following properties

1. \(R' \to A\) is surjective, and
2. \(p'A\) is a prime of \(A\) lying over \(p'\) and over \(q\).

**Proof.** We may replace \((R \to S, p, q)\) with any base change \((R' \to R' \otimes_R S, p', q')\) by an étale ring map \(R \to R'\) with a prime \(p'\) lying over \(p\), and a choice of \(q'\) lying over both \(q\) and \(p'\). Note also that given \(R \to R'\) and \(p'\) a suitable \(q'\) can always be found.

The assumption that \(R \to S\) is of finite type means that we may apply Lemma 141.23. Thus we may assume that \(S = A_1 \times \ldots \times A_n \times B\), that each \(R \to A_i\)

is finite with exactly one prime \(t_i\) lying over \(p\) such that \(\kappa(p) \subset \kappa(t_i)\) is purely inseparable and that \(R \to B\) is not quasi-finite at any prime lying over \(p\). Then clearly \(q = t_1\) for some \(i\), since an unramified morphism is quasi-finite (see Lemma 147.6). Say \(q = t_1\). By Lemma 147.5 we see that \(\kappa(p) \subset \kappa(t_1)\) is separable hence the trivial field extension, and that \(p(A_1)_{t_1}\) is the maximal ideal. Also, by Lemma 40.11 (which applies to \(R \to A_1\) because a finite ring map satisfies going up by Lemma 35.22) we have \((A_1)_{t_1} = (A_1)_{p}\). It follows from Nagaya’s Lemma 19.1 that the map of local rings \(R_p \to (A_1)_p = (A_1)_{t_1}\) is surjective. Since \(A_1\) is finite over \(R\) we see that there exists a \(f \in R, f \notin p\) such that \(R_f \to (A_1)_f\) is surjective. After replacing \(R\) by \(R_f\) we win.
00UY Lemma 147.11. Let $R \to S$ be a ring map. Let $p$ be a prime of $R$. If $R \to S$ is unramified then there exist

1. an étale ring map $R \to R'$,
2. a prime $p' \subset R'$ lying over $p$.
3. a product decomposition

$$R' \otimes_R S = A_1 \times \ldots \times A_n \times B$$

with the following properties

1. $R' \to A_i$ is surjective,
2. $p'A_i$ is a prime of $A_i$ lying over $p'$, and
3. there is no prime of $B$ lying over $p'$.

Proof. We may apply Lemma 141.23 Thus, after an étale base change, we may assume that $S = A_1 \times \ldots \times A_n \times B$, that each $R \to A_i$ is finite with exactly one prime $\mathfrak{t}_i$ lying over $p$ such that $\kappa(p) \subset \kappa(\mathfrak{t}_i)$ is purely inseparable, and that $R \to B$ is not quasi-finite at any prime lying over $p$. Since $R \to S$ is quasi-finite (see Lemma 147.6) we see there is no prime of $B$ lying over $p$. By Lemma 147.5 we see that $\kappa(p) \subset \kappa(\mathfrak{t}_i)$ is separable hence the trivial field extension, and that $p(A_i)_{\mathfrak{t}_i}$ is the maximal ideal. Also, by Lemma 40.11 (which applies to $R \to A_i$ because a finite ring map satisfies going up by Lemma 35.22) we have $(A_i)_{\mathfrak{t}_i} = (A_i)_p$. It follows from Nakayama’s Lemma [19.1] that the map of local rings $R_p \to (A_i)_p = (A_i)_{\mathfrak{t}_i}$ is surjective. Since $A_i$ is finite over $R$ we see that there exists a $f \in R$, $f \not\in p$ such that $R_f \to (A_i)_f$ is surjective. After replacing $R$ by $R_f$ we win. □

148. Henselian local rings

04GE In this section we discuss a bit the notion of a henselian local ring. Let $(R, m, \kappa)$ be a local ring. For $a \in R$ we denote $\overline{a}$ the image of $a$ in $\kappa$. For a polynomial $f \in R[T]$ we often denote $\overline{f}$ the image of $f$ in $\kappa[T]$. Given a polynomial $f \in R[T]$ we denote $f'$ the derivative of $f$ with respect to $T$. Note that $\overline{f'} = \overline{f}$.  

04GF Definition 148.1. Let $(R, m, \kappa)$ be a local ring.

1. We say $R$ is henselian if for every monic $f \in R[T]$ and every root $a_0 \in \kappa$ of $\overline{f}$ such that $\overline{f}(a_0) \neq 0$ there exists an $a \in R$ such that $f(a) = 0$ and $a_0 = \overline{a}$.
2. We say $R$ is strictly henselian if $R$ is henselian and its residue field is separably algebraically closed.

Note that the condition $\overline{f}(a_0) \neq 0$ is equivalent to the condition that $a_0$ is a simple root of the polynomial $\overline{f}$. In fact, it implies that the lift $a \in R$, if it exists, is unique.

06RR Lemma 148.2. Let $(R, m, \kappa)$ be a local ring. Let $f \in R[T]$. Let $a, b \in R$ such that $f(a) = f(b) = 0$, $a = b$ mod $m$, and $f'(a) \not\in m$. Then $a = b$.

Proof. Write $f(x+y) - f(x) = f'(x)y + g(x, y)y^2$ in $R[x, y]$ (this is possible as one sees by expanding $f(x+y)$; details omitted). Then we see that $0 = f(b) - f(a) = f(a + (b-a)) - f(a) = f'(a)(b-a) + c(b-a)^2$ for some $c \in R$. By assumption $f'(a)$ is a unit in $R$. Hence $(b-a)(1 + f'(a)^{-1}c(b-a)) = 0$. By assumption $b - a \in m$, hence $1 + f'(a)^{-1}c(b-a)$ is a unit in $R$. Hence $b - a = 0$ in $R$. □

Here is the characterization of henselian local rings.

04GG Lemma 148.3. Let $(R, m, \kappa)$ be a local ring. The following are equivalent
Proof. Here is a list of the easier implications:

1. $2 \Rightarrow 1$ because in (2) we consider all polynomials and in (1) only monic ones,
2. $5 \Rightarrow 3$ because in (5) we consider all polynomials and in (3) only monic ones,
3. $6 \Rightarrow 4$ because in (6) we consider all polynomials and in (4) only monic ones,
4. $4 \Rightarrow 3$ is obvious,
5. $6 \Rightarrow 5$ is obvious,
6. $8 \Rightarrow 7$ is obvious,
7. $10 \Rightarrow 9$ is obvious,
8. $11 \Leftrightarrow 12$ by definition of being quasi-finite at a prime,
9. $11 \Rightarrow 13$ by definition of being quasi-finite,

Proof of $1 \Rightarrow 8$. Assume (1). Let $R \to S$ be étale, and let $q \subset S$ be a prime ideal such that $\kappa(q) \cong \kappa$. By Proposition [141.16] we can find a $g \in S$, $g \notin q$ such that $R \to S_g$ is standard étale. After replacing $S$ by $S_q$ we may assume that $S = R[t]/(f)$ is standard étale. Since the prime $q$ has residue field $\kappa$ it corresponds to a root $a_0$ of $\mathcal{F}$ which is not a root of $\mathfrak{g}$. By definition of a standard étale algebra this also means that $\mathcal{F}(a_0) \neq 0$. Since also $f$ is monic by definition of a standard étale algebra again we may use that $R$ is henselian to conclude that there exists an $a \in R$ with $a_0 = \pi$ such that $f(a) = 0$. This implies that $g(a)$ is a unit of $R$ and we obtain the desired map $\tau : S = R[t]/(f) \to R$ by the rule $t \mapsto a$. By construction $\tau^{-1}(q) = m$. This proves (8) holds.

Proof of $7 \Rightarrow 8$. (This is really unimportant and should be skipped.) Assume (7) holds and assume $R \to S$ is étale. Let $q_1, \ldots, q_r$ be the other primes of $S$ lying over
m. Then we can find a $g \in S$, $g \notin q$ and $g \in q_i$ for $i = 1, \ldots, r$. Namely, we can argue that $\bigcap_{i=1}^r q_i \not\subseteq q$ since otherwise $q_i \subseteq q$ for some $i$, but this cannot happen as the fiber of an étale morphism is discrete (use Lemma 141.4 for example). Apply (7) to the étale ring map $R \to S_g$ and the prime $qS_g$. This gives a section $\tau_g : S_g \to R$ such that the composition $\tau : S \to S_g \to R$ has the property $\tau^{-1}(q) = m$. Minor details omitted.

Proof of 8$\Rightarrow$11. Assume (8) and let $R \to S$ be a finite type ring map. Apply Lemma 141.22. We find an étale ring map $R \to R'$ and a prime $m' \subset R'$ lying over $m$ with $\kappa = \kappa(m')$ such that $R' \otimes_R S = A' \times B'$ with $A'$ finite over $R'$ and $B'$ not quasi-finite over $R'$ at any prime lying over $m'$. Apply (8) to get a section $\tau : R' \to R$ with $m = \tau^{-1}(m')$. Then use that

$$S = (S \otimes_R R') \otimes_{R',\tau} R = (A' \times B') \otimes_{R',\tau} R = (A' \otimes_{R',\tau} R) \times (B' \otimes_{R',\tau} R)$$

which gives a decomposition as in (11).

Proof of 8$\Rightarrow$10. Assume (8) and let $R \to S$ be a finite ring map. Apply Lemma 141.22. We find an étale ring map $R \to R'$ and a prime $m' \subset R'$ lying over $m$ with $\kappa = \kappa(m')$ such that $R' \otimes_R S = A'_1 \times \ldots \times A'_n \times B'$ with $A'_1$ finite over $R'$ having exactly one prime over $m'$ and $B'$ not quasi-finite over $R'$ at any prime lying over $m'$. Apply (8) to get a section $\tau : R' \to R$ with $m = \tau^{-1}(m')$. Then we obtain

$$S = (S \otimes_R R') \otimes_{R',\tau} R$$

$$= (A'_1 \times \ldots \times A'_n \times B') \otimes_{R',\tau} R$$

$$= (A'_1 \otimes_{R',\tau} R) \times \ldots \times (A'_n \otimes_{R',\tau} R) \times (B' \otimes_{R',\tau} R)$$

$$= A_1 \times \ldots \times A_n \times B$$

The factor $B$ is finite over $R$ but $R \to B$ is not quasi-finite at any prime lying over $m$. Hence $B = 0$. The factors $A_i$ are finite $R$-algebras having exactly one prime lying over $m$, hence they are local rings. This proves that $S$ is a finite product of local rings.

Proof of 9$\Rightarrow$10. This holds because if $S$ is finite over the local ring $R$, then it has at most finitely many maximal ideals. Namely, by going up for $R \to S$ the maximal ideals of $S$ all lie over $m$, and $S/mS$ is Artinian hence has finitely many primes.

Proof of 10$\Rightarrow$1. Assume (10). Let $f \in R[T]$ be a monic polynomial and $a_0 \in \kappa$ a simple root of $\overline{f}$. Then $S = R[T]/(f)$ is a finite $R$-algebra. Applying (10) we get $S = A_1 \times \ldots \times A_r$ is a finite product of local $R$-algebras. In particular we see that $S/mS = \prod A_i/mA_i$ is the decomposition of $\kappa[T]/(\overline{f})$ as a product of local rings. This means that one of the factors, say $A_1/mA_1$ is the quotient $\kappa[T]/(\overline{f}) \to \kappa[T]/(T-a_0)$. Since $A_1$ is a summand of the finite free $R$-module $S$ it is a finite free $R$-module itself. As $A_1/mA_1$ is a $\kappa$-vector space of dimension 1 we see that $A_1 \cong R$ as an $R$-module. Clearly this means that $R \to A_1$ is an isomorphism. Let $a \in R$ be the image of $T$ under the map $R[T] \to S \to A_1 \to R$. Then $f(a) = 0$ and $\overline{a} = a_0$ as desired.

Proof of 13$\Rightarrow$1. Assume (13). Let $f \in R[T]$ be a monic polynomial and $a_0 \in \kappa$ a simple root of $\overline{f}$. Then $S_1 = R[T]/(f)$ is a finite $R$-algebra. Let $g \in R[T]$ be any element such that $\overline{g} = \overline{f}/(T-a_0)$. Then $S = (S_1)_g$ is a quasi-finite $R$-algebra such that $S \otimes_R \kappa \cong \kappa[T]/(\overline{f}) \otimes \kappa[T]/(T-a_0) \cong \kappa$. Applying (13) to $S$ we get $S = A \times B$ with $A$ finite over $R$ and $B \otimes_R \kappa = 0$. In particular we see that $\kappa \cong S/mS = A/mA.$
Since $A$ is a summand of the flat $R$-algebra $S$ we see that it is finite flat, hence free over $R$. As $A/mA$ is a $\kappa$-vector space of dimension 1 we see that $A \cong R$ as an $R$-module. Clearly this means that $R \to A$ is an isomorphism. Let $a \in R$ be the image of $T$ under the map $R[T] \to S \to A \to R$. Then $f(a) = 0$ and $\pi = a_0$ as desired.

Proof of 8$\Rightarrow$2. Assume (8). Let $f \in R[T]$ be any polynomial and let $a_0 \in \kappa$ be a simple root. Then the algebra $S = R[T]_{f}(f)$ is étale over $R$. Let $q < S$ be the prime generated by $m$ and $T - b$ where $b \in R$ is any element such that $\overline{b} = a_0$. Apply (8) to $S$ and $q$ to get $\tau : S \to R$. Then the image $\tau(T) = a \in R$ works in (2).

At this point we see that (1), (2), (7), (8), (9), (10), (11), (12), (13) are all equivalent. The weakest assertion of (3), (4), (5) and (6) is (3) and the strongest is (6). Hence we still have to prove that (3) implies (1) and (1) implies (6).

Proof of 3$\Rightarrow$1. Assume (3). Let $f \in R[T]$ be monic and let $a_0 \in \kappa$ be a simple root of $\overline{f}$. This gives a factorization $\overline{f} = (T - a_0)h_0$ with $h_0(a_0) \neq 0$, so $\gcd(T - a_0, h_0) = 1$. Apply (3) to get a factorization $f = gh$ with $\overline{g} = T - a_0$ and $\overline{h} = h_0$. Set $S = R[T]/(f)$ which is a finite free $R$-algebra. We will write $g, h$ also for the images of $g$ and $h$ in $S$. Then $gS + hS = S$ by Nakayama’s Lemma \[19.1\] as the equality holds modulo $m$. Since $gh = f = 0$ in $S$ this also implies that $gS \cap hS = 0$. Hence by the Chinese Remainder theorem we obtain $S = S/(g) \times S/(h)$. This implies that $A = S/(g)$ is a summand of a finite free $R$-module, hence finite free. Moreover, the rank of $A$ is 1 as $A/mA = \kappa[T]/(T - a_0)$. Thus the map $R \to A$ is an isomorphism. Setting $a \in R$ equal to the image of $T$ under the maps $R[T] \to S \to A \to R$ gives an element of $R$ with $f(a) = 0$ and $\pi = a_0$.

Proof of 1$\Rightarrow$6. Assume (1) or equivalently all of (1), (2), (7), (8), (9), (10), (11), (12), (13). Let $f \in R[T]$ be a polynomial. Suppose that $\overline{f} = g_0h_0$ is a factorization with $\gcd(g_0, h_0) = 1$. We may and do assume that $g_0$ is monic. Consider $S = R[T]/(f)$. Because we have the factorization we see that the coefficients of $f$ generate the unit ideal in $R$. This implies that $S$ has finite fibres over $R$, hence is quasi-finite over $R$. It also implies that $S$ is flat over $R$ by Lemma \[127.5\] Combining (13) and (10) we may write $S = A_1 \times \ldots \times A_n \times B$ where each $A_i$ is local and finite over $R$, and $B \cong_R \kappa = 0$. After reordering the factors $A_1, \ldots, A_n$ we may assume that $\kappa[T]/(g_0) = A_1/mA_1 \times \ldots \times A_r/mA_r, \kappa[T]/(h_0) = A_{r+1}/mA_{r+1} \times \ldots \times A_n/mA_n$ as quotients of $\kappa[T]$. The finite flat $R$-algebra $A = A_1 \times \ldots \times A_r$ is free as an $R$-module, see Lemma \[77.4\] Its rank is $\deg_T(g_0)$. Let $g \in R[T]$ be the characteristic polynomial of the $R$-linear operator $T : A \to A$. Then $g$ is a monic polynomial of degree $\deg_T(g) = \deg_T(g_0)$ and moreover $\overline{g} = g_0$. By Cayley-Hamilton (Lemma \[15.1\]) we see that $g(T_A) = 0$ where $T_A$ indicates the image of $T$ in $A$. Hence we obtain a well defined surjective map $R[T]/(g) \to A$ which is an isomorphism by Nakayama’s Lemma \[19.1\] The map $R[T] \to A$ factors through $R[T]/(f)$ by construction hence we may write $f = gh$ for some $h$. This finishes the proof. \[\square\]
(2) If \( R \subseteq S \) is a finite local homomorphism of local rings, then \( S \) is a henselian local ring.

(3) If \( R \to S \) is a finite type ring map, and \( q \) is a prime of \( S \) lying over \( m \) at which \( R \to S \) is quasi-finite, then \( S_q \) is henselian.

(4) If \( R \to S \) is quasi-finite then \( S_q \) is henselian for every prime \( q \) lying over \( m \).

**Proof.** Part (2) implies part (1) since \( S \) in part (1) is a finite product of its localizations at the primes lying over \( m \). Part (2) follows from Lemma 148.3 part (10) since any finite \( S \)-algebra is also a finite \( R \)-algebra. If \( R \to S \) and \( q \) are as in (3), then \( S_q \) is a local ring of a finite \( R \)-algebra by Lemma 148.3 part (11). Hence (3) follows from (1). Part (4) follows from part (3). □

**Lemma 148.5.** Let \((R, m, \kappa)\) be a henselian local ring. Any finite type \( R \)-algebra \( S \) can be written as \( S = A_1 \times \cdots \times A_n \times B \) with \( A_i \) local and finite over \( R \) and \( R \to B \) not quasi-finite at any prime of \( B \) lying over \( m \).

**Proof.** This is a combination of parts (11) and (10) of Lemma 148.3 □

**Lemma 148.6.** Let \((R, m, \kappa)\) be a strictly henselian local ring. Any finite type \( R \)-algebra \( S \) can be written as \( S = A_1 \times \cdots \times A_n \times B \) with \( A_i \) local and finite over \( R \) and \( \kappa \subset \kappa(m_{A_i}) \) finite purely inseparable and \( R \to B \) not quasi-finite at any prime of \( B \) lying over \( m \).

**Proof.** First write \( S = A_1 \times \cdots \times A_n \times B \) as in Lemma 148.5. The field extension \( \kappa \subset \kappa(m_{A_i}) \) is finite and \( \kappa \) is separably algebraically closed, hence it is finite purely inseparable. □

**Lemma 148.7.** Let \((R, m, \kappa)\) be a henselian local ring. The category of finite étale ring extensions \( R \to S \) is equivalent to the category of finite étale algebras \( \kappa \to S \) via the functor \( S \mapsto S/mS \).

**Proof.** Denote \( C \to D \) the functor of categories of the statement. Suppose that \( R \to S \) is finite étale. Then we may write

\[
S = A_1 \times \cdots \times A_n
\]

with \( A_i \) local and finite étale over \( S \), use either Lemma 148.5 or Lemma 148.3 part (10). In particular \( A_i/mA_i \) is a finite separable field extension of \( \kappa \), see Lemma 141.5. Thus we see that every object of \( C \) and \( D \) decomposes canonically into irreducible pieces which correspond via the given functor. Next, suppose that \( S_1, S_2 \) are finite étale over \( R \) such that \( \kappa_1 = S_1/mS_1 \) and \( \kappa_2 = S_2/mS_2 \) are fields (finite separable over \( \kappa \)). Then \( S_1 \otimes_R S_2 \) is finite étale over \( R \) and we may write

\[
S_1 \otimes_R S_2 = A_1 \times \cdots \times A_n
\]

as before. Then we see that \( \text{Hom}_R(S_1, S_2) \) is identified with the set of indices \( i \in \{1, \ldots, n\} \) such that \( S_2 \to A_i \) is an isomorphism. To see this use that given any \( R \)-algebra map \( \varphi : S_1 \to S_2 \) the map \( \varphi \times 1 : S_1 \otimes_R S_2 \to S_2 \) is surjective, and hence is equal to projection onto one of the factors \( A_i \). But in exactly the same way we see that \( \text{Hom}_R(\kappa_1, \kappa_2) \) is identified with the set of indices \( i \in \{1, \ldots, n\} \) such that \( \kappa_2 \to A_i/mA_i \) is an isomorphism. By the discussion above these sets of indices match, and we conclude that our functor is fully faithful. Finally, let \( \kappa \subset \kappa' \) be a finite separable field extension. By Lemma 141.15 there exists an étale ring map \( R \to S \) and a prime \( q \) of \( S \) lying over \( m \) such that \( \kappa \subset \kappa(q) \) is isomorphic to the
given extension. By part (1) we may write $S = A_1 \times \ldots \times A_n \times B$. Since $R \to S$ is quasi-finite we see that there exists no prime of $B$ over $\mathfrak{m}$. Hence $S_\mathfrak{m}$ is equal to $A_i$ for some $i$. Hence $R \to A_i$ is finite étale and produces the given residue field extension. Thus the functor is essentially surjective and we win. □

04GL Lemma 148.8. Let $(R, \mathfrak{m}, \kappa)$ be a strictly henselian local ring. Let $R \to S$ be an unramified ring map. Then

$$S = A_1 \times \ldots \times A_n \times B$$

with each $R \to A_i$ surjective and no prime of $B$ lying over $\mathfrak{m}$.

Proof. First write $S = A_1 \times \ldots \times A_n \times B$ as in Lemma 148.5. Now we see that $R \to A_i$ is finite unramified and $A_i$ local. Hence the maximal ideal of $A_i$ is $\mathfrak{m}A_i$ and its residue field $A_i/\mathfrak{m}A_i$ is a finite separable extension of $\kappa$, see Lemma 147.9. However, the condition that $R$ is strictly henselian means that $\kappa$ is separably algebraically closed, so $\kappa = A_i/\mathfrak{m}A_i$. By Nakayama’s Lemma 19.1 we conclude that $R \to A_i$ is surjective as desired. □

04GM Lemma 148.9. Let $(R, \mathfrak{m}, \kappa)$ be a complete local ring, see Definition 154.1. Then $R$ is henselian.

Proof. Let $f \in R[T]$ be monic. Denote $f_n \in R/\mathfrak{m}^{n+1}[T]$ the image. Denote $f'_n$ the derivative of $f_n$ with respect to $T$. Let $a_0 \in \kappa$ be a simple root of $f_0$. We lift this to a solution of $f$ over $R$ inductively as follows: Suppose given $a_n \in R/\mathfrak{m}^{n+1}$ such that $a_n \mod \mathfrak{m} = a_0$ and $f_n(a_n) = 0$. Pick any element $b \in R/\mathfrak{m}^{n+2}$ such that $a_n = b \mod \mathfrak{m}^{n+1}$. Then $f_{n+1}(b) \in \mathfrak{m}^{n+1}/\mathfrak{m}^{n+2}$. Set

$$a_{n+1} = b - f_{n+1}(b)/f'_{n+1}(b)$$

(Newton’s method). This makes sense as $f'_{n+1}(b) \in R/\mathfrak{m}^{n+1}$ is invertible by the condition on $a_0$. Then we compute

$$f_{n+1}(a_{n+1}) = f_{n+1}(b) - f_{n+1}(b)/f'_{n+1}(b) = 0 \text{ in } R/\mathfrak{m}^{n+2}. $$

Since the system of elements $a_n \in R/\mathfrak{m}^{n+1}$ so constructed is compatible we get an element $a \in \lim R/\mathfrak{m}^n = R$ (here we use that $R$ is complete). Moreover, $f(a) = 0$ since it maps to zero in each $R/\mathfrak{m}^n$. Finally $\overline{a} = a_0$ and we win. □

06RS Lemma 148.10. Let $(R, \mathfrak{m})$ be a local ring of dimension 0. Then $R$ is henselian.

Proof. Let $R \to S$ be a finite ring map. By Lemma 148.3 it suffices to show that $S$ is a product of local rings. By Lemma 35.21 $S$ has finitely many primes $\mathfrak{m}_1, \ldots, \mathfrak{m}_r$ which all lie over $\mathfrak{m}$. There are no inclusions among these primes, see Lemma 35.20 hence they are all maximal. Every element of $\mathfrak{m}_1 \cap \ldots \cap \mathfrak{m}_r$ is nilpotent by Lemma 16.2. It follows $S$ is the product of the localizations of $S$ at the primes $\mathfrak{m}_i$ by Lemma 32.5.

The following lemma will be the key to the uniqueness and functorial properties of henselization and strict henselization.

08HQ Lemma 148.11. Let $R \to S$ be a ring map with $S$ henselian local. Given

1. an étale ring map $R \to A$,
2. a prime $\mathfrak{q}$ of $A$ lying over $\mathfrak{p} = R \cap \mathfrak{m}_S$,
3. a $\kappa(\mathfrak{p})$-algebra map $\tau : \kappa(\mathfrak{q}) \to S/\mathfrak{m}_S$,

then there exists a unique homomorphism of $R$-algebras $f : A \to S$ such that $\mathfrak{q} = f^{-1}(\mathfrak{m}_S)$ and $f \mod \mathfrak{q} = \tau$. □
**Proof.** Consider $A \otimes_R S$. This is an étale algebra over $S$, see Lemma 141.3 Moreover, the kernel

$$q' = \text{Ker}(A \otimes_R S \to \kappa(q) \otimes_{\kappa(p)} \kappa(m_S) \to \kappa(m_S))$$

of the map using the map given in (3) is a prime ideal lying over $m_S$ with residue field equal to the residue field of $S$. Hence by Lemma 148.3 there exists a unique splitting $\tau : A \otimes_R S \to S$ with $\tau^{-1}(m_S) = q'$. Set $f$ equal to the composition $A \to A \otimes_R S \to S$. □

**Lemma 148.12.** Let $\varphi : R \to S$ be a local homomorphism of strictly henselian local rings. Let $P_1, \ldots, P_n \in R[x_1, \ldots, x_n]$ be polynomials such that $R[x_1, \ldots, x_n]/(P_1, \ldots, P_n)$ is étale over $R$. Then the map

$$R^n \to S^n, \quad (h_1, \ldots, h_n) \mapsto (\varphi(h_1), \ldots, \varphi(h_n))$$

induces a bijection between

$$\{(r_1, \ldots, r_n) \in R^n \mid P_i(r_1, \ldots, r_n) = 0, \; i = 1, \ldots, n\}$$

and

$$\{(s_1, \ldots, s_n) \in S^n \mid P_i'(s_1, \ldots, s_n) = 0, \; i = 1, \ldots, n\}$$

where $P_i' \in S[x_1, \ldots, x_n]$ are the images of the $P_i$ under $\varphi$.

**Proof.** The first solution set is canonically isomorphic to the set

$$\text{Hom}_R(R[x_1, \ldots, x_n]/(P_1, \ldots, P_n), R).$$

As $R$ is henselian the map $R \to R/m_R$ induces a bijection between this set and the set of solutions in the residue field $R/m_R$, see Lemma 148.3. The same is true for $S$. Now since $R[x_1, \ldots, x_n]/(P_1, \ldots, P_n)$ is étale over $R$ and $R/m_R$ is separably algebraically closed we see that $R/m_R[x_1, \ldots, x_n]/(\overline{P_1}, \ldots, \overline{P_n})$ is a finite product of copies of $R/m_R$. Hence the tensor product

$$R/m_R[x_1, \ldots, x_n]/(\overline{P_1}, \ldots, \overline{P_n}) \otimes_{R/m_R} S/m_S = S/m_S[x_1, \ldots, x_n]/(\overline{P_1'}, \ldots, \overline{P_n'})$$

is also a finite product of copies of $S/m_S$ with the same index set. This proves the lemma. □

**Lemma 148.13.** Let $R$ be a henselian local ring. Any countably generated Mittag-Leffler module over $R$ is a direct sum of finitely presented $R$-modules.

**Proof.** Let $M$ be a countably generated and Mittag-Leffler $R$-module. We claim that for any element $x \in M$ there exists a direct sum decomposition $M = N \oplus K$ with $x \in N$, the module $N$ finitely presented, and $K$ Mittag-Leffler.

Suppose the claim is true. Choose generators $x_1, x_2, x_3, \ldots$ of $M$. By the claim we can inductively find direct sum decompositions

$$M = N_1 \oplus N_2 \oplus \cdots \oplus N_n \oplus K_n$$

with $N_i$ finitely presented, $x_1, \ldots, x_n \in N_1 \oplus \cdots \oplus N_n$, and $K_n$ Mittag-Leffler. Repeating ad infinitum we see that $M = \bigoplus N_i$.

We still have to prove the claim. Let $x \in M$. By Lemma 91.2 there exists an endomorphism $\alpha : M \to M$ such that $\alpha$ factors through a finitely presented module, and $\alpha(x) = x$. Say $\alpha$ factors as

$$M \xrightarrow{\pi} P \xrightarrow{i} M$$
Set $a = \pi \circ \alpha \circ i : P \to P$, so $i \circ \alpha \circ \pi = \alpha^3$. By Lemma 15.2 there exists a monic polynomial $P \in R[T]$ such that $P(a) = 0$. Note that this implies formally that $\alpha^2 P(\alpha) = 0$. Hence we may think of $M$ as a module over $R[T]/(T^2 P)$. Assume that $x \neq 0$. Then $\alpha(x) = x$ implies that $0 = \alpha^2 P(\alpha)x = P(1)x$ hence $P(1) = 0$ in $R/I$ where $I = \{ r \in R \mid rx = 0 \}$ is the annihilator of $x$. As $x \neq 0$ we see $I \subset m_R$, hence 1 is a root of $\overline{P} = P \mod m_R \in R/m_R[T]$. As $R$ is henselian we can find a factorization

$$T^2P = (T^2Q_1)Q_2$$

for some $Q_1, Q_2 \in R[T]$ with $Q_2 = (T - 1)^c \mod m_R R[T]$ and $Q_1(1) \neq 0 \mod m_R$, see Lemma 148.3. Let $N = \Im(\alpha^2Q_1(\alpha) : M \to M)$ and $K = \Im(\alpha\alpha^2Q_2(\alpha) : M \to M)$. As $T^2Q_1$ and $Q_2$ generate the unit ideal of $R[T]$ we get a direct sum decomposition $M = N \oplus K$. Moreover, $Q_2$ acts as zero on $N$ and $T^2Q_1$ acts as zero on $K$. Note that $N$ is a quotient of $P$ hence is finitely generated. Also $x \in N$ because $\alpha^2Q_1(\alpha)x = Q_1(1)x$ and $Q_1(1)$ is a unit in $R$. By Lemma 88.10 the modules $N$ and $K$ are Mittag-Leffler. Finally, the finitely generated module $N$ is finitely presented as a finitely generated Mittag-Leffler module is finitely presented, see Example 90.1 part (1).

### 149. Filtered colimits of étale ring maps

- **Lemma 149.1.** Let $R \to A$ and $R \to R'$ be ring maps. If $A$ is a filtered colimit of étale ring maps, then so is $R' \to R' \otimes_R A$.

**Proof.** This is true because colimits commute with tensor products and étale ring maps are preserved under base change (Lemma 141.3).

- **Lemma 149.2.** Let $A \to B \to C$ be ring maps. If $A \to B$ is a filtered colimit of étale ring maps and $B \to C$ is a filtered colimit of étale ring maps, then $A \to C$ is a filtered colimit of étale ring maps.

**Proof.** We will use the criterion of Lemma 126.4. Let $A \to P \to C$ be a factorization of $A \to C$ with $P$ of finite presentation over $A$. Write $B = \colim_{i \in I} B_i$ where $I$ is a directed set and where $B_i$ is an étale $A$-algebra. Write $C = \colim_{j \in J} C_j$ where $J$ is a directed set and where $C_j$ is an étale $B$-algebra. We can factor $P \to C$ as $P \to C_j \to C$ for some $j$ by Lemma 126.3. By Lemma 141.3 we can find an $i \in I$ and an étale ring map $B_i \to C_j'$ such that $C_j = B \otimes B_i C_j'$. Then $C_i = \colim_{n \geq 1} B_i \otimes B_i C_j'$ and again we see that $P \to C_i$ factors as $P \to B_i \otimes B_i C_j' \to C_i$. As $A \to C' = B \otimes B_i C_j'$ is étale as compositions and tensor products of étale ring maps are étale. Hence we have factored $P \to C$ as $P \to C' \to C$ with $C'$ étale over $A$ and the criterion of Lemma 126.4 applies.

- **Lemma 149.3.** Let $R$ be a ring. Let $A = \colim A_i$ be a filtered colimit of $R$-algebras such that each $A_i$ is a filtered colimit of étale $R$-algebras. Then $A$ is a filtered colimit of étale $R$-algebras.

**Proof.** Write $A_i = \colim_{j \in J_i} A_j$ where $J_i$ is a directed set and $A_j$ is an étale $R$-algebra. For each $i \leq i'$ and $j \in J_i$ there exists an $j' \in J_{i'}$ and an $R$-algebra map
\( \varphi_{j'j} : A_j \to A_{j'} \) making the diagram

\[
\begin{array}{ccc}
A_i & \longrightarrow & A_{i'} \\
\uparrow & & \uparrow \\
A_j & \varphi_{j'j} & A_{j'}
\end{array}
\]

commute. This is true because \( R \to A_j \) is of finite presentation so that Lemma 126.3 applies. Let \( J \) be the category with objects \( \coprod_{i \in I} J_i \) and morphisms triples \((j,j',\varphi_{j'j})\) as above (and obvious composition law). Then \( J \) is a filtered category and \( A = \text{colim}_J A_j \). Details omitted. \( \square \)

08HS Lemma 149.4. Let \( R \) be a ring. Let \( A \to B \) be an \( R \)-algebra homomorphism. If \( A \) and \( B \) are filtered colimits of étale \( R \)-algebras, then \( B \) is a filtered colimit of étale \( A \)-algebras.

Proof. Write \( A = \text{colim} A_i \) and \( B = \text{colim} B_j \) as filtered colimits with \( A_i \) and \( B_j \) étale over \( R \). For each \( i \) we can find a \( j \) such that \( A_i \to B \) factors through \( B_j \), see Lemma 126.3. The factorization \( A_i \to B_j \) is étale by Lemma 141.8. Since \( A \to A \otimes_A B_j \) is étale (Lemma 141.3) it suffices to prove that \( B = \text{colim} A \otimes_A B_j \) where the colimit is over pairs \((i,j)\) and factorizations \( A_i \to B_j \to B \) of \( A_i \to B \) (this is a directed system; details omitted). This is clear because colimits commute with tensor products and hence \( \text{colim} A \otimes_A B_j = A \otimes_A B_j = A \otimes_A B = B \). \( \square \)

08HR Lemma 149.5. Let \( R \to S \) be a ring map with \( S \) henselian local. Given

1. an \( R \)-algebra \( A \) which is a filtered colimit of étale \( R \)-algebras,
2. a prime \( q \) of \( A \) lying over \( p = R \cap m_S \),
3. a \( \kappa(p) \)-algebra map \( \tau : \kappa(q) \to S/m_S \),

then there exists a unique homomorphism of \( R \)-algebras \( f : A \to S \) such that \( q = f^{-1}(m_S) \) and \( f \mod q = \tau \).

Proof. Write \( A = \text{colim} A_i \) as a filtered colimit of étale \( R \)-algebras. Set \( q_i = A_i \cap q \). We obtain \( f_i : A_i \to S \) by applying Lemma 148.11. Set \( f = \text{colim} f_i \). \( \square \)

08HT Lemma 149.6. Let \( R \) be a ring. Given a commutative diagram of ring maps

\[
\begin{array}{ccc}
S & \longrightarrow & K \\
\uparrow & & \uparrow \\
R & \longrightarrow & S'
\end{array}
\]

where \( S, S' \) are henselian local, \( S, S' \) are filtered colimits of étale \( R \)-algebras, \( K \) is a field and the arrows \( S \to K \) and \( S' \to K \) identify \( K \) with the residue field of both \( S \) and \( S' \). Then there exists an unique \( R \)-algebra isomorphism \( S \to S' \) compatible with the maps to \( K \).

Proof. Follows immediately from Lemma 149.5 \( \square \)

The following lemma is not strictly speaking about colimits of étale ring maps.

04GI Lemma 149.7. A filtered colimit of henselian local rings along local homomorphisms is henselian.
In this section we construct the henselization. We encourage the reader to keep in mind the uniqueness already proved in Lemma 149.6 and the functorial behaviour pointed out in Lemma 149.5 while reading this material.

**Proof.** Categories, Lemma 21.5 says that this is really just a question about a colimit of henselian local rings over a directed set. Let \((R_i, \varphi_{ii'})\) be such a system with each \(\varphi_{ii'}\) local. Then \(R = \colim_i R_i\) is local, and its residue field \(\kappa\) is \(\colim \kappa_i\) (argument omitted). Suppose that \(f \in R[T]\) is monic and that \(a_0 \in \kappa\) is a simple root of \(\overline{f}\). Then for some large enough \(i\) there exists \(f_i \in R_i[T]\) mapping to \(f\) and an \(a_{0,i} \in \kappa_i\) mapping to \(a_0\). Since \(\overline{f_i}(a_{0,i}) \in \kappa_i\), resp. \(\overline{f_i}(a_{0,i}) \in \kappa_i\) maps to \(0 = \overline{f}(a_0) \in \kappa\), resp. \(0 \neq \overline{f}(a_0) \in \kappa\) we conclude that \(a_{0,i}\) is a simple root of \(\overline{f_i}\). As \(R_i\) is henselian we can find \(a_i \in R_i\) such that \(f_i(a_i) = 0\) and \(a_{0,i} = \overline{a_i}\). Then the image \(a \in R\) of \(a_i\) is the desired solution. Thus \(R\) is henselian. 

\[\square\]

150. Henselization and strict henselization

**Lemma 150.1.** Let \((R, m, \kappa)\) be a local ring. There exists a local ring map \(R \to R^h\) with the following properties

1. \(R^h\) is henselian,
2. \(R^h\) is a filtered colimit of étale \(R\)-algebras,
3. \(mR^h\) is the maximal ideal of \(R^h\), and
4. \(\kappa = R^h/mR^h\).

**Proof.** Consider the category of pairs \((S, q)\) where \(R \to S\) is an étale ring map, and \(q\) is a prime of \(S\) lying over \(m\) with \(\kappa = \kappa(q)\). A morphism of pairs \((S, q) \to (S', q')\) is given by an \(R\)-algebra map \(\varphi : S \to S'\) such that \(\varphi^{-1}(q') = q\). We set

\[R^h = \colim_{(S, q)} S.\]

Let us show that the category of pairs is filtered, see Categories, Definition 19.1. The category contains the pair \((R, m)\) and hence is not empty, which proves part (1) of Categories, Definition 19.1. For any pair \((S, q)\) the prime ideal \(q\) is maximal with residue field \(\kappa\) since the composition \(\kappa \to S/q \to \kappa(q)\) is an isomorphism. Suppose that \((S, q)\) and \((S', q')\) are two objects. Set \(S'' = S \otimes_R S'\) and \(q'' = qS'' + q'S''\). Then \(S''/q'' = S/q \otimes_R S'/q' = \kappa\) by what we said above. Moreover, \(R \to S''\) is étale by Lemma 141.3. This proves part (2) of Categories, Definition 19.1 Next, suppose that \(\varphi, \psi : (S, q) \to (S', q')\) are two morphisms of pairs. Then \(\varphi, \psi,\) and \(S' \otimes_R S' \to S'\) are étale ring maps by Lemma 141.8. Consider

\[
S'' = (S' \otimes_{\varphi, S, \psi} S') \otimes_{S' \otimes_R S'} S'
\]

with prime ideal

\[
q'' = (q' \otimes S' + S' \otimes q') \otimes S' + (S' \otimes_{\varphi, S, \psi} S') \otimes q'.
\]

Arguing as above (base change of étale maps is étale, composition of étale maps is étale) we see that \(S''\) is étale over \(R\). Moreover, the canonical map \(S' \to S''\) (using the right most factor for example) equalizes \(\varphi\) and \(\psi\). This proves part (3) of Categories, Definition 19.1. Hence we conclude that \(R^h\) consists of triples \((S, q, f)\) with \(f \in S\), and two such triples \((S, q, f), (S', q', f')\) define the same element of \(R^h\) if and only if there exists a pair \((S'', q'')\) and morphisms of pairs \(\varphi : (S, q) \to (S'', q'')\) and \(\varphi' : (S', q') \to (S'', q'')\) such that \(\varphi(f) = \varphi'(f')\).

Suppose that \(x \in R^h\). Represent \(x\) by a triple \((S, q, f)\). Let \(q_1, \ldots, q_r\) be the other primes of \(S\) lying over \(m\). Then we can find a \(g \in S, g \not\equiv q\) and \(g \in q_i\) for \(i = 1, \ldots, r,\)
see Lemma 14.2 Consider the morphism of pairs \((S, q) \to (S_g, qS_g)\). In this way we see that we may always assume that \(x\) is given by a triple \((S, q, f)\) where \(q\) is the only prime of \(S\) lying over \(m\), i.e., \(\sqrt{mS} = q\). But since \(R \to S\) is étale, we have \(mS_g = qS_g\), see Lemma 141.5. Hence we actually get that \(mS = q\).

Suppose that \(x \notin mR^h\). Represent \(x\) by a triple \((S, q, f)\) with \(mS = q\). Then \(f \notin mS\), i.e., \(f \notin q\). Hence \((S, q) \to (S_g, qS_g)\) is a morphism of pairs such that the image of \(f\) becomes invertible. Hence \(x\) is invertible with inverse represented by the triple \((S_f, qS_f, 1/f)\). We conclude that \(R^h\) is a local ring with maximal ideal \(mR^h\). The residue field is \(\kappa\) since we can define \(R^h/mR^h \to \kappa\) by mapping a triple \((S, q, f)\) to the residue class of \(f\) modulo \(q\).

We still have to show that \(R^h\) is henselian. Namely, suppose that \(P \in R^h[T]\) is a monic polynomial and \(a_0 \in \kappa\) is a simple root of the reduction \(\overline{P} \in \kappa[T]\). Then we can find a pair \((S, q)\) such that \(P\) is the image of a monic polynomial \(Q \in S[T]\). Since \(S \to R^h\) induces an isomorphism of residue fields we see that \(S' = S[T]/(Q)\) has a prime ideal \(q' = (q, T - a_0)\) at which \(S \to S'\) is standard étale. Moreover, \(\kappa = \kappa(q')\). Pick \(g \in S'\), \(g \notin q'\) such that \(S'' = S'_{g}\) is étale over \(S\). Then \((S, q) \to (S'', qS'')\) is a morphism of pairs. Now that triple \((S'', qS'', \text{class of } T)\) determines an element \(a \in R^h\) with the properties \(P(a) = 0\), and \(\overline{a} = a_0\) as desired.

**Lemma 150.2.** Let \((R, m, \kappa)\) be a local ring. Let \(\kappa \subset \kappa^{sep}\) be a separable algebraic closure. There exists a commutative diagram

\[
\begin{array}{ccc}
\kappa & \xrightarrow{\alpha} & \kappa^{sep} \\
\downarrow & & \downarrow \\
R & \xrightarrow{\bar{\alpha}} & R^h \\
\end{array}
\]

with the following properties

1. the map \(R^h \to R^{sh}\) is local
2. \(R^{sh}\) is strictly henselian,
3. \(R^{sh}\) is a filtered colimit of étale \(R\)-algebras,
4. \(mR^{sh}\) is the maximal ideal of \(R^{sh}\), and
5. \(\kappa^{sep} = R^{sh}/mR^{sh}\).

**Proof.** This is proved by exactly the same proof as used for Lemma 150.1. The only difference is that, instead of pairs, one uses triples \((S, q, \alpha)\) where \(\overline{R} \to S\) étale, \(q\) is a prime of \(S\) lying over \(m\), and \(\overline{\alpha} : \kappa(q) \to \kappa^{sep}\) is an embedding of extensions of \(\kappa\).

**Definition 150.3.** Let \((R, m, \kappa)\) be a local ring.

1. The local ring map \(R \to R^h\) constructed in Lemma 150.1 is called the henselization of \(R\).
2. Given a separable algebraic closure \(\kappa \subset \kappa^{sep}\) the local ring map \(R \to R^{sh}\) constructed in Lemma 150.2 is called the strict henselization of \(R\) with respect to \(\kappa \subset \kappa^{sep}\).
3. A local ring map \(R \to R^{sh}\) is called a strict henselization of \(R\) if it is isomorphic to one of the local ring maps constructed in Lemma 150.2.

The maps \(R \to R^h \to R^{sh}\) are flat local ring homomorphisms. By Lemma 149.6 the \(R\)-algebras \(R^h\) and \(R^{sh}\) are well defined up to unique isomorphism by the conditions...
that they are henselian local, filtered colimits of étale \( R \)-algebras with residue field \( \kappa \) and \( \kappa^{sep} \). In the rest of this section we mostly just discuss functoriality of the (strict) henselizations. We will discuss more intricate results concerning the relationship between \( R \) and its henselization in More on Algebra, Section 44.

**Remark 150.4.** We can also construct \( R^{sh} \) from \( R^h \). Namely, for any finite separable subextension \( \kappa \subset \kappa' \subset \kappa^{sep} \) there exists a unique (up to unique isomorphism) finite étale local ring extension \( R^h \subset R^h(\kappa') \) whose residue field extension reproduces the given extension, see Lemma 148.7. Hence we can set
\[
R^{sh} = \bigcup_{\kappa \subset \kappa' \subset \kappa^{sep}} R^h(\kappa')
\]
The arrows in this system, compatible with the arrows on the level of residue fields, exist by Lemma 148.7. This will produce a henselian local ring by Lemma 149.7 since each of the rings \( R^h(\kappa') \) is henselian by Lemma 148.4. By construction the residue field extension induced by \( R^h \rightarrow R^{sh} \) is the field extension \( \kappa \subset \kappa^{sep} \). Hence \( R^{sh} \) so constructed is strictly henselian. By Lemma 149.2 the \( R \)-algebra \( R^{sh} \) is a colimit of étale \( R \)-algebras. Hence the uniqueness of Lemma 149.6 shows that \( R^{sh} \) is the strict henselization.

**Lemma 150.5.** Let \( R \rightarrow S \) be a local map of local rings. Let \( S \rightarrow S^h \) be the henselization. Let \( R \rightarrow A \) be an étale ring map and let \( q \) be a prime of \( A \) lying over \( m_R \) such that \( R/m_R \cong \kappa(q) \). Then there exists a unique morphism of rings \( f : A \rightarrow S^h \) fitting into the commutative diagram
\[
\begin{array}{ccc}
A & \xrightarrow{f} & S^h \\
\uparrow & & \uparrow \\
R & \rightarrow & S
\end{array}
\]
such that \( f^{-1}(m_{S^h}) = q \).

**Proof.** This is a special case of Lemma 148.11. \( \square \)

**Lemma 150.6.** Let \( R \rightarrow S \) be a local map of local rings. Let \( R \rightarrow R^h \) and \( S \rightarrow S^h \) be the henselizations. There exists a unique local ring map \( R^h \rightarrow S^h \) fitting into the commutative diagram
\[
\begin{array}{ccc}
R^h & \xrightarrow{f} & S^h \\
\uparrow & & \uparrow \\
R & \rightarrow & S
\end{array}
\]

**Proof.** Follows immediately from Lemma 149.5. \( \square \)

Here is a slightly different construction of the henselization.

**Lemma 150.7.** Let \( R \) be a ring. Let \( p \subset R \) be a prime ideal. Consider the category of pairs \((S, q)\) where \( R \rightarrow S \) is étale and \( q \) is a prime lying over \( p \) such that \( \kappa(p) = \kappa(q) \). This category is filtered and
\[
(R^h_p)^h = \text{colim}_{(S, q)} S = \text{colim}_{(S, q)} S_q
\]
canonically.
Proof. A morphism of pairs $(S, q) \to (S', q')$ is given by an $R$-algebra map $\varphi : S \to S'$ such that $\varphi^{-1}(q') = q$. Let us show that the category of pairs is filtered, see Categories, Definition 19.1. The category contains the pair $(R, p)$ and hence is not empty, which proves part (1) of Categories, Definition 19.1. Suppose that $(S, q)$ and $(S', q')$ are two pairs. Note that $q$, resp. $q'$ correspond to primes of the fibre rings $S \otimes \kappa(p)$, resp. $S' \otimes \kappa(p)$ with residue fields $\kappa(p)$, hence they correspond to maximal ideals of $S \otimes \kappa(p)$, resp. $S' \otimes \kappa(p)$. Set $S'' = S \otimes_R S'$. By the above there exists a unique prime $q'' \subset S''$ lying over $q$ and over $q'$ whose residue field is $\kappa(p)$. The ring map $R \to S''$ is étale by Lemma 141.3. This proves part (2) of Categories, Definition 19.1. Next, suppose that $\varphi, \psi : (S, q) \to (S', q')$ are two morphisms of pairs. Then $\varphi, \psi$, and $S' \otimes_R S' \to S'$ are étale ring maps by Lemma 141.8. Consider

$$S'' = (S' \otimes_{\varphi, S, \psi} S') \otimes_{S' \otimes_R S'} S'$$

Arguing as above (base change of étale maps is étale, composition of étale maps is étale) we see that $S''$ is étale over $R$. The fibre ring of $S''$ over $p$ is

$$F'' = (F' \otimes_{\varphi, F, \psi} F') \otimes_{F' \otimes_{\varphi(p)} F'} F'$$

where $F', F$ are the fibre rings of $S'$ and $S$. Since $\varphi$ and $\psi$ are morphisms of pairs the map $F' \to \kappa(p)$ corresponding to $p'$ extends to a map $F'' \to \kappa(p)$ and in turn corresponds to a prime ideal $q'' \subset S''$ whose residue field is $\kappa(p)$. The canonical map $S' \to S''$ (using the right most factor for example) is a morphism of pairs $(S', q') \to (S'', q'')$ which equalizes $\varphi$ and $\psi$. This proves part (3) of Categories, Definition 19.1. Hence we conclude that the category is filtered.

Recall that in the proof of Lemma 150.1 we constructed $(R_p)^h$ as the corresponding colimit but starting with $R_p$ and its maximal ideal $pR_p$. Now, given any pair $(S, q)$ for $(R, p)$ we obtain a pair $(S_p, qS_p)$ for $(R_p, pR_p)$. Moreover, in this situation

$$S_p = \text{colim}_{f \in R, f \not\in p} S_f.$$
of Lemma 150.6 identifies $S_{q}^{h}$ with the localization of $R_{p}^{h} \otimes_{R_{p}} S_{q}$ at the prime generated by $q$.

**Proof.** Note that $R_{p}^{h} \otimes_{R} S$ is quasi-finite over $R_{p}^{h}$ at the prime ideal corresponding to $q$, see Lemma 121.6. Hence the localization $S'$ of $R_{p}^{h} \otimes_{R_{p}} S_{q}$ is henselian, see Lemma 148.4. As a localization $S'$ is a filtered colimit of étale $R_{p}^{h} \otimes_{R_{p}} S_{q}$-algebras. By Lemma 150.8 we see that $S_{q}^{h}$ is the henselization of $R_{p}^{h} \otimes_{R_{p}} S_{q}$ at the prime ideal generated by $q$. Thus $S' = S_{q}^{h}$ by the uniqueness result of Lemma 149.6. □

**Lemma 150.10.** Let $R$ be a local ring with henselization $R^{h}$. Let $I \subset m_{R}$. Then $R^{h}/IR^{h}$ is the henselization of $R/I$.

**Proof.** This is a special case of Lemma 150.9. □

**Lemma 150.11.** Let $\varphi : R \to S$ be a local map of local rings. Let $S/m_{S} \subset \kappa^{sep}$ be a separable algebraic closure. Let $S \to S^{sh}$ be the strict henselization of $S$ with respect to $S/m_{S} \subset \kappa^{sep}$. Let $R \to A$ be an étale ring map and let $q$ be a prime of $A$ lying over $m_{R}$. Given any commutative diagram

$$
\begin{align*}
\kappa(q) &\xrightarrow{\phi} \kappa^{sep} \\
R/m_{R} &\xrightarrow{\varphi} S/m_{S}
\end{align*}
$$

there exists a unique morphism of rings $f : A \to S^{sh}$ fitting into the commutative diagram

$$
\begin{align*}
A &\xrightarrow{f} S^{sh} \\
R &\xrightarrow{\varphi} S
\end{align*}
$$

such that $f^{-1}(m_{S^{sh}}) = q$ and the induced map $\kappa(q) \to \kappa^{sep}$ is the given one.

**Proof.** This is a special case of Lemma 148.11. □

**Lemma 150.12.** Let $R \to S$ be a local map of local rings. Choose separable algebraic closures $R/m_{R} \subset \kappa^{sep}_{1}$ and $S/m_{S} \subset \kappa^{sep}_{2}$. Let $R \to R^{sh}$ and $S \to S^{sh}$ be the corresponding strict henselizations. Given any commutative diagram

$$
\begin{align*}
\kappa_{1}^{sep} &\xrightarrow{\phi} \kappa_{2}^{sep} \\
R/m_{R} &\xrightarrow{\varphi} S/m_{S}
\end{align*}
$$

There exists a unique local ring map $R^{sh} \to S^{sh}$ fitting into the commutative diagram

$$
\begin{align*}
R^{sh} &\xrightarrow{f} S^{sh} \\
R &\xrightarrow{g} S
\end{align*}
$$

and inducing $\phi$ on the residue fields of $R^{sh}$ and $S^{sh}$.

**Proof.** Follows immediately from Lemma 149.5. □
Let $R$ be a ring. Let $\mathfrak{p} \subset R$ be a prime ideal. Let $\kappa(\mathfrak{p}) \subset \kappa^{\text{sep}}$ be a separable algebraic closure. Consider the category of triples $(S, q, \phi)$ where $R \to S$ is étale, $q$ is a prime lying over $\mathfrak{p}$, and $\phi : \kappa(q) \to \kappa^{\text{sep}}$ is a $\kappa(\mathfrak{p})$-algebra map. This category is filtered and

$$(R_p)^{\text{sh}} = \text{colim}(S, q, \phi) S = \text{colim}(S, q, \phi) S_q$$

canonically.

**Proof.** A morphism of triples $(S, q, \phi) \to (S', q', \phi')$ is given by an $R$-algebra map $\varphi : S \to S'$ such that $\varphi^{-1}(q') = q$ and such that $\phi' \circ \varphi = \phi$. Let us show that the category of pairs is filtered, see Categories, Definition 19.1. The category contains the triple $(R, p, \kappa(\mathfrak{p}) \subset \kappa^{\text{sep}})$ and hence is not empty, which proves part (1) of Categories, Definition 19.1. Suppose that $(S, q, \phi)$ and $(S', q', \phi')$ are two triples. Note that $q$, resp. $q'$ correspond to primes of the fibre rings $S \otimes \kappa(\mathfrak{p})$, resp. $S' \otimes \kappa(\mathfrak{p})$ with residue fields finite separable over $\kappa(\mathfrak{p})$ and $\phi$, resp. $\phi'$ correspond to maps into $\kappa^{\text{sep}}$. Hence this data corresponds to $\kappa(\mathfrak{p})$-algebra maps

$$\phi : S \otimes_R \kappa(\mathfrak{p}) \to \kappa^{\text{sep}}, \quad \phi' : S' \otimes_R \kappa(\mathfrak{p}) \to \kappa^{\text{sep}}.$$

Set $S'' = S \otimes_R S'$. Combining the maps the above we get a unique $\kappa(\mathfrak{p})$-algebra map

$$\phi'' = \phi \otimes \phi : S'' \otimes_R \kappa(\mathfrak{p}) \to \kappa^{\text{sep}}$$

whose kernel corresponds to a prime $q'' \subset S''$ lying over $q$ and over $q'$, and whose residue field maps via $\phi''$ to the compositum of $\phi(q(q))$ and $\phi'(q(q'))$ in $\kappa^{\text{sep}}$. The ring map $R \to S''$ is étale by Lemma 141.3. Hence $(S'', q'', \phi'')$ is a triple dominating both $(S, q, \phi)$ and $(S', q', \phi')$. This proves part (2) of Categories, Definition 19.1. Next, suppose that $\varphi, \psi : (S, q, \phi) \to (S', q', \phi')$ are two morphisms of pairs. Then $\varphi, \psi$, and $S' \otimes_R S'' \to S'$ are étale ring maps by Lemma 141.8. Consider

$$S'' = (S \otimes_{\varphi*} S, \psi S) \otimes_{S' \otimes_R S'} S'.$$

Arguing as above (base change of étale maps is étale, composition of étale maps is étale) we see that $S''$ is étale over $R$. The fibre ring of $S''$ over $p$ is

$$F'' = (F' \otimes_{\varphi*} F') \otimes_{F' \otimes_{\kappa(\mathfrak{p})} F'} F'.$$

where $F', F$ are the fibre rings of $S'$ and $S$. Since $\varphi$ and $\psi$ are morphisms of triples the map $\phi' : F' \to \kappa^{\text{sep}}$ extends to a map $\phi'' : F'' \to \kappa^{\text{sep}}$ which in turn corresponds to a prime ideal $q'' \subset S''$. The canonical map $S' \to S''$ (using the right most factor for example) is a morphism of triples $(S', q', \phi') \to (S'', q'', \phi'')$ which equals $\varphi$ and $\psi$. This proves part (3) of Categories, Definition 19.1. Hence we conclude that the category is filtered.

We still have to show that the colimit $R_{\text{colim}}$ of the system is equal to the strict henselization of $R_p$ with respect to $\kappa^{\text{sep}}$. To see this note that the system of triples $(S, q, \phi)$ contains as a subsystem the pairs $(S, q)$ of Lemma 150.7. Hence $R_{\text{colim}}$ contains $R_p^h$ by the result of that lemma. Moreover, it is clear that $R_p^h \subset R_{\text{colim}}$ is a directed colimit of étale ring extensions. It follows that $R_{\text{colim}}$ is henselian by Lemmas 148.4 and 149.7. Finally, by Lemma 141.15 we see that the residue field of $R_{\text{colim}}$ is equal to $\kappa^{\text{sep}}$. Hence we conclude that $R_{\text{colim}}$ is strictly henselian and hence equals the strict henselization of $R_p$ as desired. Some details omitted. \qed
Lemma 150.14. Let $R \to S$ be a ring map. Let $q \subset S$ be a prime lying over $p \subset R$. Choose separable algebraic closures $\kappa(p) \subset \kappa_1^{sep}$ and $\kappa(q) \subset \kappa_2^{sep}$. Let $R^\text{sh}$ and $S^\text{sh}$ be the corresponding strict henselizations of $R_p$ and $S_q$. Given any commutative diagram

\[
\begin{array}{c}
\kappa_1^{sep} \\ \\
\downarrow \varphi \\
\kappa(p) \\ \\
\uparrow \varphi \\
\kappa(q)
\end{array}
\]

The local ring map $R^\text{sh} \to S^\text{sh}$ of Lemma 150.13 identifies $S^\text{sh}$ with the strict henselization of $R^\text{sh} \otimes_R S$ at a prime lying over $m^\text{sh}$ and $q$.

**Proof.** The proof is identical to the proof of Lemma 150.8 except that it uses Lemma 150.13 instead of Lemma 150.7. $\square$

Lemma 150.15. Let $R \to S$ be a ring map. Let $q$ be a prime of $S$ lying over $p$ in $R$. Let $\kappa(q) \subset \kappa^{sep}$ be a separable algebraic closure. Assume $R \to S$ is quasi-finite at $q$. The commutative diagram

\[
\begin{array}{c}
R^\text{sh}_p \\ \\
\downarrow \\
R_p \\
S_q \\
\uparrow \\
S^\text{sh}_q
\end{array}
\]

of Lemma 150.13 identifies $S^\text{sh}_q$ with a localization of $R^\text{sh}_p \otimes_R S_q$.

**Proof.** The residue field of $R^\text{sh}_p$ is the separable algebraic closure of $\kappa(p)$ in $\kappa^{sep}$. Note that $R^\text{sh}_p \otimes_R S$ is quasi-finite over $R^\text{sh}_p$ at the prime ideal corresponding to $q$, see Lemma 121.6. Hence the localization $S'$ of $R^\text{sh}_p \otimes_R S_q$ is henselian, see Lemma 148.4. Note that the residue field of $S'$ is $\kappa^{sep}$ since it contains both the separable algebraic closure of $\kappa(p)$ and $\kappa(q)$. Furthermore, as a localization $S'$ is a filtered colimit of étale $R^\text{sh}_p \otimes_R S_q$-algebras. By Lemma 150.14 we see that $S^\text{sh}_q$ is a strict henselization of $R^\text{sh}_p \otimes_R S_q$. Thus $S' = S^\text{sh}_q$ by the uniqueness result of Lemma 149.6. $\square$

Lemma 150.16. Let $R$ be a local ring with strict henselization $R^\text{sh}$. Let $I \subset m_R$. Then $R^\text{sh}/IR^\text{sh}$ is a strict henselization of $R/I$.

**Proof.** This is a special case of Lemma 150.15. $\square$

Lemma 150.17. Let $R \to S$ be a ring map. Let $q \subset S$ be a prime lying over $p \subset R$ such that $\kappa(p) \to \kappa(q)$ is an isomorphism. Choose a separable algebraic closure $\kappa^{sep}$ of $\kappa(p) = \kappa(q)$. Then

\[(S_q)^{sh} = (S_q)^{sh} \otimes_{(R_p)^{sh}} (R_p)^{sh}\]

**Proof.** This follows from the alternative construction of the strict henselization of a local ring in Remark 150.4 and the fact that the residue fields are equal. Some details omitted. $\square$
151. Serre’s criterion for normality

031O We introduce the following properties of Noetherian rings.

031P **Definition 151.1.** Let $R$ be a Noetherian ring. Let $k \geq 0$ be an integer.

1. We say $R$ has property $(R_k)$ if for every prime $p$ of height $\leq k$ the local ring $R_p$ is regular. We also say that $R$ is regular in codimension $\leq k$.
2. We say $R$ has property $(S_k)$ if for every prime $p$ the local ring $R_p$ has depth at least $\min\{k, \dim(R_p)\}$.
3. Let $M$ be a finite $R$-module. We say $M$ has property $(S_k)$ if for every prime $p$ the module $M_p$ has depth at least $\min\{k, \dim(\text{Supp}(M_p))\}$.

Any Noetherian ring has property $(S_0)$ (and so does any finite module over it). Our convention that $\dim(\emptyset) = -\infty$ guarantees that the zero module has property $(S_k)$ for all $k$.

031Q **Lemma 151.2.** Let $R$ be a Noetherian ring. Let $M$ be a finite $R$-module. The following are equivalent:

1. $M$ has no embedded associated prime, and
2. $M$ has property $(S_1)$.

**Proof.** Let $p$ be an embedded associated prime of $M$. Then there exists another associated prime $q$ of $M$ such that $p \supset q$. In particular this implies that $\dim(\text{Supp}(M_p)) \geq 1$ (since $q$ is in the support as well). On the other hand $p R_p$ is associated to $M_p$ (Lemma 62.15) and hence $\text{depth}(M_p) = 0$ (see Lemma 62.18). In other words $(S_1)$ does not hold. Conversely, if $(S_1)$ does not hold then there exists a prime $p$ such that $\dim(\text{Supp}(M_p)) \geq 1$ and $\text{depth}(M_p) = 0$. Then we see (arguing backwards using the lemmas cited above) that $p$ is an embedded associated prime. □

031R **Lemma 151.3.** Let $R$ be a Noetherian ring. The following are equivalent:

1. $R$ is reduced, and
2. $R$ has properties $(R_0)$ and $(S_1)$.

**Proof.** Suppose that $R$ is reduced. Then $R_p$ is a field for every minimal prime $p$ of $R$, according to Lemma 24.1. Hence we have $(R_0)$. Let $p$ be a prime of height $\geq 1$. Then $A = R_p$ is a reduced local ring of dimension $\geq 1$. Hence its maximal ideal $m$ is not an associated prime since this would mean there exists a $x \in m$ with annihilator $m$ so $x^2 = 0$. Hence the depth of $A = R_p$ is at least one, by Lemma 62.9. This shows that $(S_1)$ holds.

Conversely, assume that $R$ satisfies $(R_0)$ and $(S_1)$. If $p$ is a minimal prime of $R$, then $R_p$ is a field by $(R_0)$, and hence is reduced. If $p$ is not minimal, then we see that $R_p$ has depth $\geq 1$ by $(S_1)$ and we conclude there exists an element $t \in p R_p$ such that $R_p \to R_p[1/t]$ is injective. This implies that $R_p$ is a subring of localizations of $R$ at primes of smaller height. Thus by induction on the height we conclude that $R$ is reduced. □

031S **Lemma 151.4** (Serre’s criterion for normality). Let $R$ be a Noetherian ring. The following are equivalent:

1. $R$ is a normal ring, and
2. $R$ has properties $(R_1)$ and $(S_2)$.

[DG67 IV, Theorem 5.8.6]
Let $R$ be a local Noetherian normal domain with maximal ideal $m$ and dimension $d \geq 2$. Apply Lemma 118.2 to $R$. It is clear that $R$ does not fall into cases (1) or (2) of the lemma. Let $R \to R'$ as in (4) of the lemma. Since $R$ is a domain we have $R \subseteq R'$. Since $m$ is not an associated prime of $R'$ there exists an $x \in m$ which is a nonzerodivisor on $R'$. Then $R_x = R'_x$ so $R$ and $R'$ are domains with the same fraction field. But finiteness of $R \subseteq R'$ implies every element of $R'$ is integral over $R$ (Lemma 35.3) and we conclude that $R = R'$ as $R$ is normal. This means (4) does not happen. Thus we get the remaining possibility (3), i.e., $\text{depth}(R) \geq 2$ as desired.

Proof of (2) $\Rightarrow$ (1). Assume $R$ satisfies $(R_1)$ and $(S_2)$. By Lemma 151.3 we conclude that $R$ is reduced. Hence it suffices to show that if $R$ is a reduced local Noetherian ring of dimension $d$ satisfying $(S_2)$ and $(R_1)$ then $R$ is a normal domain. If $d = 0$, the result is clear. If $d = 1$, then the result follows from Lemma 118.7.

Let $R$ be a reduced local Noetherian ring with maximal ideal $m$ and dimension $d \geq 2$ which satisfies $(R_1)$ and $(S_2)$. By Lemma 36.16 it suffices to show that $R$ is integrally closed in its total ring of fractions $Q(R)$. Pick $x \in Q(R)$ which is integral over $R$. Then $R' = R[x]$ is a finite ring extension of $R$ (Lemma 35.5). Because $\dim(R_p) < d$ for every nonmaximal prime $p \subseteq R$ we have $R_p = R'_p$ by induction. Hence the support of $R'/R$ is $\{m\}$. It follows that $R'/R$ is annihilated by a power of $m$ (Lemma 61.4). By Lemma 118.2 this contradicts the assumption that the depth of $R$ is $\geq 2 = \min(2, d)$ and the proof is complete. $\square$
Thus, given $b \in R$ we have $b \in aR$ if and only if $b \in aR_p$ for every minimal prime $p$ over $(a)$ (see Lemma 52.19). These primes all have height 1 as seen above so $b/a \in R$ if and only if $b/a \in R_p$ for all height 1 primes. Hence (2) holds.

For (3) write $x = a/b$. Let $p_1, \ldots, p_r$ be the minimal primes over $(ab)$. These all have height 1 by the above. Then we see that $R \cap xR = \bigcap_{i=1}^r (R \cap xR_{p_i})$ by part (2) of the lemma. Hence $R/(R \cap xR)$ is a submodule of $\bigoplus_{i} R/(R \cap xR_{p_i})$. As $R_p$ is a discrete valuation ring (by property $(R_1)$ for the Noetherian normal domain $R$, see Lemma 151.4) we have $xR_{p_i} = p_i^{e_i}R_{p_i}$, for some $e_i \in \mathbb{Z}$. Hence the direct sum is equal to $\bigoplus_{e_i > 0} R/p_i^{(e_i)}$, see Definition 63.1. By Lemma 63.2 the only associated prime of the module $R/p^{(n)}$ is $p$. Hence the set of associate primes of $R/(R \cap xR)$ is a subset of $\{ p_i \}$ and there are no inclusion relations among them. This proves (3).

\[ \square \]

152. Formal smoothness of fields

031U In this section we show that field extensions are formally smooth if and only if they are separable. However, we first prove finitely generated field extensions are separable algebraic if and only if they are formally unramified.

090W \textbf{Lemma 152.1.} Let $k \subset K$ be a finitely generated field extension. The following are equivalent:

(1) $K$ is a finite separable field extension of $k$,
(2) $\Omega_{K/k} = 0$,
(3) $K$ is formally unramified over $k$,
(4) $K$ is unramified over $k$,
(5) $K$ is formally étale over $k$,
(6) $K$ is étale over $k$.

\textbf{Proof.} The equivalence of (2) and (3) is Lemma 144.2. By Lemma 141.4 we see that (1) is equivalent to (6). Property (6) implies (5) and (4) which both in turn imply (3) (Lemmas 146.2, 147.3, and 147.2). Thus it suffices to show that (2) implies (1). Choose a finitely generated $k$-subalgebra $A \subset K$ such that $K$ is the fraction field of the domain $A$. Set $S = A \setminus \{0\}$. Since $0 = \Omega_{K/k} = S^{-1}\Omega_{A/k}$ (Lemma 130.8), and since $\Omega_{A/k}$ is finitely generated (Lemma 130.16), we can replace $A$ by a localization $A_T$ to reduce to the case that $\Omega_{A/k} = 0$ (details omitted). Then $A$ is unramified over $k$, hence $K/k$ is finite separable for example by Lemma 147.5 applied with $q = (0)$.

\[ \square \]

031W \textbf{Lemma 152.2.} Let $k$ be a perfect field of characteristic $p > 0$. Let $K/k$ be an extension. Let $a \in K$. Then $da = 0$ in $\Omega_{K/k}$ if and only if $a$ is a $p$th power.

\textbf{Proof.} By Lemma 130.4 we see that there exists a subfield $k \subset L \subset K$ such that $k \subset L$ is a finitely generated field extension and such that $d\alpha$ is zero in $\Omega_{L/k}$. Hence we may assume that $K$ is a finitely generated field extension of $k$.

Choose a transcendence basis $x_1, \ldots, x_r \in K$ such that $K$ is finite separable over $k(x_1, \ldots, x_r)$. This is possible by the definitions, see Definitions 44.1 and 41.1. We remark that the result holds for the purely transcendental subfield $k(x_1, \ldots, x_r) \subset K$. Namely,

$$\Omega_{k(x_1, \ldots, x_r)/k} = \bigoplus_{i=1}^r k(x_1, \ldots, x_r)dx_i$$
and any rational function all of whose partial derivatives are zero is a $p$th power. Moreover, we also have

$$\Omega_{K/k} = \bigoplus_{i=1}^r K dx_i$$

since $k(x_1, \ldots, x_r) \subset K$ is finite separable (computation omitted). Suppose $a \in K$ is an element such that $da = 0$ in the module of differentials. By our choice of $x_i$ we see that the minimal polynomial $P(T) \in k(x_1, \ldots, x_r)[T]$ of $a$ is separable. Write

$$P(T) = T^d + \sum_{i=1}^d a_i T^{d-i}$$

and hence

$$0 = dP(a) = \sum_{i=1}^d a_i^{d-i} da_i$$

in $\Omega_{K/k}$. By the description of $\Omega_{K/k}$ above and the fact that $P$ was the minimal polynomial of $a$, we see that this implies $da_i = 0$. Hence $a_i = b_i^p$ for each $i$. Therefore by Fields, Lemma 28.2 we see that $a$ is a $p$th power. \hfill \Box

**Lemma 152.3.** Let $k$ be a field of characteristic $p > 0$. Let $a_1, \ldots, a_n \in k$ be elements such that $da_1, \ldots, da_n$ are linearly independent in $\Omega_{k/F_p}$. Then the field extension $k(a_1^{1/p}, \ldots, a_n^{1/p})$ has degree $p^n$ over $k$.

**Proof.** By induction on $n$. If $n = 1$ the result is Lemma 152.2. For the induction step, suppose that $k(a_1^{1/p}, \ldots, a_{n-1}^{1/p})$ has degree $p^{n-1}$ over $k$. We have to show that $a_n$ does not map to a $p$th power in $k(a_1^{1/p}, \ldots, a_{n-1}^{1/p})$. If it does then we can write

$$a_n = \left( \sum_{I=(i_1, \ldots, i_{n-1}), \ 0 \leq i_j \leq p-1} \lambda_I a_1^{i_1/p} \cdots a_{n-1}^{i_{n-1}/p} \right)^p$$

$$= \sum_{I=(i_1, \ldots, i_{n-1}), \ 0 \leq i_j \leq p-1} \lambda_I^{p} a_1^{i_1} \cdots a_{n-1}^{i_{n-1}}$$

Applying $d$ we see that $da_n$ is linearly dependent on $da_i$, $i < n$. This is a contradiction. \hfill \Box

**Lemma 152.4.** Let $k$ be a field of characteristic $p > 0$. The following are equivalent:

1. the field extension $K/k$ is separable (see Definition 41.1), and
2. the map $K \otimes_k \Omega_{k/F_p} \to \Omega_{K/F_p}$ is injective.

**Proof.** Write $K$ as a directed colimit $K = \text{colim}_i K_i$ of finitely generated field extensions $k \subset K_i$. By definition $K$ is separable if and only if each $K_i$ is separable over $k$, and by Lemma 130.4 we see that $K \otimes_k \Omega_{k/F_p} \to \Omega_{K/F_p}$ is injective if and only if each $K_i \otimes_k \Omega_{k/F_p} \to \Omega_{K_i/F_p}$ is injective. Hence we may assume that $K/k$ is a finitely generated field extension.

Assume $k \subset K$ is a finitely generated field extension which is separable. Choose $x_1, \ldots, x_r+1 \in K$ as in Lemma 41.3. In this case there exists an irreducible polynomial $G(X_1, \ldots, X_{r+1}) \in k[X_1, \ldots, X_{r+1}]$ such that $G(x_1, \ldots, x_{r+1}) = 0$ and such that $\partial G/\partial x_{r+1}$ is not identically zero. Moreover $K$ is the field of fractions of the domain. $S = K[X_1, \ldots, X_{r+1}]/(G)$. Write

$$G = \sum a_I X^I, \quad X^I = X_1^{i_1} \cdots X_{r+1}^{i_{r+1}}.$$
Using the presentation of $S$ above we see that
\[ \Omega_{S/F_p} = \frac{S \otimes_k \Omega_k \oplus \bigoplus_{i=1,\ldots,r+1} SdX_i}{(\sum X^i da_i + \sum \partial G/\partial X_i dX_i)} \]
Since $\Omega_{K/F_p}$ is the localization of the $S$-module $\Omega_{S/F_p}$ (see Lemma 130.8) we conclude that
\[ \Omega_{K/F_p} = \frac{K \otimes_k \Omega_k \oplus \bigoplus_{i=1,\ldots,r+1} KdX_i}{(\sum X^i da_i + \sum \partial G/\partial X_i dX_i)} \]
Now, since the polynomial $\partial G/\partial X_{r+1}$ is not identically zero we conclude that the map $K \otimes_k \Omega_{k/F_p} \to \Omega_{S/F_p}$ is injective as desired.

Assume $k \subset K$ is a finitely generated field extension and that $K \otimes_k \Omega_{k/F_p} \to \Omega_{K/F_p}$ is injective. (This part of the proof is the same as the argument proving Lemma 43.1) Let $x_1,\ldots,x_r$ be a transcendence basis of $K$ over $k$ such that the degree of inseparability of the finite extension $k(x_1,\ldots,x_r) \subset K$ is minimal. If $K$ is separable over $k(x_1,\ldots,x_r)$ then we win. Assume this is not the case to get a contradiction. Then there exists an element $\alpha \in K$ which is not separable over $k(x_1,\ldots,x_r)$. Let $P(T) \in k[x_1,\ldots,x_r][T]$ be its minimal polynomial. Because $\alpha$ is not separable actually $P$ is a polynomial in $T^p$. Clear denominators to get an irreducible polynomial
\[ G(X_1,\ldots,X_r,T) = \sum a_{I,i} X^i T^i \in k[X_1,\ldots,X_r,T] \]
such that $G(x_1,\ldots,x_r,\alpha) = 0$ in $L$. Note that this means $k[X_1,\ldots,X_r,T]/(G) \subset L$. We may assume that for some pair $(I_0,i_0)$ the coefficient $a_{I_0,i_0} = 1$. We claim that $dG/dX_i$ is not identically zero for at least one $i$. Namely, if this is not the case, then $G$ is actually a polynomial in $X_1^p,\ldots,X_r^p,T^p$. Then this means that
\[ \sum_{(I,i) \neq (I_0,i_0)} x^i \alpha^i da_{I,i} \]
is zero in $\Omega_{K/F_p}$. Note that there is no $k$-linear relation among the elements
\[ \{ x^i \alpha^j | a_{I,i} \neq 0 \text{ and } (I,i) \neq (I_0,i_0) \} \]
of $K$. Hence the assumption that $K \otimes_k \Omega_{k/F_p} \to \Omega_{K/F_p}$ is injective implies that $da_{I,i} = 0$ in $\Omega_{k/F_p}$ for all $(I,i)$. By Lemma 152.2 we see that each $a_{I,i}$ is a $p$th power, which implies that $G$ is a $p$th power contradicting the irreducibility of $G$. Thus, after renumbering, we may assume that $dG/dX_1$ is not zero. Then we see that $x_1$ is separably algebraic over $k(x_2,\ldots,x_r,\alpha)$, and that $x_2,\ldots,x_r,\alpha$ is a transcendence basis of $L$ over $k$. This means that the degree of inseparability of the finite extension $k(x_2,\ldots,x_r,\alpha) \subset L$ is less than the degree of inseparability of the finite extension $k(x_1,\ldots,x_r) \subset L$, which is a contradiction. \( \square \)

**Lemma 152.5.** Let $k \subset K$ be an extension of fields. If $K$ is formally smooth over $k$, then $K$ is a separable extension of $k$.

**Proof.** Assume $K$ is formally smooth over $k$. By Lemma 136.9 we see that $K \otimes_k \Omega_{k/Z} \to \Omega_{K/Z}$ is injective. Hence $K$ is separable over $k$ by Lemma 152.4. \( \square \)

**Lemma 152.6.** Let $k \subset K$ be an extension of fields. Then $K$ is formally smooth over $k$ if and only if $H_1(L_{K/k}) = 0$.

**Proof.** This follows from Proposition 136.8 and the fact that a vector spaces is free (hence projective). \( \square \)
Lemma 152.7. Let $k \subset K$ be an extension of fields.

(1) If $K$ is purely transcendental over $k$, then $K$ is formally smooth over $k$.
(2) If $K$ is separable algebraic over $k$, then $K$ is formally smooth over $k$.
(3) If $K$ is separable over $k$, then $K$ is formally smooth over $k$.

Proof. For (1) write $K = k(x_j; j \in J)$. Suppose that $A$ is a $k$-algebra, and $I \subset A$ is an ideal of square zero. Let $\varphi : K \to A/I$ be a $k$-algebra map. Let $a_j \in A$ be an element such that $a_j \mod I = \varphi(x_j)$. Then it is easy to see that there is a unique $k$-algebra map $K \to A$ which maps $x_j$ to $a_j$ and which reduces to $\varphi \mod I$. Hence $k \subset K$ is formally smooth.

In case (2) we see that $k \subset K$ is a colimit of étale ring extensions. An étale ring map is formally étale (Lemma 146.2). Hence this case follows from Lemma 146.3 and the trivial observation that a formally étale ring map is formally smooth.

In case (3), write $K = \colim K_i$ as the filtered colimit of its finitely generated sub $k$-extensions. By Definition 41.1 each $K_i$ is separable algebraic over a purely transcendental extension of $k$. Hence $K_i/k$ is formally smooth by cases (1) and (2) and Lemma 136.3. Thus $H_1(L_{K_i/k}) = 0$ by Lemma 152.6. Hence $H_1(L_{K/k}) = 0$ by Lemma 132.9. Hence $K/k$ is formally smooth by Lemma 152.6 again.

Lemma 152.8. Let $k$ be a field.

(1) If the characteristic of $k$ is zero, then any extension field of $k$ is formally smooth over $k$.
(2) If the characteristic of $k$ is $p > 0$, then $k \subset K$ is formally smooth if and only if it is a separable field extension.

Proof. Combine Lemmas 152.5 and 152.7.

Here we put together all the different characterizations of separable field extensions.

Proposition 152.9. Let $k \subset K$ be a field extension. If the characteristic of $k$ is zero then

(1) $K$ is separable over $k$,
(2) $K$ is geometrically reduced over $k$,
(3) $K$ is formally smooth over $k$,
(4) $H_1(L_{K/k}) = 0$, and
(5) the map $K \otimes_k \Omega_{k/\mathbb{Z}} \to \Omega_{K/\mathbb{Z}}$ is injective.

If the characteristic of $k$ is $p > 0$, then the following are equivalent:

(1) $K$ is separable over $k$,
(2) the ring $K \otimes_k k^{1/p}$ is reduced,
(3) $K$ is geometrically reduced over $k$,
(4) the map $K \otimes_k \Omega_{k/F_p} \to \Omega_{K/F_p}$ is injective,
(5) $H_1(L_{K/k}) = 0$, and
(6) $K$ is formally smooth over $k$.

Proof. This is a combination of Lemmas 13.1, 152.8, 152.5 and 152.4.

Here is yet another characterization of finitely generated separable field extensions.

Lemma 152.10. Let $k \subset K$ be a finitely generated field extension. Then $K$ is separable over $k$ if and only if $K$ is the localization of a smooth $k$-algebra.
Choose a finite type $k$-algebra $R$ which is a domain whose fraction field is $K$. Lemma 138.9 says that $k \to R$ is smooth at $(0)$ if and only if $K/k$ is separable. This proves the lemma. □

**Lemma 152.11.** Let $k \subset K$ be a field extension. Then $K$ is a filtered colimit of global complete intersection algebras over $k$. If $K/k$ is separable, then $K$ is a filtered colimit of smooth algebras over $k$.

**Proof.** Suppose that $E \subset K$ is a finite subset. It suffices to show that there exists a $k$ subalgebra $A \subset K$ which contains $E$ and which is a global complete intersection (resp. smooth) over $k$. The separable/smooth case follows from Lemma 152.10. In general let $L \subset K$ be the subfield generated by $E$. Pick a transcendence basis $x_1, \ldots, x_d \in L$ over $k$. The extension $k(x_1, \ldots, x_d) \subset L$ is finite. Say $L = k(x_1, \ldots, x_d)[y_1, \ldots, y_r]$. Pick inductively polynomials $P_i \in k(x_1, \ldots, x_d)[Y_1, \ldots, Y_r]$ such that $P_i = P_i(Y_1, \ldots, Y_i)$ is monic in $Y_i$ over $k(x_1, \ldots, x_d)[Y_1, \ldots, Y_{i-1}]$ and maps to the minimum polynomial of $y_i$ in $k(x_1, \ldots, x_d)[y_1, \ldots, y_{i-1}][Y_i]$. Then it is clear that $P_1, \ldots, P_r$ is a regular sequence in $k(x_1, \ldots, x_r)[Y_1, \ldots, Y_r]$ and that $L = k(x_1, \ldots, x_r)[Y_1, \ldots, Y_r]/(P_1, \ldots, P_r)$. If $h \in k[x_1, \ldots, x_d]$ is a polynomial such that $P_i \in k[x_1, \ldots, x_d, 1/h, Y_1, \ldots, Y_r]$, then we see that $P_1, \ldots, P_r$ is a regular sequence in $k[x_1, \ldots, x_d, 1/h, Y_1, \ldots, Y_r]$ and $A = k[x_1, \ldots, x_d, 1/h, Y_1, \ldots, Y_r]/(P_1, \ldots, P_r)$ is a global complete intersection. After adjusting our choice of $h$ we may assume $E \subset A$ and we win. □

153. Constructing flat ring maps

**Lemma 153.1.** Let $(R, m, k)$ be a local ring. Let $k \subset K$ be a field extension. There exists a local ring $(R', m', k')$, a flat local ring map $R \to R'$ such that $m' = mR'$ and such that $k \subset k'$ is isomorphic to $k \subset K$.

**Proof.** Suppose that $k \subset k' = k(\alpha)$ is a monogenic extension of fields. Then $k'$ is the residue field of a flat local extension $R \subset R'$ as in the lemma. Namely, if $\alpha$ is transcendental over $k$, then we let $R'$ be the localization of $R[x]$ at the prime $mR[x]$. If $\alpha$ is algebraic with minimal polynomial $T^d + \sum \lambda_i T^{d-i}$, then we let $R' = R[T]/(T^d + \sum \lambda_i T^{d-i})$.

Consider the collection of triples $(k', R \to R', \phi)$, where $k \subset k' \subset K$ is a subfield, $R \to R'$ is a local ring map as in the lemma, and $\phi : R' \to k'$ induces an isomorphism $R'/mR' \cong k'$ of $k$-extensions. These form a "big" category $C$ with morphisms $(k_1, R_1, \phi_1) \to (k_2, R_2, \phi_2)$ given by ring maps $\psi : R_1 \to R_2$ such that

$$
\begin{array}{ccc}
R_1 & \xrightarrow{\psi} & k_1 & \xrightarrow{\phi_1} & K \\
| & | & \downarrow & & \\
R_2 & \xrightarrow{\phi_2} & k_2 & \xrightarrow{\psi} & K
\end{array}
$$

commutes. This implies that $k_1 \subset k_2$.

Suppose that $I$ is a directed set, and $((R_i, k_i, \phi_i), \psi_{ii'})$ is a system over $I$, see Categories, Section 21. In this case we can consider

$$
R' = \text{colim}_{i \in I} R_i
$$
This is a local ring with maximal ideal \( \mathfrak{m}R' \), and residue field \( k' = \bigcup_{i \in I} k_i \). Moreover, the ring map \( R \to R' \) is flat as it is a colimit of flat maps (and tensor products commute with directed colimits). Hence we see that \( (R', k', \phi') \) is an “upper bound” for the system.

An almost trivial application of Zorn’s Lemma would finish the proof if \( C \) was a set, but it isn’t. (Actually, you can make this work by finding a reasonable bound on the cardinals of the local rings occurring.) To get around this problem we choose a well ordering on \( K \). For \( x \in K \) we let \( K(x) \) be the subfield of \( K \) generated by all elements of \( K \) which are \( \leq x \). By transfinite induction on \( x \in K \) we will produce ring maps \( R \subset R(x) \) as in the lemma with residue field extension \( k \subset K(x) \). Moreover, by construction we will have that \( R(x) \) will contain \( R(y) \) for all \( y \leq x \). Namely, if \( x \) has a predecessor \( x' \), then \( K(x') = K(x')[x] \) and hence we can let \( R(x') \subset R(x) \) be the local ring extension constructed in the first paragraph of the proof. If \( x \) does not have a predecessor, then we first set \( R'(x) = \text{colim}_{x' < x} R(x') \) as in the third paragraph of the proof. The residue field of \( R'(x) \) is \( K'(x) = \bigcup_{x' < x} K(x') \). Since \( K(x) = K'(x)[x] \) we see that we can use the construction of the first paragraph of the proof to produce \( R'(x) \subset R(x) \). This finishes the proof of the lemma. \( \square \)

**Lemma 153.2.** Let \( (R, \mathfrak{m}, k) \) be a local ring. If \( k \subset K \) is a separable algebraic extension, then there exists a directed set \( I \) and a system of finite étale extensions \( R \subset R_i, i \in I \) of local rings such that \( R' = \text{colim} R_i \) has residue field \( K \) (as extension of \( k \)).

**Proof.** Let \( R \subset R' \) be the extension constructed in the proof of Lemma 153.1. By construction \( R' = \text{colim}_{a \in A} R_a \) where \( A \) is a well-ordered set and the transition maps \( R_a \to R_{a+1} \) are finite étale and \( R_a = \text{colim}_{\beta < a} R_\beta \) if \( a \) is not a successor. We will prove the result by transfinite induction.

Suppose the result holds for \( R_a \), i.e., \( R_a = \text{colim} R_i \) with \( R_i \) finite étale over \( R \). Since \( R_a \to R_{a+1} \) is finite étale there exists an \( i \) and a finite étale extension \( R_i \to R_{i+1} \) such that \( R_{a+1} = R_a \otimes_R R_{i+1} \). Thus \( R_{a+1} = \text{colim}_{i \geq i} R_i \otimes_R R_{i+1} \) and the result holds for \( a + 1 \). Suppose \( a \) is not a successor and the result holds for \( R_\beta \) for all \( \beta < a \). Since every finite subset \( E \subset R_a \) is contained in \( R_\beta \) for some \( \beta < a \) and we see that \( E \) is contained in a finite étale subextension by assumption. Thus the result holds for \( R_a \). \( \square \)

**Lemma 153.3.** Let \( R \) be a ring. Let \( p \subset R \) be a prime and let \( \kappa(p) \subset L \) be a finite extension of fields. Then there exists a finite free ring map \( R \to S \) such that \( q = pS \) is prime and \( \kappa(p) \subset \kappa(q) \) is isomorphic to the given extension \( \kappa(p) \subset L \).

**Proof.** By induction of the degree of \( \kappa(p) \subset L \). If the degree is 1, then we take \( R = S \). In general, if there exists a sub extension \( \kappa(p) \subset L' \subset L \) then we win by induction on the degree (by first constructing \( R \subset S' \) corresponding to \( L'/\kappa(p) \) and then construction \( S' \subset S \) corresponding to \( L/L' \)). Thus we may assume that \( L \supset \kappa(p) \) is generated by a single element \( \alpha \in L \). Let \( X^d + \sum_{i < d} a_i X^i \) be the minimal polynomial of \( \alpha \) over \( \kappa(p) \), so \( a_i \in \kappa(p) \). We may write \( a_i \) as the image of \( f_i/g \) for some \( f_i, g \in R \) and \( g \not\in p \). After replacing \( \alpha \) by \( g \alpha \) (and correspondingly replacing \( a_i \) by \( g^{d-i} a_i \)) we may assume that \( a_i \) is the image of some \( f_i \in R \). Then we simply take \( S = R[x]/(x^d + \sum f_i x^i) \). \( \square \)
154. The Cohen structure theorem

Definition 154.1. Let \((R, \mathfrak{m})\) be a local ring. We say \(R\) is a \textit{complete local ring} if the canonical map 
\[ R \rightarrow \lim_{n} R/\mathfrak{m}^{n} \]

Note that an Artinian local ring \(R\) is a complete local ring because \(\mathfrak{m}^{n}_R = 0\) for some \(n > 0\). In this section we mostly focus on Noetherian complete local rings.

Lemma 154.2. Let \(R\) be a Noetherian complete local ring. Any quotient of \(R\) is also a Noetherian complete local ring. Given a finite ring map \(R \rightarrow S\), then \(S\) is a product of Noetherian complete local rings.

Proof. The ring \(S\) is Noetherian by Lemma 30.1. As an \(R\)-module \(S\) is complete by Lemma 96.1. Hence \(S\) is the product of the completions at its maximal ideals by Lemma 96.8.

Lemma 154.3. Let \((R, \mathfrak{m})\) be a complete local ring. If \(\mathfrak{m}\) is a finitely generated ideal then \(R\) is Noetherian.

Proof. See Lemma 96.5.

Definition 154.4. Let \((R, \mathfrak{m})\) be a complete local ring. A subring \(\Lambda \subset R\) is called a \textit{coefficient ring} if the following conditions hold:

1. \(\Lambda\) is a complete local ring with maximal ideal \(\Lambda \cap \mathfrak{m}\),
2. the residue field of \(\Lambda\) maps isomorphically to the residue field of \(R\), and
3. \(\Lambda \cap \mathfrak{m} = p\Lambda\), where \(p\) is the characteristic of the residue field of \(R\).

Let us make some remarks on this definition. We split the discussion into the following cases:

1. The local ring \(R\) contains a field. This happens if either \(Q \subset R\), or \(pR = 0\) where \(p\) is the characteristic of \(R/\mathfrak{m}\). In this case a coefficient ring \(\Lambda\) is a field contained in \(R\) which maps isomorphically to \(R/\mathfrak{m}\).
2. The characteristic of \(R/\mathfrak{m}\) is \(p > 0\) but no power of \(p\) is zero in \(R\). In this case \(\Lambda\) is a complete discrete valuation ring with uniformizer \(p\) and residue field \(R/\mathfrak{m}\).
3. The characteristic of \(R/\mathfrak{m}\) is \(p > 0\), and for some \(n > 1\) we have \(p^{n-1} \neq 0\), \(p^{n} = 0\) in \(R\). In this case \(\Lambda\) is an Artinian local ring whose maximal ideal is generated by \(p\) and which has residue field \(R/\mathfrak{m}\).

The complete discrete valuation rings with uniformizer \(p\) above play a special role and we baptize them as follows.

Definition 154.5. A \textit{Cohen ring} is a complete discrete valuation ring with uniformizer \(p\) a prime number.

Lemma 154.6. Let \(p\) be a prime number. Let \(k\) be a field of characteristic \(p\). There exists a Cohen ring \(\Lambda\) with \(\Lambda/p\Lambda \cong k\).
Proof. First note that the $p$-adic integers $\mathbb{Z}_p$ form a Cohen ring for $F_p$. Let $k$ be an arbitrary field of characteristic $p$. Let $\mathbb{Z}_p \to R$ be a flat local ring map such that $m_R = pR$ and $R/pR = k$, see Lemma 153.1. Then clearly $R$ is a discrete valuation ring. Hence its completion is a Cohen ring for $k$. □

Lemma 154.7. Let $p > 0$ be a prime. Let $\Lambda$ be a Cohen ring with residue field of characteristic $p$. For every $n \geq 1$ the ring map

$$\mathbb{Z}/p^n \mathbb{Z} \to \Lambda/p^n \Lambda$$

is formally smooth.

Proof. If $n = 1$, this follows from Proposition 152.9. For general $n$ we argue by induction on $n$. Namely, if $\mathbb{Z}/p^n \mathbb{Z} \to \Lambda/p^n \Lambda$ is formally smooth, then we can apply Lemma 136.12 to the ring map $\mathbb{Z}/p^{n+1} \mathbb{Z} \to \Lambda/p^{n+1} \Lambda$ and the ideal $I = (p^n) \subset \mathbb{Z}/p^{n+1} \mathbb{Z}$.

□

Theorem 154.8 (Cohen structure theorem). Let $(R, m)$ be a complete local ring.

1. $R$ has a coefficient ring (see Definition 154.4),
2. if $m$ is a finitely generated ideal, then $R$ is isomorphic to a quotient

$$\Lambda[[x_1, \ldots, x_n]]/I$$

where $\Lambda$ is either a field or a Cohen ring.

Proof. Let us prove a coefficient ring exists. First we prove this in case the characteristic of the residue field $\kappa$ is zero. Namely, in this case we will prove by induction on $n > 0$ that there exists a section

$$\varphi_n : \kappa \to R/m^n$$

to the canonical map $R/m^n \to \kappa = R/m$. This is trivial for $n = 1$. If $n > 1$, let $\varphi_{n-1}$ be given. The field extension $\mathbb{Q} \subset \kappa$ is formally smooth by Proposition 152.9. Hence we can find the dotted arrow in the following diagram

$$\begin{array}{ccc}
R/m^{n-1} & \rightarrow & R/m^n \\
\varphi_{n-1} \uparrow & & \uparrow \\
\kappa & \leftarrow & \mathbb{Q}
\end{array}$$

This proves the induction step. Putting these maps together

$$\lim_n \varphi_n : \kappa \to R = \lim_n R/m^n$$

gives a map whose image is the desired coefficient ring.

Next, we prove the existence of a coefficient ring in the case where the characteristic of the residue field $\kappa$ is $p > 0$. Namely, choose a Cohen ring $\Lambda$ with $\kappa = \Lambda/p\Lambda$, see Lemma 154.6. In this case we will prove by induction on $n > 0$ that there exists a map

$$\varphi_n : \Lambda/p^n \Lambda \to R/m^n$$

whose composition with the reduction map $R/m^n \to \kappa$ produces the given isomorphism $\Lambda/p\Lambda = \kappa$. This is trivial for $n = 1$. If $n > 1$, let $\varphi_{n-1}$ be given. The ring
map $\mathbb{Z}/p^n\mathbb{Z} \to \Lambda/p^n\Lambda$ is formally smooth by Lemma 154.7. Hence we can find the dotted arrow in the following diagram

$$
\begin{array}{ccc}
R/m^{n-1} & \leftarrow & R/m^n \\
\varphi_{n-1} & & \\
\Lambda/p^n\Lambda & \leftarrow & \mathbb{Z}/p^n\mathbb{Z}
\end{array}
$$

This proves the induction step. Putting these maps together

$$
\lim_n \varphi_n : \Lambda = \lim_n \Lambda/p^n\Lambda \longrightarrow R = \lim_n R/m^n
$$
gives a map whose image is the desired coefficient ring.

The final statement of the theorem follows readily. Namely, if $y_1, \ldots, y_n$ are generators of the ideal $m$, then we can use the map $\Lambda \to R$ just constructed to get a map

$$
\Lambda[[x_1, \ldots, x_n]] \longrightarrow R, \quad x_i \mapsto y_i.
$$

Since both sides are $(x_1, \ldots, x_n)$-adically complete this map is surjective by Lemma 95.1 as it is surjective modulo $(x_1, \ldots, x_n)$ by construction. □

032C Remark 154.9. If $k$ is a field then the power series ring $k[[X_1, \ldots, X_d]]$ is a Noetherian complete local regular ring of dimension $d$. If $\Lambda$ is a Cohen ring then $\Lambda[[X_1, \ldots, X_d]]$ is a complete local Noetherian regular ring of dimension $d+1$. Hence the Cohen structure theorem implies that any Noetherian complete local ring is a quotient of a regular local ring. In particular we see that a Noetherian complete local ring is universally catenary, see Lemma 104.9 and Lemma 105.3.

0C0S Lemma 154.10. Let $(R, m)$ be a Noetherian complete local ring. Assume $R$ is regular.

(1) If $R$ contains either $\mathbb{F}_p$ or $\mathbb{Q}$, then $R$ is isomorphic to a power series ring over its residue field.

(2) If $k$ is a field and $k \to R$ is a ring map inducing an isomorphism $k \to R/m$, then $R$ is isomorphic as a $k$-algebra to a power series ring over $k$.

Proof. In case (1), by the Cohen structure theorem (Theorem 154.8) there exists a coefficient ring which must be a field mapping isomorphically to the residue field. Thus it suffices to prove (2). In case (2) we pick $f_1, \ldots, f_d \in m$ which map to a basis of $m/m^2$ and we consider the continuous $k$-algebra map $k[[x_1, \ldots, x_d]] \to R$ sending $x_i$ to $f_i$. As both source and target are $(x_1, \ldots, x_d)$-adically complete, this map is surjective by Lemma 95.1. On the other hand, it has to be injective because otherwise the dimension of $R$ would be $< d$ by Lemma 59.12. □

032D Lemma 154.11. Let $(R, m)$ be a Noetherian complete local domain. Then there exists a $R_0 \subset R$ with the following properties

(1) $R_0$ is a regular complete local ring,

(2) $R_0 \subset R$ is finite and induces an isomorphism on residue fields,

(3) $R_0$ is either isomorphic to $k[[X_1, \ldots, X_d]]$ where $k$ is a field or $\Lambda[[X_1, \ldots, X_d]]$ where $\Lambda$ is a Cohen ring.

Proof. Let $\Lambda$ be a coefficient ring of $R$. Since $R$ is a domain we see that either $\Lambda$ is a field or $\Lambda$ is a Cohen ring.
Let \(F \in [DG67, \text{Chapter 0}, \text{In this section we begin to discuss finiteness of integral closure.}]

\[k\]

Let \(S = \Lambda = \text{an ideal of definition}\). The main interest in these notions is for Noetherian rings, but here is a non-Noetherian example.

**Case I: \(\Lambda = k\) is a field.** Let \(d = \dim(R)\). Choose \(x_1,\ldots,x_d \in \mathfrak{m}\) which generate an ideal of definition \(I \subset R\). (See Section \([92]\). By Lemma \([95.9]\) we see that \(R\) is \(I\)-adically complete as well. Consider the map \(R_0 = k[[X_1,\ldots,X_d]] \to R\) which maps \(X_i\) to \(x_i\). Note that \(R_0\) is complete with respect to the ideal \(I_0 = (X_1,\ldots,X_d)\), and that \(R/I_0R \cong R/IR\) is finite over \(k = R_0/I_0\) (because \(\dim(R/I) = 0\), see Section \([59]\)).

Hence we conclude that \(R_0 \to R\) is finite by Lemma \([95.12]\). Since \(\dim(R) = \dim(R_0)\) this implies that \(R_0 \to R\) is injective (see Lemma \([111.3]\)), and the lemma is proved.

**Case II: \(\Lambda\) is a Cohen ring.** Let \(d + 1 = \dim(R)\). Let \(p > 0\) be the characteristic of the residue field \(k\). As \(R\) is a domain we see that \(p\) is a nonzerodivisor in \(R\).

Hence \(\dim(R/pR) = d\), see Lemma \([59.12]\). Choose \(x_1,\ldots,x_d \in R\) which generate an ideal of definition in \(R/pR\). Then \(I = (p,x_1,\ldots,x_d)\) is an ideal of definition of \(R\). By Lemma \([95.9]\) we see that \(R\) is \(I\)-adically complete as well. Consider the map \(R_0 = \Lambda[[X_1,\ldots,X_d]] \to R\) which maps \(X_i\) to \(x_i\). Note that \(R_0\) is complete with respect to the ideal \(I_0 = (p,X_1,\ldots,X_d)\), and that \(R/I_0R \cong R/IR\) is finite over \(k = R_0/I_0\) (because \(\dim(R/I) = 0\), see Section \([59]\)). Hence we conclude that \(R_0 \to R\) is finite by Lemma \([95.12]\). Since \(\dim(R) = \dim(R_0)\) this implies that \(R_0 \to R\) is injective (see Lemma \([111.3]\)), and the lemma is proved.

**155. Japanese rings**

**Definition 155.1.** Let \(R\) be a domain with field of fractions \(K\).

1. We say \(R\) is \(N\)-1 if the integral closure of \(R\) in \(K\) is a finite \(R\)-module.
2. We say \(R\) is \(N\)-2 or Japanese if for any finite extension \(K \subset L\) of fields the integral closure of \(R\) in \(L\) is finite over \(R\).

The main interest in these notions is for Noetherian rings, but here is a non-Noetherian example.

**Example 155.2.** Let \(k\) be a field. The domain \(R = k[x_1, x_2, x_3, \ldots]\) is \(N\)-2, but not Noetherian. The reason is the following. Suppose that \(R \subset L\) and the field \(L\) is a finite extension of the fraction field of \(R\). Then there exists an integer \(n\) such that \(L\) comes from a finite extension \(k(x_1,\ldots,x_n) \subset L_0\) by adjoining the (transcendental) elements \(x_{n+1},x_{n+2},\ldots\). Let \(S_0\) be the integral closure of \(k[x_1,\ldots,x_n]\) in \(L_0\). By Proposition \([156.16]\) below it is true that \(S_0\) is finite over \(k[x_1,\ldots,x_n]\). Moreover, the integral closure of \(R\) in \(L\) is \(S = S_0[x_{n+1},x_{n+2},\ldots]\) (use Lemma \([36.8]\) and hence finite over \(R\). The same argument works for \(R = \mathbb{Z}[x_1,x_2,x_3,\ldots]\).}

**Lemma 155.3.** Let \(R\) be a domain. If \(R\) is \(N\)-1 then so is any localization of \(R\). Same for \(N\)-2.

**Proof.** These statements hold because taking integral closure commutes with localization, see Lemma \([35.11]\).

**Lemma 155.4.** Let \(R\) be a domain. Let \(f_1,\ldots,f_n \in R\) generate the unit ideal. If each domain \(R_{f_i}\) is \(N\)-1 then so is \(R\). Same for \(N\)-2.

**Proof.** Assume \(R_{f_i}\) is \(N\)-2 (or \(N\)-1). Let \(L\) be a finite extension of the fraction field of \(R\) (equal to the fraction field in the \(N\)-1 case). Let \(S\) be the integral closure of \(R\) in \(L\). By Lemma \([35.11]\) we see that \(S_{f_i}\) is the integral closure of \(R_{f_i}\) in \(L\). Hence \(S_{f_i}\) is finite over \(R_{f_i}\) by assumption. Thus \(S\) is finite over \(R\) by Lemma \([22.2]\).
Let $R$ be a domain. Let $R \subseteq S$ be a quasi-finite extension of domains (for example finite). Assume $R$ is N-2 and Noetherian. Then $S$ is N-2.

**Proof.** Let $L/K$ be the induced extension of fraction fields. Note that this is a finite field extension (for example by Lemma [121.2](121.2) applied to the fibre $S \otimes_R K$, and the definition of a quasi-finite ring map). Let $S'$ be the integral closure of $R$ in $S$. Then $S'$ is contained in the integral closure of $R$ in $L$ which is finite over $R$ by assumption. As $R$ is Noetherian this implies $S'$ is finite over $R$. By Lemma [122.14](122.14) there exist elements $g_1, \ldots, g_n \in S'$ such that $S'_{g_i} \cong S_{g_i}$ and such that $g_1, \ldots, g_n$ generate the unit ideal in $S$. Hence it suffices to show that $S'$ is N-2 by Lemmas [155.3](155.3) and [155.4](155.4). Thus we have reduced to the case where $S$ is finite over $R$.

Assume $R \subseteq S$ with hypotheses as in the lemma and moreover that $S$ is finite over $R$. Let $M$ be a finite field extension of the fraction field of $S$. Then $M$ is also a finite field extension of $K$ and we conclude that the integral closure $T$ of $R$ in $M$ is finite over $R$. By Lemma [35.16](35.16) we see that $T$ is also the integral closure of $S$ in $M$ and we win by Lemma [35.15](35.15). □

**Lemma 155.5.** Let $R$ be a Noetherian domain. If $R[z, z^{-1}]$ is N-1, then so is $R$.

**Proof.** Let $R'$ be the integral closure of $R$ in its field of fractions $K$. Let $S'$ be the integral closure of $R[z, z^{-1}]$ in its field of fractions. Clearly $R' \subseteq S'$. Since $K[z, z^{-1}]$ is a normal domain we see that $S' \subseteq K[z, z^{-1}]$. Suppose that $f_1, \ldots, f_n \in S'$ generate $S'$ as $R[z, z^{-1}]$-module. Say $f_i = \sum a_{ij} z^j$ (finite sum), with $a_{ij} \in R$. For any $x \in R'$ we can write

$$x = \sum h_i f_i$$

with $h_i \in R[z, z^{-1}]$. Thus we see that $R'$ is contained in the finite $R$-submodule $\sum R a_{ij} \subset K$. Since $R$ is Noetherian we conclude that $R'$ is a finite $R$-module. □

**Lemma 155.7.** Let $R$ be a Noetherian domain, and let $R \subseteq S$ be a finite extension of domains. If $S$ is N-1, then so is $R$. If $S$ is N-2, then so is $R$.

**Proof.** Omitted. (Hint: Integral closures of $R$ in extension fields are contained in integral closures of $S$ in extension fields.) □

**Lemma 155.8.** Let $R$ be a Noetherian normal domain with fraction field $K$. Let $K \subseteq L$ be a finite separable field extension. Then the integral closure of $R$ in $L$ is finite over $R$.

**Proof.** Consider the trace pairing (Fields, Definition [20.6](20.6))

$$L \times L \rightarrow K, \quad (x, y) \mapsto \langle x, y \rangle := \text{Trace}_{L/K}(xy).$$

Since $L/K$ is separable this is nondegenerate (Fields, Lemma [20.7](20.7)). Moreover, if $x \in L$ is integral over $R$, then $\text{Trace}_{L/K}(x)$ is in $R$. This is true because the minimal polynomial of $x$ over $K$ has coefficients in $R$ (Lemma [37.6](37.6)) and because $\text{Trace}_{L/K}(x)$ is an integer multiple of one of these coefficients (Fields, Lemma [20.3](20.3)). Pick $x_1, \ldots, x_n \in L$ which are integral over $R$ and which form a $K$-basis of $L$. Then the integral closure $S \subseteq L$ is contained in the $R$-module

$$M = \{ y \in L \mid \langle x_i, y \rangle \in R, \ i = 1, \ldots, n \}$$

By linear algebra we see that $M \cong R^{\oplus n}$ as an $R$-module. Hence $S \subseteq R^{\oplus n}$ is a finitely generated $R$-module as $R$ is Noetherian. □
Let $A$ be a Noetherian domain of characteristic zero. It is $N-1$ if and only if $\text{Lemma } 155.8$ does not work if the ring is not Noetherian. For example consider the action of $G = \{+1, -1\}$ on $A = \mathbb{C}[x_1, x_2, x_3, \ldots]$ where $-1$ acts by mapping $x_i$ to $-x_i$. The invariant ring $R = A^G$ is the $\mathbb{C}$-algebra generated by all $x_i x_j$. Hence $R \subset A$ is not finite. But $R$ is a normal domain with fraction field $K = L^G$ the $G$-invariants in the fraction field $L$ of $A$. And clearly $A$ is the integral closure of $R$ in $L$.

The following lemma can sometimes be used as a substitute for Lemma $155.8$ in case of purely inseparable extensions.

**Lemma 155.10.** Let $R$ be a Noetherian normal domain with fraction field $K$ of characteristic $p > 0$. Let $a \in K$ be an element such that there exists a derivation $D : R \to R$ with $D(a) \neq 0$. Then the integral closure of $R$ in $L = K[x]/(x^p - a)$ is finite over $R$.

**Proof.** After replacing $x$ by $fx$ and $a$ by $f^p a$ for some $f \in R$ we may assume $a \in R$. Hence also $D(a) \in R$. We will show by induction on $i \leq p - 1$ that if

$$y = a_0 + a_1 x + \ldots + a_i x^i, \quad a_j \in K$$

is integral over $R$, then $D(a)^i a_j \in R$. Thus the integral closure is contained in the finite $R$-module with basis $D(a)^{-p+1} x^j$, $j = 0, \ldots, p - 1$. Since $R$ is Noetherian this proves the lemma.

If $i = 0$, then $y = a_0$ is integral over $R$ if and only if $a_0 \in R$ and the statement is true. Suppose the statement holds for some $i < p - 1$ and suppose that

$$y = a_0 + a_1 x + \ldots + a_{i+1} x^{i+1}, \quad a_j \in K$$

is integral over $R$. Then

$$y^p = a_0^p + a_1^p a + \ldots + a_{i+1}^p a^{i+1}$$

is an element of $R$ (as it is in $K$ and integral over $R$). Applying $D$ we obtain

$$(a_0^p + 2a_1^p a + \ldots + (i+1)a_{i+1}^p a^i)D(a)$$

is in $R$. Hence it follows that

$$D(a) a_1 + 2D(a) a_2 x + \ldots + (i+1)D(a) a_{i+1} x^i$$

is integral over $R$. By induction we find $D(a)^{i+1} a_j \in R$ for $j = 1, \ldots, i+1$. (Here we use that $1, \ldots, i+1$ are invertible.) Hence $D(a)^{i+1} a_0$ is also in $R$ because it is the difference of $y$ and $\sum_{j>0} D(a)^{i+1} a_j x^j$ which are integral over $R$ (since $x$ is integral over $R$ as $a \in R$).

**Lemma 155.11.** A Noetherian domain of characteristic zero is $N-1$ if and only if it is $N-2$ (i.e., Japanese).

**Proof.** This is clear from Lemma $155.8$ since every field extension in characteristic zero is separable.

**Lemma 155.12.** Let $R$ be a Noetherian domain with fraction field $K$ of characteristic $p > 0$. Then $R$ is $N-2$ if and only if for every finite purely inseparable extension $K \subset L$ the integral closure of $R$ in $L$ is finite over $R$. 
Proof. Assume the integral closure of $R$ in every finite purely inseparable field extension of $K$ is finite. Let $K \subset L$ be any finite extension. We have to show the integral closure of $R$ in $L$ is finite over $R$. Choose a finite normal field extension $K \subset M$ containing $L$. As $R$ is Noetherian it suffices to show that the integral closure of $R$ in $M$ is finite over $R$. By Fields, Lemma 27.3 there exists a subextension $K \subset M_{\text{insep}} \subset M$ such that $M_{\text{insep}}/K$ is purely inseparable, and $M/M_{\text{insep}}$ is separable. By assumption the integral closure $R'$ of $R$ in $M_{\text{insep}}$ is finite over $R$. By Lemma 155.8 the integral closure $R''$ of $R'$ in $M$ is finite over $R'$. Then $R''$ is finite over $R$ by Lemma 7.3 Since $R''$ is also the integral closure of $R$ in $M$ (see Lemma 35.16) we win. □

Lemma 155.13. Let $R$ be a Noetherian domain. If $R$ is $N$-1 then $R[x]$ is $N$-1. If $R$ is $N$-2 then $R[x]$ is $N$-2.

Proof. Assume $R$ is $N$-1. Let $R'$ be the integral closure of $R$ which is finite over $R$. Hence also $R'[x]$ is finite over $R[x]$. The ring $R'[x]$ is normal (see Lemma 36.8), hence $N$-1. This proves the first assertion.

For the second assertion, by Lemma 155.7 it suffices to show that $R'[x]$ is $N$-2. In other words we may and do assume that $R$ is a normal $N$-2 domain. In characteristic zero we are done by Lemma 155.11. In characteristic $p > 0$ we have to show that the integral closure of $R[x]$ is finite in any finite purely inseparable extension of $L/K(x)$ where $K$ is the fraction field of $R$. There exists a finite purely inseparable field extension $L'/K$ and $q = p^e$ such that $L \subset L'(x^{1/q})$; some details omitted. As $R[x]$ is Noetherian it suffices to show that the integral closure of $R[x]$ in $L'(x^{1/q})$ is finite over $R[x]$. And this integral closure is equal to $R'[x^{1/q}]$ with $R \subset R' \subset L'$ the integral closure of $R$ in $L'$. Since $R$ is $N$-2 we see that $R'$ is finite over $R$ and hence $R'[x^{1/q}]$ is finite over $R[x]$. □

Lemma 155.14. Let $R$ be a Noetherian domain. If there exists an $f \in R$ such that $R_f$ is normal then

$$U = \{ p \in \text{Spec}(R) \mid R_p \text{ is normal} \}$$

is open in $\text{Spec}(R)$.

Proof. It is clear that the standard open $D(f)$ is contained in $U$. By Serre’s criterion Lemma 151.4 we see that $p \notin U$ implies that for some $q \subset p$ we have either

1. Case I: depth($R_q$) < 2 and dim($R_q$) ≥ 2, and
2. Case II: $R_q$ is not regular and dim($R_q$) = 1.

This in particular also means that $R_q$ is not normal, and hence $f \in q$. In case I we see that depth($R_q$) = depth($R_q/fR_q$) + 1. Hence such a prime $q$ is the same thing as an embedded associated prime of $R/fR$. In case II $q$ is an associated prime of $R/fR$ of height 1. Thus there is a finite set $E$ of such primes $q$ (see Lemma 62.5) and

$$\text{Spec}(R) \setminus U = \bigcup_{q \in E} V(q)$$

as desired. □

Lemma 155.15. Let $R$ be a Noetherian domain. Assume

1. there exists a nonzero $f \in R$ such that $R_f$ is normal, and
2. for every maximal ideal $m \subset R$ the local ring $R_m$ is $N$-1.
Then $R$ is N-1.

**Proof.** Let $K$ be the fraction field of $R$. Suppose that $R \subset R' \subset K$ is a finite extension of $R$ contained in $K$. Note that $R_f = R'_f$ since $R_f$ is already normal. Hence by Lemma [155.14] the set of primes $p' \in \text{Spec}(R')$ with $R'_p$ non-normal is closed in $\text{Spec}(R')$. Since $\text{Spec}(R') \to \text{Spec}(R)$ is the closed image of this set is closed in $\text{Spec}(R)$. For such a ring $R'$ denote $Z_{R'} \subset \text{Spec}(R)$ this image.

Pick a maximal ideal $m \subset R$. Let $R_m \subset R'_m$ be the integral closure of the local ring in $K$. By assumption this is a finite ring extension. By Lemma [35.11] we can find finitely many elements $r_1, \ldots, r_n \in K$ integral over $R$ such that $R'_m$ is generated by $r_1, \ldots, r_n$ over $R_m$. Let $R' = R[x_1, \ldots, x_n] \subset K$. With this choice it is clear that $m \notin Z_{R'}$. 

As $\text{Spec}(R)$ is quasi-compact, the above shows that we can find a finite collection $R \subset R'_i \subset K$ such that $\bigcap Z_{R'_i} = \emptyset$. Let $R'$ be the subring of $K$ generated by all of these. It is finite over $R$. Also $Z_{R'} = \emptyset$. Namely, every prime $p'$ lies over a prime $p_i$ such that $(R'_i)_{p_i}$ is normal. This implies that $(R'_i)_{p_i}$ is normal too. Hence $R'$ is normal, in other words $R'$ is the integral closure of $R$ in $K$. 

**Lemma 155.16** (Tate). Let $R$ be a ring. Let $x \in R$. Assume

1. $R$ is a normal Noetherian domain,
2. $R/xR$ is a domain and N-2,
3. $R \cong \lim_n R/x^nR$ is complete with respect to $x$.

Then $R$ is N-2.

**Proof.** We may assume $x \neq 0$ since otherwise the lemma is trivial. Let $K$ be the fraction field of $R$. If the characteristic of $K$ is zero the lemma follows from (1), see Lemma [155.11] Hence we may assume that the characteristic of $K$ is $p > 0$, and we may apply Lemma [155.12] Thus given $K \subset L$ be a finite purely inseparable field extension we have to show that the integral closure $S$ of $R$ in $L$ is finite over $R$.

Let $q$ be a power of $p$ such that $L^q \subset K$. By enlarging $L$ if necessary we may assume there exists an element $y \in L$ such that $y^q = x$. Since $R \to S$ induces a homeomorphism of spectra (see Lemma [45.7] there is a unique prime ideal $q \subset S$ lying over the prime ideal $p = xR$. It is clear that

$$q = \{ f \in S \mid f^q \in p \} = yS$$

since $y^q = x$. Hence $R_p$ and $S_q$ are discrete valuation rings, see Lemma [118.7] By Lemma [118.10] we see that $\kappa(p) \subset \kappa(q)$ is a finite field extension. Hence the integral closure $S' \subset \kappa(q)$ of $R/xR$ is finite over $R/xR$ by assumption (2). Since $S/yS \subset S'$ this implies that $S/yS$ is finite over $R$. Note that $S/y^nS$ has a finite filtration whose subquotients are the modules $y^iS/y^{i+1}S \cong S/yS$. Hence we see that each $S/y^nS$ is finite over $R$. In particular $S/xS$ is finite over $R$. Also, it is clear that $\bigcap x^nS = (0)$ since an element in the intersection has $q$th power contained in $\bigcap x^nR = (0)$ (Lemma [50.4]). Thus we may apply Lemma [95.12] to conclude that $S$ is finite over $R$, and we win. 

**Lemma 155.17.** Let $R$ be a ring. If $R$ is Noetherian, a domain, and N-2, then so is $R[[x]]$. 

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03P **Lemma 155.16** (Tate). Let $R$ be a ring. Let $x \in R$. Assume

1. $R$ is a normal Noetherian domain,
2. $R/xR$ is a domain and N-2,
3. $R \cong \lim_n R/x^nR$ is complete with respect to $x$.

Then $R$ is N-2.

**Proof.** We may assume $x \neq 0$ since otherwise the lemma is trivial. Let $K$ be the fraction field of $R$. If the characteristic of $K$ is zero the lemma follows from (1), see Lemma [155.11] Hence we may assume that the characteristic of $K$ is $p > 0$, and we may apply Lemma [155.12] Thus given $K \subset L$ be a finite purely inseparable field extension we have to show that the integral closure $S$ of $R$ in $L$ is finite over $R$.

Let $q$ be a power of $p$ such that $L^q \subset K$. By enlarging $L$ if necessary we may assume there exists an element $y \in L$ such that $y^q = x$. Since $R \to S$ induces a homeomorphism of spectra (see Lemma [45.7] there is a unique prime ideal $q \subset S$ lying over the prime ideal $p = xR$. It is clear that

$$q = \{ f \in S \mid f^q \in p \} = yS$$

since $y^q = x$. Hence $R_p$ and $S_q$ are discrete valuation rings, see Lemma [118.7] By Lemma [118.10] we see that $\kappa(p) \subset \kappa(q)$ is a finite field extension. Hence the integral closure $S' \subset \kappa(q)$ of $R/xR$ is finite over $R/xR$ by assumption (2). Since $S/yS \subset S'$ this implies that $S/yS$ is finite over $R$. Note that $S/y^nS$ has a finite filtration whose subquotients are the modules $y^iS/y^{i+1}S \cong S/yS$. Hence we see that each $S/y^nS$ is finite over $R$. In particular $S/xS$ is finite over $R$. Also, it is clear that $\bigcap x^nS = (0)$ since an element in the intersection has $q$th power contained in $\bigcap x^nR = (0)$ (Lemma [50.4]). Thus we may apply Lemma [95.12] to conclude that $S$ is finite over $R$, and we win. 

**Lemma 155.17.** Let $R$ be a ring. If $R$ is Noetherian, a domain, and N-2, then so is $R[[x]]$. 

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03Q **Lemma 155.17.** Let $R$ be a ring. If $R$ is Noetherian, a domain, and N-2, then so is $R[[x]]$. 

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Proof. Observe that \( R[[x]] \) is Noetherian by Lemma 30.2. Let \( R' \supset R \) be the integral closure of \( R \) in its fraction field. Because \( R \) is N-2 this is finite over \( R \). Hence \( R'[[x]] \) is finite over \( R[[x]] \). By Lemma 36.9 we see that \( R'[[x]] \) is a normal domain. Apply Lemma 155.16 to the element \( x \in R'[[x]] \) to see that \( R'[[x]] \) is N-2. Then Lemma 155.7 shows that \( R[[x]] \) is N-2. □

156. Nagata rings

Here is the definition.

Definition 156.1. Let \( R \) be a ring.

1. We say \( R \) is universally Japanese if for any finite type ring map \( R \to S \) with \( S \) a domain we have that \( S \) is N-2 (i.e., Japanese).
2. We say that \( R \) is a Nagata ring if \( R \) is Noetherian and for every prime ideal \( p \) the ring \( R/p \) is N-2.

It is clear that a Noetherian universally Japanese ring is a Nagata ring. It is our goal to show that a Nagata ring is universally Japanese. This is not obvious at all, and requires some work. But first, here is a useful lemma.

Lemma 156.2. Let \( R \) be a Nagata ring. Let \( R \to S \) be essentially of finite type with \( S \) reduced. Then the integral closure of \( R \) in \( S \) is finite over \( R \).

Proof. As \( S \) is essentially of finite type over \( R \) it is Noetherian and has finitely many minimal primes \( q_1, \ldots, q_m \), see Lemma 30.6. Since \( S \) is reduced we have \( S \subset \prod S_{q_i} \) and each \( S_{q_i} = K_i \) is a field, see Lemmas 24.4 and 24.1. It suffices to show that the integral closure \( A'_i \) of \( R \) in each \( K_i \) is finite over \( R \). This is true because \( R \) is Noetherian and \( A \subset \prod A'_i \). Let \( p_i \subset R \) be the prime of \( R \) corresponding to \( q_i \). As \( S \) is essentially of finite type over \( R \) we see that \( K_i = S_{q_i} = \kappa(q_i) \) is a finitely generated field extension of \( \kappa(p_i) \). Hence the algebraic closure \( L_i \) of \( \kappa(p_i) \) in \( K_i \) is finite over \( \kappa(p_i) \), see Fields, Lemma 26.10. It is clear that \( A'_i \) is the integral closure of \( R/p_i \) in \( L_i \), and hence we win by definition of a Nagata ring. □

Lemma 156.3. Let \( R \) be a ring. To check that \( R \) is universally Japanese it suffices to show: If \( R \to S \) is of finite type, and \( S \) a domain then \( S \) is N-1.

Proof. Namely, assume the condition of the lemma. Let \( R \to S \) be a finite type ring map with \( S \) a domain. Let \( L \) be a finite extension of the fraction field of \( S \). Then there exists a finite ring extension \( S \subset S' \subset L \) such that \( L \) is the fraction field of \( S' \). By assumption \( S' \) is N-1, and hence the integral closure \( S'' \) of \( S' \) in \( L \) is finite over \( S' \). Thus \( S'' \) is finite over \( S \) (Lemma 7.3) and \( S'' \) is the integral closure of \( S \) in \( L \) (Lemma 35.16). We conclude that \( R \) is universally Japanese. □

Lemma 156.4. If \( R \) is universally Japanese then any algebra essentially of finite type over \( R \) is universally Japanese.

Proof. The case of an algebra of finite type over \( R \) is immediate from the definition. The general case follows on applying Lemma 155.3 □

Lemma 156.5. Let \( R \) be a Nagata ring. If \( R \to S \) is a quasi-finite ring map (for example finite) then \( S \) is a Nagata ring also.
Proof. First note that $S$ is Noetherian as $R$ is Noetherian and a quasi-finite ring map is of finite type. Let $q \subset S$ be a prime ideal, and set $p = R \cap q$. Then $R/p \subset S/q$ is quasi-finite and hence we conclude that $S/q$ is N-2 by Lemma \ref{lemma155.5} as desired. □

Lemma 156.6. A localization of a Nagata ring is a Nagata ring.

Proof. Clear from Lemma \ref{lemma155.3}.

Lemma 156.7. Let $R$ be a ring. Let $f_1, \ldots, f_n \in R$ generate the unit ideal.

1. If each $R_{f_i}$ is universally Japanese then so is $R$.
2. If each $R_{f_i}$ is Nagata then so is $R$.

Proof. Let $\varphi : R \to S$ be a finite type ring map so that $S$ is a domain. Then $\varphi(f_1), \ldots, \varphi(f_n)$ generate the unit ideal in $S$. Hence if each $S_{f_i} = S_{\varphi(f_i)}$ is N-1 then so is $S$, see Lemma \ref{lemma155.4}. This proves (1).

If each $R_{f_i}$ is Nagata, then each $R_{f_i}$ is Noetherian and hence $R$ is Noetherian, see Lemma \ref{lemma22.2}. And if $p \subset R$ is a prime, then we see each $R_{f_i}/pR_{f_i} = (R/p)_{f_i}$ is N-2 and hence we conclude $R/p$ is N-2 by Lemma \ref{lemma155.4}. This proves (2). □

Lemma 156.8. A Noetherian complete local ring is a Nagata ring.

Proof. Let $R$ be a complete local Noetherian ring. Let $p \subset R$ be a prime. Then $R/p$ is also a complete local Noetherian ring, see Lemma \ref{lemma154.2}. Hence it suffices to show that a Noetherian complete local domain $R$ is N-2. By Lemmas \ref{lemma155.5} and \ref{lemma154.11} we reduce to the case $R = k[[X_1, \ldots, X_d]]$ where $k$ is a field or $R = \Lambda[[X_1, \ldots, X_d]]$ where $\Lambda$ is a Cohen ring.

In the case $k[[X_1, \ldots, X_d]]$ we reduce to the statement that a field is N-2 by Lemma \ref{lemma155.17}. This is clear. In the case $\Lambda[[X_1, \ldots, X_d]]$ we reduce to the statement that a Cohen ring $\Lambda$ is N-2. Applying Lemma \ref{lemma155.16} once more with $x = p \in \Lambda$ we reduce yet again to the case of a field. Thus we win. □

Definition 156.9. Let $(R, m)$ be a Noetherian local ring. We say $R$ is **analytically unramified** if its completion $R^\wedge = \lim_{n} R/m^n$ is reduced. A prime ideal $p \subset R$ is said to be **analytically unramified** if $R/p$ is analytically unramified.

At this point we know the following are true for any Noetherian local ring $R$: The map $R \to R^\wedge$ is a faithfully flat local ring homomorphism (Lemma \ref{lemma96.3}). The completion $R^\wedge$ is Noetherian (Lemma \ref{lemma96.5}) and complete (Lemma \ref{lemma96.4}). Hence the completion $R^\wedge$ is a Nagata ring (Lemma \ref{lemma156.8}). Moreover, we have seen in Section \ref{section154} that $R^\wedge$ is a quotient of a regular local ring (Theorem \ref{theorem154.8}), and hence universally catenary (Remark \ref{remark154.9}).

Lemma 156.10. Let $(R, m)$ be a Noetherian local ring.

1. If $R$ is analytically unramified, then $R$ is reduced.
2. If $R$ is analytically unramified, then each minimal prime of $R$ is analytically unramified.
3. If $R$ is reduced with minimal primes $q_1, \ldots, q_t$, and each $q_i$ is analytically unramified, then $R$ is analytically unramified.
4. If $R$ is analytically unramified, then the integral closure of $R$ in its total ring of fractions $Q(R)$ is finite over $R$.
5. If $R$ is a domain and analytically unramified, then $R$ is N-1.


**Proof.** In this proof we will use the remarks immediately following Definition 156.9. Let \( R \to R^\wedge \) be a faithfully flat local ring homomorphism it is injective and (1) follows.

Let \( q \) be a minimal prime of \( R \), and assume \( R \) is analytically unramified. Then \( q \) is an associated prime of \( R \) (see Proposition 62.6). Hence there exists an \( f \in R \) such that \( \{ x \in R \mid fx = 0 \} = q \). Note that \((R/q)^\wedge = R^\wedge/q^\wedge\), and that \( \{ x \in R^\wedge \mid fx = 0 \} = q^\wedge \), because completion is exact (Lemma 96.2). If \( x \in R^\wedge \) is such that \( x^2 \in q^\wedge \), then \( fx^2 = 0 \) hence \((fx)^2 = 0 \) hence \( fx = 0 \) hence \( x \in q^\wedge \). Thus \( q \) is analytically unramified and (2) holds.

Assume \( R \) is reduced with minimal primes \( q_1, \ldots, q_t \), and each \( q_i \) is analytically unramified. Then \( R \to R/q_1 \times \ldots \times R/q_t \) is injective. Since completion is exact (see Lemma 96.2) we see that \( R^\wedge \subset (R/q_1)^\wedge \times \ldots \times (R/q_t)^\wedge \). Hence (3) is clear.

Assume \( R \) is analytically unramified. Let \( p_1, \ldots, p_s \) be the minimal primes of \( R^\wedge \). Then we see that

\[
Q(R^\wedge) = R^\wedge_{p_1} \times \ldots \times R^\wedge_{p_s}
\]

with each \( R^\wedge_{p_i} \) a field as \( R^\wedge \) is reduced (see Lemma 24.4). Hence the integral closure \( S \) of \( R^\wedge \) in \( Q(R^\wedge) \) is equal to \( S = S_1 \times \ldots \times S_t \) with \( S_i \) the integral closure of \( R^\wedge/p_i \) in its fraction field. In particular \( S \) is finite over \( R^\wedge \). Denote \( R' \) the integral closure of \( R \) in \( Q(R) \). As \( R \to R^\wedge \) is flat we see that \( R' \otimes_R R^\wedge \subset Q(R) \otimes_R R^\wedge \subset Q(R^\wedge) \). Moreover \( R' \otimes_R R^\wedge \) is integral over \( R^\wedge \) (Lemma 35.13). Hence \( R' \otimes_R R^\wedge \subset S \) is a \( R^\wedge \)-submodule. As \( R^\wedge \) is Noetherian it is a finite \( R^\wedge \)-module. Thus we may find \( f_1, \ldots, f_n \in R' \) such that \( R' \otimes_R R^\wedge \) generated by the elements \( f_1 \otimes 1 \) as an \( R^\wedge \)-module. By faithful flatness we see that \( R' \) is generated by \( f_1, \ldots, f_n \) as an \( R \)-module. This proves (4).

Part (5) is a special case of part (4). \( \square \)

**Lemma 156.11.** Let \( R \) be a Noetherian local ring. Let \( p \subset R \) be a prime. Assume

1. \( R_p \) is a discrete valuation ring, and
2. \( p \) is analytically unramified.

Then for any associated prime \( q \) of \( R^\wedge/pR^\wedge \) the local ring \( (R^\wedge)_q \) is a discrete valuation ring.

**Proof.** Assumption (2) says that \( R^\wedge/pR^\wedge \) is a reduced ring. Hence an associated prime \( q \subset R^\wedge \) of \( R^\wedge/pR^\wedge \) is the same thing as a minimal prime over \( pR^\wedge \). In particular we see that the maximal ideal of \( (R^\wedge)_q \) is \( p(R^\wedge)_q \). Choose \( x \in R \) such that \( xR_p = pR_p \). By the above we see that \( x \in (R^\wedge)_q \) generates the maximal ideal. As \( R \to R^\wedge \) is faithfully flat we see that \( x \) is a nonzerodivisor in \( (R^\wedge)_q \). Hence we win. \( \square \)

**Lemma 156.12.** Let \( (R, m) \) be a Noetherian local domain. Let \( x \in m \). Assume

1. \( x \neq 0 \),
2. \( R/xR \) has no embedded primes, and
3. for each associated prime \( p \subset R \) of \( R/xR \) we have
   a. the local ring \( R_p \) is regular, and
   b. \( p \) is analytically unramified.

Then \( R \) is analytically unramified.
Proof. Let \( \mathfrak{p}_1, \ldots, \mathfrak{p}_t \) be the associated primes of the \( R \)-module \( R/xR \). Since \( R/xR \) has no embedded primes we see that each \( \mathfrak{p}_i \) has height 1, and is a minimal prime over \( (x) \). For each \( i \), let \( \mathfrak{q}_{ij} \) be the associated primes of the \( R^\wedge/p_i R^\wedge \). By Lemma 156.11 we see that \( (R^\wedge)_{\mathfrak{q}_{ij}} \) is regular. By Lemma 64.3 we see that
\[
\text{Ass}_{R^\wedge}(R^\wedge/xR^\wedge) = \bigcup_{\mathfrak{p} \in \text{Ass}_{R^\wedge}(R/xR)} \text{Ass}_{R^\wedge}(R^\wedge/p\mathfrak{p}R^\wedge) = \{\mathfrak{q}_{ij}\}.
\]
Let \( y \in R^\wedge \) with \( \overline{y}^2 = 0 \). As \( (R^\wedge)_{\mathfrak{q}_{ij}} \) is regular, and hence a domain (Lemma 105.2) we see that \( y \) maps to zero in \( (R^\wedge)_{\mathfrak{q}_{ij}} \). Hence \( y \) maps to zero in \( R^\wedge/xR^\wedge \) by Lemma 62.19. Hence \( y = xy' \). Since \( x \) is a nonzerodivisor (as \( R \to R^\wedge \) is flat) we see that \( (y')^2 = 0 \). Hence we conclude that \( y \in \bigcap_i x^i R^\wedge = (0) \) (Lemma 60.4).

\begin{lemma}
Let \((R, \mathfrak{m}) \) be a local ring. If \( R \) is Noetherian, a domain, and Nagata, then \( R \) is analytically unramified.
\end{lemma}

Proof. By induction on \( \dim(R) \). The case \( \dim(R) = 0 \) is trivial. Hence we assume \( \dim(R) = d \) and that the lemma holds for all Noetherian Nagata domains of dimension \( < d \).

Let \( R \subset S \) be the integral closure of \( R \) in the field of fractions of \( R \). By assumption \( S \) is a finite \( R \)-module. By Lemma 156.5 we see that \( S \) is Nagata. By Lemma 111.4 we see \( \dim(R) = \dim(S) \). Let \( \mathfrak{m}_1, \ldots, \mathfrak{m}_t \) be the maximal ideals of \( S \). Each of these lies over the maximal ideal \( \mathfrak{m} \) of \( R \). Moreover
\[
(\mathfrak{m}_1 \cap \ldots \cap \mathfrak{m}_t)^n \subset \mathfrak{m} S
\]
for sufficiently large \( n \) as \( S/\mathfrak{m} S \) is Artinian. By Lemma 96.2 \( R^\wedge \to S^\wedge \) is an injective map, and by the Chinese Remainder Lemma 14.4 combined with Lemma 95.9 we have \( S^\wedge = \prod S_i^\wedge \) where \( S_i^\wedge \) is the completion of \( S \) with respect to the maximal ideal \( \mathfrak{m}_i \). Hence it suffices to show that \( S_{\mathfrak{m}_i} \) is analytically unramified. In other words, we have reduced to the case where \( R \) is a Noetherian normal Nagata domain.

Assume \( R \) is a Noetherian, normal, local Nagata domain. Pick a nonzero \( x \in \mathfrak{m} \) in the maximal ideal. We are going to apply Lemma 156.12. We have to check properties (1), (2), (3)(a) and (3)(b). Property (1) is clear. We have that \( R/xR \) has no embedded primes by Lemma 151.6. Thus property (2) holds. The same lemma also tells us each associated prime \( \mathfrak{p} \) of \( R/xR \) has height 1. Hence \( R/\mathfrak{p} \) is a 1-dimensional normal domain hence regular (Lemma 118.7). Thus (3)(a) holds. Finally (3)(b) holds by induction hypothesis, since \( R/\mathfrak{p} \) is Nagata (by Lemma 156.9 or directly from the definition). Thus we conclude \( R \) is analytically unramified.

\begin{lemma}
Let \((R, \mathfrak{m}) \) be a Noetherian local ring. The following are equivalent:
\begin{enumerate}
\item \( R \) is Nagata,
\item for \( R \to S \) finite with \( S \) a domain and \( \mathfrak{m}' \subset S \) maximal the local ring \( S_{\mathfrak{m}'} \) is analytically unramified,
\item for \((R, \mathfrak{m}) \to (S, \mathfrak{m}') \) finite local homomorphism with \( S \) a domain, then \( S \) is analytically unramified.
\end{enumerate}
\end{lemma}

Proof. Assume \( R \) is Nagata and let \( R \to S \) and \( \mathfrak{m}' \subset S \) be as in (2). Then \( S \) is Nagata by Lemma 156.5. Hence the local ring \( S_{\mathfrak{m}'} \) is Nagata (Lemma 156.6). Thus it is analytically unramified by Lemma 156.13. It is clear that (2) implies (3).
Assume (3) holds. Let $p \subset R$ be a prime ideal and let $L/\kappa(p)$ be a finite extension of fields. To prove (1) we have to show that the integral closure of $R/p$ is finite over $R/p$. Choose $x_1, \ldots, x_n \in L$ which generate $L$ over $\kappa(p)$. For each $i$ let $P_i(T) = T^{d_i} + a_{i,1}T^{d_i-1} + \ldots + a_{i,d_i}$ be the minimal polynomial for $x_i$ over $\kappa(p)$. After replacing $x_i$ by $f_ix_i$ for a suitable $f_i \in R$, $f_i \not\in p$ we may assume $a_{i,j} \in R/p$. In fact, after further multiplying by elements of $R$ we may assume $a_{i,j} \in R/p$ for all $i, j$. Having done this let $S = R/p[x_1, \ldots, x_n] \subset L$. Then $S$ is finite over $R$, a domain, and $S/mS$ is a quotient of $R/m[T_1, \ldots, T_n]/(T_1^{d_1}, \ldots, T_n^{d_n})$. Hence $S$ is local. By (3) $S$ is analytically unramified and by Lemma [156.10] we find that its integral closure $S'$ in $L$ is finite over $S$. Since $S'$ is also the integral closure of $R/p$ in $L$ we win. □

The following proposition says in particular that an algebra of finite type over a Nagata ring is a Nagata ring.

**Proposition 156.15** (Nagata). Let $R$ be a ring. The following are equivalent:

1. $R$ is a Nagata ring,
2. any finite type $R$-algebra is Nagata, and
3. $R$ is universally Japanese and Noetherian.

**Proof.** It is clear that a Noetherian universally Japanese ring is universally Nagata (i.e., condition (2) holds). Let $R$ be a Nagata ring. We will show that any finitely generated $R$-algebra $S$ is Nagata. This will prove the proposition.

Step 1. There exists a sequence of ring maps $R = R_0 \rightarrow R_1 \rightarrow R_2 \rightarrow \ldots \rightarrow R_n = S$ such that each $R_i \rightarrow R_{i+1}$ is generated by a single element. Hence by induction it suffices to prove $S$ is Nagata if $S \cong R[x]/I$.

Step 2. Let $q \subset S$ be a prime of $S$, and let $p \subset R$ be the corresponding prime of $R$. We have to show that $S/q$ is $N$-2. Hence we have reduced to the proving the following: (*) Given a Nagata domain $R$ and a monogenic extension $R \subset S$ of domains then $S$ is $N$-2.

Step 3. Let $R$ be a Nagata domain and $R \subset S$ a monogenic extension of domains. Let $R' \subset R'$ be the integral closure of $R$ in its fraction field. Let $S'$ be the subring of the fraction field of $S$ generated by $R'$ and $S$. As $R'$ is finite over $R$ (by the Nagata property) also $S'$ is finite over $S$. Since $S$ is Noetherian it suffices to prove that $S'$ is $N$-2 (Lemma [155.7]). Hence we have reduced to proving the following: (***) Given a normal Nagata domain $R$ and a monogenic extension $R \subset S$ of domains then $S$ is $N$-2.

Step 4: Let $R$ be a normal Nagata domain and let $R \subset S$ be a monogenic extension of domains. Suppose the induced extension of fraction fields of $R$ and $S$ is purely transcendental. In this case $S = R[x]$. By Lemma [155.13] we see that $S$ is $N$-2. Hence we have reduced to proving the following: (****) Given a normal Nagata domain $R$ and a monogenic extension $R \subset S$ of domains inducing a finite extension of fraction fields then $S$ is $N$-2.

Step 5: Let $R$ be a normal Nagata domain and let $R \subset S$ be a monogenic extension of domains inducing a finite extension of fraction fields $L/K$. Choose an element $x \in S$ which generates $S$ as an $R$-algebra. Let $L \subset M$ be a finite extension of fields. Let $R'$ be the integral closure of $R$ in $M$. Then the integral closure $S'$ of $S$ in $M$ is equal to the integral closure of $R'[x]$ in $M$. Also the fraction field of
$R'$ is $M$ and $R \subset R'$ is finite (by the Nagata property of $R$). This implies that $R'$ is a Nagata ring (Lemma 156.5). To show that $S'$ is finite over $S$ is the same as showing that $S'$ is finite over $R'[x]$. Replace $R$ by $R'$ and $S$ by $R'[x]$ to reduce to the following statement: (***) Given a normal Nagata domain $R$ with fraction field $K$, and $x \in K$, the ring $S \subset K$ generated by $R$ and $x$ is $N$-1.

Step 6. Let $R$ be a normal Nagata domain with fraction field $K$. Let $x = b/a \in K$. We have to show that the ring $S \subset K$ generated by $R$ and $x$ is $N$-1. Note that $S_a \cong R_a$ is normal. Hence by Lemma 155.15 it suffices to show that $S_m$ is $N$-1 for every maximal ideal $m$ of $S$.

With assumptions as in the preceding paragraph, pick such a maximal ideal and set $n = R \cap m$. The residue field extension $\kappa(n) \subset \kappa(m)$ is finite (Theorem 33.1) and generated by the image of $x$. Hence there exists a monic polynomial $f(X) = X^n + \sum_{i=1}^{d} a_iX^{d-i}$ with $f(x) \in m$. Let $K \subset K''$ be a finite extension of fields such that $f(X)$ splits completely in $K''[X]$. Let $R'$ be the integral closure of $R$ in $K''$. Let $S' \subset R'$ be the subring generated by $R'$ and $x$. As $R$ is Nagata we see $R'$ is finite over $R$ and Nagata (Lemma 156.5). Moreover, $S'$ is finite over $S$. If for every maximal ideal $m'$ of $S'$ the local ring $S_m'$ is $N$-1, then $S_m$ is $N$-1 by Lemma 155.15 which in turn implies that $S_m$ is $N$-1 by Lemma 155.7. After replacing $R$ by $R'$ and $S$ by $S'$, and $m$ by any of the maximal ideals $m'$ lying over $x$, we reach the situation where the polynomial $f$ above splits completely: $f(X) = \prod_{i=1}^{d} (X - a_i)$ with $a_i \in R$. Since $f(x) \in m$ we see that $x - a_i \in m$ for some $i$. Finally, after replacing $x$ by $x - a_i$ we may assume that $x \in m$.

To recapitulate: $R$ is a normal Nagata domain with fraction field $K$, $x \in K$ and $S$ is the subring of $K$ generated by $x$ and $R$, finally $m \subset S$ is a maximal ideal with $x \in m$. We have to show $S_m$ is $N$-1.

We will show that Lemma 156.12 applies to the local ring $S_m$ and the element $x$. This will imply that $S_m$ is analytically unramified, whereupon we see that it is $N$-1 by Lemma 156.10.

We have to check properties (1), (2), (3)(a) and (3)(b). Property (1) is trivial. Let $I = \text{Ker}(R[X] \to S)$ where $X \mapsto x$. We claim that $I$ is generated by all linear forms $aX + b$ such that $ax = b$ in $K$. Clearly all these linear forms are in $I$. If $g = a_dX^d + \ldots + a_1X + a_0 \in I$, then we see that $a_dx$ is integral over $R$ (Lemma 122.1) and hence $b := a_dx \in R$ as $R$ is normal. Then $g - (a_dX - b)X^{d-1} \in I$ and we win by induction on the degree. As a consequence we see that $S/xS = R[X]/(X, I) = R/J$ where

$$J = \{ b \in R \mid ax = b \text{ for some } a \in R \} = xR \cap R$$

By Lemma 151.6 we see that $S/xS = R/J$ has no embedded primes as an $R$-module, hence as an $R/J$-module, hence as an $S/xS$-module, hence as an $S$-module. This proves property (2). Take such an associated prime $q \subset S$ with the property $q \subset m$ (so that it is an associated prime of $S_m/xS_m$ — it does not matter for the arguments). Then $q$ is minimal over $xS$ and hence has height 1. By the sequence of equalities above we see that $p = R \cap q$ is an associated prime of $R/J$, and so has height 1 (see Lemma 151.6). Thus $R_p$ is a discrete valuation ring and therefore $R_p \subset S_q$ is an equality. This shows that $S_q$ is regular. This proves property (3)(a). Finally, $(S/q)_m$ is a localization of $S/q$, which is a quotient of $S/xS = R/J$. Hence $(S/q)_m$
is a localization of a quotient of the Nagata ring $R$, hence Nagata (Lemmas 156.5 and 156.6) and hence analytically unramified (Lemma 156.13). This shows (3)(b) holds and we are done. □

**Proposition 156.16.** The following types of rings are Nagata and in particular universally Japanese:

1. fields,
2. Noetherian complete local rings,
3. $\mathbb{Z}$,
4. Dedekind domains with fraction field of characteristic zero,
5. finite type ring extensions of any of the above.

**Proof.** The Noetherian complete local ring case is Lemma 156.8. In the other cases you just check if $R/p$ is N-2 for every prime ideal $p$ of the ring. This is clear whenever $R/p$ is a field, i.e., $p$ is maximal. Hence for the Dedekind ring case we only need to check it when $p = (0)$. But since we assume the fraction field has characteristic zero Lemma 155.11 kicks in. □

**Example 156.17.** A discrete valuation ring is Nagata if and only if it is N-2 (this follows immediately from the definition). The discrete valuation ring $A$ of Example 118.5 is not Nagata, i.e., it is not N-2. Namely, the finite extension $A \subset R = A[f]$ is not N-1. To see this say $f = \sum a_i x^i$. For every $n \geq 1$ set $g_n = \sum_{i<n} a_i x^i \in A$. Then $h_n = (f - g_n)/x^n$ is an element of the fraction field of $R$ and $h_n^p \in k^p[[x]] \subset A$. Hence the integral closure $R'$ of $R$ contains $h_1, h_2, h_3, \ldots$. Now, if $R'$ were finite over $R$ and hence $A$, then $f = x^n h_n + g_n$ would be contained in the submodule $A + x^n R'$ for all $n$. By Artin-Rees this would imply $f \in A$ (Lemma 50.4), a contradiction.

**Lemma 156.18.** Let $(A, m)$ be a Noetherian local domain which is Nagata and has fraction field of characteristic $p$. If $a \in A$ has a $p$th root in $A^\wedge$, then $a$ has a $p$th root in $A$.

**Proof.** Consider the ring extension $A \subset B = A[x]/(x^p - a)$. If $a$ does not have a $p$th root in $A$, then $B$ is a domain whose completion isn’t reduced. This contradicts our earlier results, as $B$ is a Nagata ring (Proposition 156.15) and hence analytically unramified by Lemma 156.13. □

**157. Ascending properties**

In this section we start proving some algebraic facts concerning the “ascent” of properties of rings. To do this for depth of rings one uses the following result on ascending depth of modules, see [DG67, IV, Proposition 6.3.1].

**Lemma 157.1.** We have

$$\text{depth}(M \otimes_R N) = \text{depth}(M) + \text{depth}(N/m_RN)$$

where $R \rightarrow S$ is a local homomorphism of local Noetherian rings, $M$ is a finite $R$-module, and $N$ is a finite $S$-module flat over $R$.

**Proof.** In the statement and in the proof below, we take the depth of $M$ as an $R$-module, the depth of $M \otimes_R N$ as an $S$-module, and the depth of $N/m_RN$ as an $S/m_RS$-module. Denote $n$ the right hand side. First assume that $n$ is zero. Then both depth$(M) = 0$ and depth$(N/m_RN) = 0$. This means there is a $x \in M$ whose annihilator is $m_R$ and a $y \in N/m_RN$ whose annihilator is $m_S/m_RS$. Let
\[ y \in N \text{ be a lift of } y. \] Since \( N \) is flat over \( R \) the map \( z : R/\mathfrak{m}_R \to M \) produces an injective map \( N/\mathfrak{m}_R N \to M \otimes_R N \). Hence the annihilator of \( z \otimes y \) is \( \mathfrak{m}_S \). Thus depth(\( M \otimes_R N \)) = 0 as well.

Assume \( n > 0 \). If \( \text{depth}(N/\mathfrak{m}_R N) > 0 \), then we may choose \( f \in \mathfrak{m}_S \) mapping to \( \bar{f} \in S/\mathfrak{m}_R S \) which is a nonzerodivisor on \( N/\mathfrak{m}_R N \). Then \( \text{depth}(N/\mathfrak{m}_R N) = \text{depth}(N/(f, \mathfrak{m}_R N) + 1 \) by Lemma 71.7. According to Lemma 98.1 the element \( f \in S \) is a nonzerodivisor on \( N \) and \( N/fN \) is flat over \( R \). Hence by induction on \( n \) we have

\[
\text{depth}(M \otimes_R N/fN) = \text{depth}(M) + \text{depth}(N/(f, \mathfrak{m}_R N)).
\]

Because \( N/fN \) is flat over \( R \) the sequence

\[
0 \to M \otimes_R N \to M \otimes_R N \to M \otimes_R N/fN \to 0
\]

is exact where the first map is multiplication by \( f \) (Lemma 38.12). Hence by Lemma 71.7 we find that \( \text{depth}(M \otimes_R N) = \text{depth}(M \otimes_R N/fN) + 1 \) and we conclude that equality holds in the formula of the lemma.

If \( n > 0 \), but \( \text{depth}(N/\mathfrak{m}_R N) = 0 \), then we can choose \( f \in \mathfrak{m}_R \) which is a nonzerodivisor on \( M \). As \( N \) is flat over \( R \) it is also the case that \( f \) is a nonzerodivisor on \( M \otimes_R N \). By induction on \( n \) again we have

\[
\text{depth}(M/fM \otimes_R N) = \text{depth}(M/fM) + \text{depth}(N/\mathfrak{m}_R N).
\]

In this case \( \text{depth}(M \otimes_R N) = \text{depth}(M/fM \otimes_R N) + 1 \) and \( \text{depth}(M) = \text{depth}(M/fM) + 1 \) by Lemma 71.7 and we conclude that equality holds in the formula of the lemma. \( \square \)

\textbf{Lemma 157.2.} Suppose that \( R \to S \) is a flat and local ring homomorphism of Noetherian local rings. Then

\[
\text{depth}(S) = \text{depth}(R) + \text{depth}(S/\mathfrak{m}_R S).
\]

\textbf{Proof.} This is a special case of Lemma 157.1. \( \square \)

\textbf{Lemma 157.3.} Let \( R \to S \) be a flat local homomorphism of local Noetherian rings. Then the following are equivalent

1. \( S \) is Cohen-Macaulay,
2. \( R \) and \( S/\mathfrak{m}_R S \) are Cohen-Macaulay.

\textbf{Proof.} Follows from the definitions and Lemmas 157.2 and 111.7. \( \square \)

\textbf{Lemma 157.4.} Let \( \varphi : R \to S \) be a ring map. Assume

1. \( R \) is Noetherian,
2. \( S \) is Noetherian,
3. \( \varphi \) is flat,
4. the fibre rings \( S \otimes_R \kappa(p) \) are \( (S_k) \), and
5. \( R \) has property \( (S_k) \).

Then \( S \) has property \( (S_k) \).

\textbf{Proof.} Let \( q \) be a prime of \( S \) lying over a prime \( p \) of \( R \). By Lemma 157.2 we have

\[
\text{depth}(S_q) = \text{depth}(S_q/pS_q) + \text{depth}(R_p).
\]

On the other hand, we have

\[
\text{dim}(R_p) + \text{dim}(S_q/pS_q) \geq \text{dim}(S_q)
\]
by Lemma 111.6 (Actually equality holds, by Lemma 111.7 but strictly speaking we do not need this.) Finally, as the fibre rings of the map are assumed 
\((S_k)\) we see that 
\[
\text{depth}(S_q) \geq \min(k, \dim(S_q/pS_q) + k).
\]
Thus the lemma follows by the following string of inequalities
\[
\text{depth}(S_q) = \text{depth}(S_q/pS_q) + \text{depth}(R_p) \\
\geq \min(k, \dim(S_q/pS_q)) + \min(k, \dim(R_p)) \\
= \min(2k, \dim(S_q/pS_q) + k, k + \dim(R_p), \dim(S_q/pS_q) + \dim(R_p)) \\
\geq \min(k, \dim(S_q))
\]
as desired. □

**Lemma 157.5.** Let \(\varphi : R \rightarrow S\) be a ring map. Assume
\[(1) \quad R \text{ is Noetherian,} \]
\[(2) \quad S \text{ is Noetherian} \]
\[(3) \quad \varphi \text{ is flat,} \]
\[(4) \quad \text{the fibre rings } S \otimes_R \kappa(p) \text{ have property } (R_k), \]
\[(5) \quad R \text{ has property } (R_k).\]
Then \(S\) has property \((R_k)\).

**Proof.** Let \(q\) be a prime of \(S\) lying over a prime \(p\) of \(R\). Assume that \(\dim(S_q) \leq k\).
Since \(\dim(S_q) = \dim(R_p) + \dim(S_q/pS_q)\) by Lemma 111.7 we see that \(\dim(R_p) \leq k\) and \(\dim(S_q/pS_q) \leq k\). Hence \(R_p\) and \(S_q/pS_q\) are regular by assumption. It follows that \(S_q\) is regular by Lemma 111.8. □

**Lemma 157.6.** Let \(\varphi : R \rightarrow S\) be a ring map. Assume
\[(1) \quad R \text{ is Noetherian,} \]
\[(2) \quad S \text{ is Noetherian} \]
\[(3) \quad \varphi \text{ is flat,} \]
\[(4) \quad \text{the fibre rings } S \otimes_R \kappa(p) \text{ are reduced,} \]
\[(5) \quad R \text{ is reduced.} \]
Then \(S\) is reduced.

**Proof.** For Noetherian rings reduced is the same as having properties \((S_1)\) and \((R_0)\), see Lemma 151.3. Thus we know \(R\) and the fibre rings have these properties. Hence we may apply Lemmas 157.4 and 157.5 and we see that \(S\) is \((S_1)\) and \((R_0)\), in other words reduced by Lemma 151.3 again. □

**Lemma 157.7.** Let \(\varphi : R \rightarrow S\) be a ring map. Assume
\[(1) \quad \varphi \text{ is smooth,} \]
\[(2) \quad R \text{ is reduced.} \]
Then \(S\) is reduced.

**Proof.** Observe that \(R \rightarrow S\) is flat with regular fibres (see the list of results on smooth ring maps in Section 140). In particular, the fibres are reduced. Thus if \(R\) is Noetherian, then \(S\) is Noetherian and we get the result from Lemma 157.6.

In the general case we may find a finitely generated \(\mathbb{Z}\)-subalgebra \(R_0 \subset R\) and a smooth ring map \(R_0 \rightarrow S_0\) such that \(S \cong R \otimes_{R_0} S_0\), see remark (10) in Section 140. Now, if \(x \in S\) is an element with \(x^2 = 0\), then we can enlarge \(R_0\) and assume that \(x\) comes from an element \(x_0 \in S_0\). After enlarging \(R_0\) once more we may assume
that \( x_0^2 = 0 \) in \( S_0 \). However, since \( R_0 \subset R \) is reduced we see that \( S_0 \) is reduced and hence \( x_0 = 0 \) as desired. \( \square \)

0C22 Lemma 157.8. Let \( \varphi : R \to S \) be a ring map. Assume

(1) \( R \) is Noetherian,
(2) \( S \) is Noetherian,
(3) \( \varphi \) is flat,
(4) the fibre rings \( S \otimes_R \kappa(p) \) are normal, and
(5) \( R \) is normal.

Then \( S \) is normal.

Proof. For a Noetherian ring being normal is the same as having properties \((S_2)\) and \((R_1)\), see Lemma 151.4. Thus we know \( R \) and the fibre rings have these properties. Hence we may apply Lemmas 157.4 and 157.5 and we see that \( S \) is \((S_2)\) and \((R_1)\), in other words normal by Lemma 151.4 again. \( \square \)

033C Lemma 157.9. Let \( \varphi : R \to S \) be a ring map. Assume

(1) \( \varphi \) is smooth,
(2) \( R \) is normal.

Then \( S \) is normal.

Proof. Observe that \( R \to S \) is flat with regular fibres (see the list of results on smooth ring maps in Section 140). In particular, the fibres are normal. Thus if \( R \) is Noetherian, then \( S \) is Noetherian and we get the result from Lemma 157.8.

The general case. First note that \( R \) is reduced and hence \( S \) is reduced by Lemma 157.7. Let \( q \) be a prime of \( S \) and let \( p \) be the corresponding prime of \( R \). Note that \( R_p \) is a normal domain. We have to show that \( S_q \) is a normal domain. To do this we may replace \( R \) by \( R_p \) and \( S \) by \( S_p \). Hence we may assume that \( R \) is a normal domain.

Assume \( R \to S \) smooth, and \( R \) a normal domain. We may find a finitely generated \( \mathbb{Z} \)-subalgebra \( R_0 \subset R \) and a smooth ring map \( R_0 \to S_0 \) such that \( S \cong R \otimes_{R_0} S_0 \), see remark (10) in Section 140. As \( R_0 \) is a Nagata domain (see Proposition 156.16) we see that its integral closure \( R'_0 \) is finite over \( R_0 \). Moreover, as \( R \) is a normal domain it is clear that \( R'_0 \subset R \). Hence we may replace \( R_0 \) by \( R'_0 \) and \( S_0 \) by \( R'_0 \otimes_{R_0} S_0 \) and assume that \( R_0 \) is a normal Noetherian domain. By the first paragraph of the proof we conclude that \( S_0 \) is a normal ring (it need not be a domain of course). In this way we see that \( R = \bigcup R_\lambda \) is the union of normal Noetherian domains and correspondingly \( S = \text{colim} R_\lambda \otimes_{R_0} S_0 \) is the colimit of normal rings. This implies that \( S \) is a normal ring. Some details omitted. \( \square \)

07NF Lemma 157.10. Let \( \varphi : R \to S \) be a ring map. Assume

(1) \( \varphi \) is smooth,
(2) \( R \) is a regular ring.

Then \( S \) is regular.

Proof. This follows from Lemma 157.5 applied for all \((R_k)\) using Lemma 138.3 to see that the hypotheses are satisfied. \( \square \)
In this section we start proving some algebraic facts concerning the “descent” of properties of rings. It turns out that it is often “easier” to descend properties than it is to ascend them. In other words, the assumption on the ring map $R \to S$ are often weaker than the assumptions in the corresponding lemma of the preceding section. However, we warn the reader that the results on descent are often useless unless the corresponding ascent can also be shown! Here is a typical result which illustrates this phenomenon.

**Lemma 158.1.** Let $R \to S$ be a ring map. Assume that

1. $R \to S$ is faithfully flat, and
2. $S$ is Noetherian.

Then $R$ is Noetherian.

**Proof.** Let $I_0 \subset I_1 \subset I_2 \subset \ldots$ be a growing sequence of ideals of $R$. By assumption we have $I_n S = I_{n+1} S = I_{n+2} S = \ldots$ for some $n$. Since $R \to S$ is flat we have $I_k S = I_k \otimes_R S$. Hence, as $R \to S$ is faithfully flat we see that $I_n S = I_{n+1} S = I_{n+2} S = \ldots$ implies that $I_n = I_{n+1} = I_{n+2} = \ldots$ as desired.

**Lemma 158.2.** Let $R \to S$ be a ring map. Assume that

1. $R \to S$ is faithfully flat, and
2. $S$ is reduced.

Then $R$ is reduced.

**Proof.** This is clear as $R \to S$ is injective.

**Lemma 158.3.** Let $R \to S$ be a ring map. Assume that

1. $R \to S$ is faithfully flat, and
2. $S$ is a normal ring.

Then $R$ is a normal ring.

**Proof.** Since $S$ is reduced it follows that $R$ is reduced. Let $p$ be a prime of $R$. We have to show that $R_p$ is a normal domain. Since $S_p$ is faithfully over $R_p$ too we may assume that $R$ is local with maximal ideal $m$. Let $q$ be a prime of $S$ lying over $m$. Then Lemma 109.9 applies to $R_p \to S_q$ and we conclude that $R_p$ is regular. Since $p$ was arbitrary we see $R$ is regular.

**Lemma 158.4.** Let $R \to S$ be a ring map. Assume that

1. $R \to S$ is faithfully flat, and
2. $S$ is a regular ring.

Then $R$ is a regular ring.

**Proof.** We see that $R$ is Noetherian by Lemma 158.1. Let $p \subset R$ be a prime. Choose a prime $q \subset S$ lying over $p$. Then Lemma 109.9 applies to $R_p \to S_q$ and we conclude that $R_p$ is regular. Since $p$ was arbitrary we see $R$ is regular.

**Lemma 158.5.** Let $R \to S$ be a ring map. Assume that
Let \( \text{corresponds to a minimal prime of the fibre ring} \)

\[ \text{Proof.} \]

Let \( p \subset R \) be a prime ideal. Choose a prime \( q \subset S \) lying over \( p \) which corresponds to a minimal prime of the fibre ring \( S \otimes_R \kappa(p) \). Then \( A = R_p \rightarrow S_q = B \) is a flat local ring homomorphism of Noetherian local rings with \( m_A B \) an ideal of definition of \( B \). Hence \( \dim(A) = \dim(B) \) (Lemma 111.7) and \( \text{depth}(A) = \text{depth}(B) \) (Lemma 157.2). Hence since \( B \) has \( (S_k) \) we see that \( A \) has \( (S_k) \).

\[ \square \]

**Lemma 158.6.** Let \( R \rightarrow S \) be a ring map. Assume that

1. \( R \rightarrow S \) is faithfully flat, and
2. \( S \) is Noetherian and has property \((S_k)\).

Then \( R \) is Noetherian and has property \((R_k)\).

**Proof.** We have already seen that (1) and (2) imply that \( R \) is Noetherian, see Lemma 158.1. Let \( p \subset R \) be a prime ideal and assume \( \text{dim}(R_p) \leq k \). Choose a prime \( q \subset S \) lying over \( p \) which corresponds to a minimal prime of the fibre ring \( S \otimes_R \kappa(p) \). Then \( A = R_p \rightarrow S_q = B \) is a flat local ring homomorphism of Noetherian local rings with \( m_A B \) an ideal of definition of \( B \). Hence \( \dim(A) = \dim(B) \) (Lemma 111.7). As \( S \) has \( (R_k) \) we conclude that \( B \) is a regular local ring. By Lemma 109.9 we conclude that \( A \) is regular.

\[ \square \]

**Lemma 158.7.** Let \( R \rightarrow S \) be a ring map. Assume that

1. \( R \rightarrow S \) is smooth and surjective on spectra, and
2. \( S \) is a Nagata ring.

Then \( R \) is a Nagata ring.

**Proof.** Recall that a Nagata ring is the same thing as a Noetherian universally Japanese ring (Proposition 156.15). We have already seen that \( R \) is Noetherian in Lemma 158.1. Let \( R \rightarrow A \) be a finite type ring map into a domain. According to Lemma 156.3 it suffices to check that \( A \) is N-1. It is clear that \( B = A \otimes_R S \) is a finite type \( S \)-algebra and hence Nagata (Proposition 156.15). Since \( A \rightarrow B \) is smooth (Lemma 135.4) we see that \( B \) is reduced (Lemma 157.7). Since \( B \) is Noetherian it has only a finite number of minimal primes \( q_1, \ldots, q_t \) (see Lemma 30.6). As \( A \rightarrow B \) is flat each of these lies over \( (0) \subset A \) (by going down, see Lemma 38.18). The total ring of fractions \( Q(B) \) is the product of the \( L_i = \kappa(q_i) \) (Lemmas 24.4 and 24.1). Moreover, the integral closure \( B' \) of \( B \) in \( Q(B) \) is the product of the integral closures \( B'_i \) of \( B/q_i \) in the factors \( L_i \) (compare with Lemma 36.16). Since \( B \) is universally Japanese the ring extensions \( B/q_i \subset B'_i \) are finite and we conclude that \( B' = \prod B'_i \) is finite over \( B \). Since \( A \rightarrow B \) is flat we see that any nonzerodivisor on \( A \) maps to a nonzerodivisor on \( B \). The corresponding map

\[ Q(A) \otimes_A B = (A \setminus \{0\})^{-1} A \otimes_A B = (A \setminus \{0\})^{-1} B \rightarrow Q(B) \]

is injective (we used Lemma 11.15). Via this map \( A' \) maps into \( B' \). This induces a map

\[ A' \otimes_A B \rightarrow B' \]

which is injective (by the above and the flatness of \( A \rightarrow B \)). Since \( B' \) is a finite \( B \)-module and \( B \) is Noetherian we see that \( A' \otimes_A B \) is a finite \( B \)-module. Hence
there exist finitely many elements $x_i \in A'$ such that the elements $x_i \otimes 1$ generate $A' \otimes_A B$ as a $B$-module. Finally, by faithful flatness of $A \to B$ we conclude that the $x_i$ also generated $A'$ as an $A$-module, and we win. □

\[ \text{Remark 158.8.} \quad \text{The property of being “universally catenary” does not descend; not even along étale ring maps. In Examples, Section 16 there is a construction of a finite ring map } A \to B \text{ with } A \text{ local Noetherian and not universally catenary, } B \text{ semi-local with two maximal ideals } m, n \text{ with } B_m \text{ and } B_n \text{ regular of dimension 2 and 1 respectively, and the same residue fields as that of } A. \text{ Moreover, } m_A \text{ generates the maximal ideal in both } B_m \text{ and } B_n \text{ (so } A \to B \text{ is unramified as well as finite). By Lemma 147.11 there exists a local étale ring map } A \to A' \text{ such that } B \otimes_A A' = B_1 \times B_2 \text{ decomposes with } A' \to B_i \text{ surjective. This shows that } A' \text{ has two minimal primes } q_i \text{, with } A'/q_i \cong B_i. \text{ Since } B_i \text{ is regular local (since it is étale over either } B_m \text{ or } B_n) \text{ we conclude that } A' \text{ is universally catenary.} \]

159. Geometrically normal algebras

In this section we put some applications of ascent and descent of properties of rings.

\[ \text{Lemma 159.1.} \quad \text{Let } k \text{ be a field. Let } A \text{ be a } k \text{-algebra. The following properties of } A \text{ are equivalent:} \]

1. $k' \otimes_k A$ is a normal ring for every field extension $k'/k$,
2. $k' \otimes_k A$ is a normal ring for every finitely generated field extension $k'/k$,
3. $k' \otimes_k A$ is a normal ring for every finite purely inseparable extension $k'/k$,
4. $k_{\text{perf}} \otimes_k A$ is a normal ring.

Here normal ring is defined in Definition 36.11.

\[ \text{Proof.} \quad \text{It is clear that (1) } \Rightarrow (2) \Rightarrow (3) \text{ and (1) } \Rightarrow (4). \]

If $k'/k$ is a finite purely inseparable extension, then there is an embedding $k' \to k_{\text{perf}}$ of $k$-extensions. The ring map $k' \otimes_k A \to k_{\text{perf}} \otimes_k A$ is faithfully flat, hence $k' \otimes_k A$ is normal if $k_{\text{perf}} \otimes_k A$ is normal by Lemma 158.3. In this way we see that (4) $\Rightarrow$ (3).

Assume (2) and let $k \subset k'$ be any field extension. Then we can write $k' = \text{colim}_i k_i$ as a directed colimit of finitely generated field extensions. Hence we see that $k' \otimes_k A = \text{colim}_i k_i \otimes_k A$ is a directed colimit of normal rings. Thus we see that $k' \otimes_k A$ is a normal ring by Lemma 36.17. Hence (1) holds.

Assume (3) and let $k \subset K$ be a finitely generated field extension. By Lemma 14.3 we can find a diagram

\[
\begin{array}{ccc}
K & \to & K' \\
\downarrow & & \downarrow \\
k & \to & k'
\end{array}
\]

where $k \subset k'$, $K \subset K'$ are finite purely inseparable field extensions such that $k' \subset K'$ is separable. By Lemma 152.10 there exists a smooth $k'$-algebra $B$ such that $K'$ is the fraction field of $B$. Now we can argue as follows: Step 1: $k' \otimes_k A$ is a normal ring because we assumed (3). Step 2: $B \otimes_{k'} k' \otimes_k A$ is a normal ring as $k' \otimes_k A \to B \otimes_{k'} k' \otimes_k A$ is smooth (Lemma 135.4) and ascent of normality along smooth maps (Lemma 157.9). Step 3. $K' \otimes_k k' \otimes_k A = K' \otimes_k A$ is a normal ring as it is a localization of a normal ring (Lemma 36.13). Step 4. Finally $K \otimes_k A$ is a normal
Let $k$ be a field. A $k$-algebra $R$ is called geometrically normal over $k$ if the equivalent conditions of Lemma 159.1 hold.

**Definition 159.2.** Let $k$ be a field. A $k$-algebra $R$ is called geometrically normal over $k$ if the equivalent conditions of Lemma 159.1 hold.

**Proof.** This is clear as being a normal ring is checked at the localizations at prime ideals.

**Lemma 159.3.** Let $k$ be a field. A localization of a geometrically normal $k$-algebra is geometrically normal.

**Proof.** This is true because $k^{perf} \otimes_k K$ is a field. Namely, it is reduced for example by Lemma 43.1 and it has a unique prime ideal because $K \subset k^{perf} \otimes_k K$ is a universal homeomorphism.

**Lemma 159.4.** Let $k$ be a field. Let $K/k$ be a separable field extension. Then $K$ is geometrically normal over $k$.

**Proof.** This is true because $k^{perf} \otimes_k K$ is a field. Namely, it is reduced for example by Lemma 43.1 and it has a unique prime ideal because $K \subset k^{perf} \otimes_k K$ is a universal homeomorphism.

**Lemma 159.5.** Let $k$ be a field. Let $A, B$ be $k$-algebras. Assume $A$ is geometrically normal over $k$ and $B$ is a normal ring. Then $A \otimes_k B$ is a normal ring.

**Proof.** Let $\mathfrak{p}$ be a prime ideal of $A \otimes_k B$. Denote $\mathfrak{p}$, resp. $\mathfrak{q}$ the corresponding prime of $A$, resp. $B$. Then $(A \otimes_k B)_\mathfrak{p}$ is a localization of $A_\mathfrak{p} \otimes_k B_\mathfrak{q}$. Hence it suffices to prove the result for the ring $A_\mathfrak{p} \otimes_k B_\mathfrak{q}$, see Lemma 36.13 and Lemma 159.3. Thus we may assume $A$ and $B$ are domains.

Assume that $A$ and $B$ are domains with fractions fields $K$ and $L$. Note that $B$ is the filtered colimit of its finite type normal $k$-sub algebras (as $k$ is a Nagata ring, see Proposition 156.10) and hence the integral closure of a finite type $k$-sub algebra is still a finite type $k$-sub algebra by Proposition 156.15. By Lemma 36.17 we reduce to the case that $B$ is of finite type over $k$.

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Assume that $A$ and $B$ are domains with fractions fields $K$ and $L$. Note that $B$ is the filtered colimit of its finite type normal $k$-sub algebras (as $k$ is a Nagata ring, see Proposition 156.10) and hence the integral closure of a finite type $k$-sub algebra is still a finite type $k$-sub algebra by Proposition 156.15. By Lemma 36.17 we reduce to the case that $B$ is of finite type over $k$.

We claim that $K \otimes_k B$ and $A \otimes_k L$ are both normal rings. If this is true then any element $x$ of $Q(A \otimes_k B)$ which is integral over $A \otimes_k B$ is (by Lemma 36.12) contained in $K \otimes_k B \cap A \otimes_k L = A \otimes_k B$ and we’re done. Since $A \otimes_k L$ is a normal ring by assumption, it suffices to prove that $K \otimes_k B$ is normal.

As $A$ is geometrically normal over $k$ we see $K$ is geometrically normal over $k$ (Lemma 159.3) hence $K$ is geometrically reduced over $k$. Hence $K = \bigcup K_i$ is the union of finitely generated field extensions of $k$ which are geometrically reduced (Lemma 42.2). Each $K_i$ is the localization of a smooth $k$-algebra (Lemma 152.10). So $K_i \otimes_k B$ is the localization of a smooth $B$-algebra hence normal (Lemma 157.9). Thus $K \otimes_k B$ is a normal ring (Lemma 36.17) and we win.

**Lemma 159.6.** Let $k \subset k'$ be a separable algebraic field extension. Let $A$ be an algebra over $k'$. Then $A$ is geometrically normal over $k$ if and only if it is geometrically normal over $k'$. 
Proof. Let \( k \subset L \) be a finite purely inseparable field extension. Then \( L' = k' \otimes_k L \) is a field (see material in Fields, Section 28) and \( A \otimes_k L = A \otimes_{k'} L' \). Hence if \( A \) is geometrically normal over \( k' \), then \( A \) is geometrically normal over \( k \).

Assume \( A \) is geometrically normal over \( k' \). Let \( K/k' \) be a field extension. Then

\[
K \otimes_k A = (K \otimes_k A) \otimes (k' \otimes_k k')
\]

Since \( k' \otimes_k k' \to k' \) is a localization by Lemma 42.8, we see that \( K \otimes_k A \) is a localization of a normal ring, hence normal. \( \square \)

160. Geometrically regular algebras

Let \( k \) be a field. Let \( A \) be a Noetherian \( k \)-algebra. Let \( k \subset K \) be a finitely generated field extension. Then the ring \( K \otimes_k A \) is Noetherian as well, see Lemma 30.8. Thus the following lemma makes sense.

Lemma 160.1. Let \( k \) be a field. Let \( A \) be a \( k \)-algebra. Assume \( A \) is Noetherian.

The following properties of \( A \) are equivalent:

1. \( k' \otimes_k A \) is regular for every finitely generated field extension \( k \subset k' \), and
2. \( k' \otimes_k A \) is regular for every finite purely inseparable extension \( k \subset k' \).

Here regular ring is as in Definition 109.7.

Proof. The lemma makes sense by the remarks preceding the lemma. It is clear that (1) \( \Rightarrow \) (2).

Assume (2) and let \( k \subset K \) be a finitely generated field extension. By Lemma 44.3 we can find a diagram

\[
\begin{array}{ccc}
K & \longrightarrow & K' \\
| & | & | \\
k & \longrightarrow & k'
\end{array}
\]

where \( k \subset k' \), \( K \subset K' \) are finite purely inseparable field extensions such that \( k' \subset K' \) is separable. By Lemma 152.10 there exists a smooth \( k' \)-algebra \( B \) such that \( K' \) is the fraction field of \( B \). Now we can argue as follows: Step 1: \( k' \otimes_k A \) is a regular ring because we assumed (2). Step 2: \( B \otimes_{k'} k' \otimes_k A \) is a regular ring as \( k' \otimes_k A \to B \otimes_{k'} k' \otimes_k A \) is smooth (Lemma 135.4) and ascent of regularity along smooth maps (Lemma 157.10). Step 3. \( K' \otimes_{k'} k' \otimes_k k' = K' \otimes_k k' \) is a regular ring as it is a localization of a regular ring (immediate from the definition). Step 4. Finally \( K \otimes_k A \) is a regular ring by descent of regularity along the faithfully flat ring map \( K \otimes_k A \to K' \otimes_k A \) (Lemma 158.4). This proves the lemma. \( \square \)

Definition 160.2. Let \( k \) be a field. Let \( R \) be a Noetherian \( k \)-algebra. The \( k \)-algebra \( R \) is called geometrically regular over \( k \) if the equivalent conditions of Lemma 160.1 hold.

It is clear from the definition that \( K \otimes_k R \) is a geometrically regular algebra over \( K \) for any finitely generated field extension \( K \) of \( k \). We will see later (More on Algebra, Proposition 34.1) that it suffices to check \( R \otimes_k k' \) is regular whenever \( k \subset k' \subset k^{1/p} \) (finite).

Lemma 160.3. Let \( k \) be a field. Let \( A \to B \) be a faithfully flat \( k \)-algebra map. If \( B \) is geometrically regular over \( k \), so is \( A \).
**Proof.** Assume $B$ is geometrically regular over $k$. Let $k \subset k'$ be a finite, purely inseparable extension. Then $A \otimes_k k' \to B \otimes_k k'$ is faithfully flat as a base change of $A \to B$ (see Lemmas [29.3 and 38.7]) and $B \otimes_k k'$ is regular by our assumption on $B$ over $k$. Then $A \otimes_k k'$ is regular by Lemma [158.4] □

07QF **Lemma 160.4.** Let $k$ be a field. Let $A \to B$ be a smooth ring map of $k$-algebras. If $A$ is geometrically regular over $k$, then $B$ is geometrically regular over $k$.

**Proof.** Let $k \subset k'$ be a finitely generated field extension. Then $A \otimes_k k' \to B \otimes_k k'$ is a smooth ring map (Lemma [135.4]) and $A \otimes_k k'$ is regular. Hence $B \otimes_k k'$ is regular by Lemma [157.10] □

07QG **Lemma 160.5.** Let $k$ be a field. Let $A$ be an algebra over $k$. Let $k = \text{colim} k_i$ be a directed colimit of subfields. If $A$ is geometrically regular over each $k_i$, then $A$ is geometrically regular over $k$.

**Proof.** Let $k \subset k'$ be a finite purely inseparable field extension. We can get $k'$ by adjoining finitely many variables to $k$ and imposing finitely many polynomial relations. Hence we see that there exists an $i$ and a finite purely inseparable field extension $k_i \subset k_i'$ such that $k_i = k \otimes_k k_i'$. Thus $A \otimes_k k' = A \otimes_k k_i'$ and the lemma is clear. □

07QH **Lemma 160.6.** Let $k \subset k'$ be a separable algebraic field extension. Let $A$ be an algebra over $k'$. Then $A$ is geometrically regular over $k$ if and only if it is geometrically regular over $k'$.

**Proof.** Let $k \subset L$ be a finite purely inseparable field extension. Then $L' = k' \otimes_k L$ is a field (see material in Fields, Section [28]) and $A \otimes_k L = A \otimes_k L'$. Hence if $A$ is geometrically regular over $k'$, then $A$ is geometrically regular over $k$.

Assume $A$ is geometrically regular over $k$. Since $k'$ is the filtered colimit of finite extensions of $k$ we may assume by Lemma [160.5] that $k'/k$ is finite separable. Consider the ring maps

$$k' \to A \otimes_k k' \to A.$$ 

Note that $A \otimes_k k'$ is geometrically regular over $k'$ as a base change of $A$ to $k'$. Note that $A \otimes_k k' \to A$ is the base change of $k' \otimes_k k' \to k'$ by the map $k' \to A$. Since $k'/k$ is an étale extension of rings, we see that $k' \otimes_k k' \to k'$ is étale (Lemma [141.3]). Hence $A$ is geometrically regular over $k'$ by Lemma [160.4] □

### 161. Geometrically Cohen-Macaulay algebras

This section is a bit of a misnomer, since Cohen-Macaulay algebras are automatically geometrically Cohen-Macaulay. Namely, see Lemma [129.6] and Lemma [161.2] below.

**Lemma 161.1.** Let $k$ be a field and let $k \subset K$ and $k \subset L$ be two field extensions such that one of them is a field extension of finite type. Then $K \otimes_k L$ is a Noetherian Cohen-Macaulay ring.

**Proof.** The ring $K \otimes_k L$ is Noetherian by Lemma [30.8]. Say $K$ is a finite extension of the purely transcendental extension $k(t_1, \ldots, t_r)$. Then $k(t_1, \ldots, t_r) \otimes_k L \to K \otimes_k L$ is a finite free ring map. By Lemma [111.9] it suffices to show that $k(t_1, \ldots, t_r) \otimes_k L$ is Cohen-Macaulay. This is clear because it is a localization of the polynomial ring.
Let $S$ be a Noetherian $k$-algebra. Let $k \subset K$ be a finitely generated field extension, and set $S_K = K \otimes_k S$. Let $q \subset S$ be a prime of $S$. Let $q_K \subset S_K$ be a prime of $S_K$ lying over $q$. Then $S_q$ is Cohen-Macaulay if and only if $(S_K)_{q_K}$ is Cohen-Macaulay.

**Proof.** By Lemma 30.8 the ring $S_K$ is Noetherian. Hence $S_q \to (S_K)_{q_K}$ is a flat local homomorphism of Noetherian local rings. Note that the fibre

$$(S_K)_{q_K}/q(S_K)_{q_K} \cong (\kappa(q) \otimes_k K)_{q'}$$

is the localization of the Cohen-Macaulay (Lemma 161.1) ring $\kappa(q) \otimes_k K$ at a suitable prime ideal $q'$. Hence the lemma follows from Lemma 157.3. □

162. Colimits and maps of finite presentation, II

We start with an application of the openness of flatness. It says that we can approximate flat modules by flat modules which is useful.

**Lemma 162.1.** Let $R \to S$ be a ring map. Let $M$ be an $S$-module. Assume that

1. $R \to S$ is of finite presentation,
2. $M$ is a finitely presented $S$-module, and
3. $M$ is flat over $R$.

In this case we have the following:

1. There exists a finite type $\mathbf{Z}$-algebra $R_0$ and a finite type ring map $R_0 \to S_0$ and a finite $S_0$-module $M_0$ such that $M_0$ is flat over $R_0$, together with a ring maps $R_0 \to R$ and $S_0 \to S$ and an $S_0$-module map $M_0 \to M$ such that $S \cong R \otimes_{R_0} S_0$ and $M = S \otimes_{S_0} M_0$.
2. If $R = \text{colim}_{\lambda \in \Lambda} R_\lambda$ is written as a directed colimit, then there exists a $\lambda$ and a ring map $R_\lambda \to S_\lambda$ of finite presentation, and an $S_\lambda$-module $M_\lambda$ of finite presentation such that $M_\lambda$ is flat over $R_\lambda$ and such that $S = R \otimes_{R_\lambda} S_\lambda$ and $M = S \otimes_{S_\lambda} M_\lambda$.
3. If $(R \to S, M) = \text{colim}_{\lambda \in \Lambda} (R_\lambda \to S_\lambda, M_\lambda)$ is written as a directed colimit such that
   (a) $R_\mu \otimes_{R_\lambda} S_\lambda \to S_\mu$ and $S_\mu \otimes_{S_\lambda} M_\lambda \to M_\mu$ are isomorphisms for $\mu \geq \lambda$,
   (b) $R_\lambda \to S_\lambda$ is of finite presentation,
   (c) $M_\lambda$ is a finitely presented $S_\lambda$-module, then for all sufficiently large $\lambda$ the module $M_\lambda$ is flat over $R_\lambda$.

**Proof.** We first write $(R \to S, M)$ as the directed colimit of a system $(R_\lambda \to S_\lambda, M_\lambda)$ as in as in Lemma 126.18. Let $q \subset S$ be a prime. Let $p \subset R$, $q_\lambda \subset S_\lambda$, and $p_\lambda \subset R_\lambda$ the corresponding primes. As seen in the proof of Theorem 128.4

$$(R_\lambda)_{p_\lambda}, (S_\lambda)_{q_\lambda}, (M_\lambda)_{q_\lambda}$$

is a system as in Lemma 126.13 and hence by Lemma 127.3 we see that for some $\lambda_q \in \Lambda$ for all $\lambda \geq \lambda_q$ the module $M_\lambda$ is flat over $R_\lambda$ at the prime $q_\lambda$.

By Theorem 128.4 we get an open subset $U_\lambda \subset \text{Spec}(S)$ such that $M_\lambda$ flat over $R_\lambda$ at all the primes of $U_\lambda$. Denote $V_\lambda \subset \text{Spec}(S)$ the inverse image of $U_\lambda$ under the
map $\text{Spec}(S) \to \text{Spec}(S_\lambda)$. The argument above shows that for every $q \in \text{Spec}(S)$ there exists a $\lambda_0$ such that $q \in V_\lambda$ for all $\lambda \geq \lambda_0$. Since $\text{Spec}(S)$ is quasi-compact we see this implies there exists a single $\lambda_0 \in \Lambda$ such that $V_{\lambda_0} = \text{Spec}(S)$.

The complement $\text{Spec}(S_{\lambda_0}) \setminus U_{\lambda_0}$ is $V(I)$ for some ideal $I \subset S_{\lambda_0}$. As $V_{\lambda_0} = \text{Spec}(S)$ we see that $IS = S$. Choose $f_1, \ldots, f_r \in I$ and $s_1, \ldots, s_n \in S$ such that $\sum f_is_i = 1$. Since $\text{colim} S_\lambda = S$, after increasing $\lambda_0$ we may assume there exist $s_i, \lambda_0 \in S_{\lambda_0}$ such that $\sum f_is_i = 1$. Hence for this $\lambda_0$ we have $U_{\lambda_0} = \text{Spec}(S_{\lambda_0})$. This proves (1).

Proof of (2). Let $(R_0 \to S_0, M_0)$ be as in (1) and suppose that $R = \text{colim} R_\lambda$. Since $R_0$ is a finite type $\mathbf{Z}$ algebra, there exists a $\lambda$ and a map $R_0 \to R_\lambda$ such that $R_0 \to R_\lambda \to R$ is the given map $R_0 \to R$ (see Lemma 126.3). Then, part (2) follows by taking $S_\lambda = R_\lambda \otimes_{R_0} S_0$ and $M_\lambda = S_\lambda \otimes_{S_0} M_0$.

Finally, we come to the proof of (3). Let $(R_\lambda \to S_\lambda, M_\lambda)$ be as in (3). Choose $(R_0 \to S_0, M_0)$ and $R_0 \to R$ as in (1). As in the proof of (2), there exists a $\lambda_0$ and a ring map $R_0 \to R_{\lambda_0}$ such that $R_0 \to R_{\lambda_0} \to R$ is the given map $R_0 \to R$. Since $S_0$ is of finite presentation over $R_0$ and since $S = \text{colim} S_\lambda$ we see that for some $\lambda_1 \geq \lambda_0$ we get an $R_0$-algebra map $S_0 \to S_{\lambda_1}$ such that the composition $S_0 \to S_{\lambda_1} \to S$ is the given map $S_0 \to S$ (see Lemma 126.3). For all $\lambda \geq \lambda_1$ this gives maps

\[ \Psi_\lambda : R_\lambda \otimes_{R_0} S_0 \to R_\lambda \otimes_{R_\lambda} S_{\lambda_1} \cong S_\lambda \]

the last isomorphism by assumption. By construction $\text{colim}_\lambda \Psi_\lambda$ is an isomorphism. Hence $\Psi_\lambda$ is an isomorphism for all $\lambda$ large enough by Lemma 126.8. In the same vein, there exists a $\lambda_2 \geq \lambda_1$ and an $S_0$-module map $M_0 \to M_{\lambda_2}$ such that $M_0 \to M_{\lambda_2} \to M$ is the given map $M_0 \to M$ (see Lemma 126.5). For $\lambda \geq \lambda_2$ there is an induced map

\[ S_\lambda \otimes_{S_0} M_0 \to S_\lambda \otimes_{S_{\lambda_2}} M_{\lambda_2} \cong M_\lambda \]

and for $\lambda$ large enough this map is an isomorphism by Lemma 126.6. This implies (3) because $M_0$ is flat over $R_0$. \qed

\textbf{Lemma 162.2.} Let $R \to A \to B$ be ring maps. Assume $A \to B$ faithfully flat of finite presentation. Then there exists a commutative diagram

\[
\begin{array}{ccc}
R & \longrightarrow & A_0 \\
\downarrow & & \downarrow \\
R & \longrightarrow & A
\end{array}
\]

with $R \to A_0$ of finite presentation, $A_0 \to B_0$ faithfully flat of finite presentation and $B = A \otimes_{A_0} B_0$.

\textbf{Proof.} We first prove the lemma with $R$ replaced $\mathbf{Z}$. By Lemma 162.1 there exists a diagram

\[
\begin{array}{ccc}
A_0 & \longrightarrow & A \\
\uparrow & & \uparrow \\
B_0 & \longrightarrow & B
\end{array}
\]

where $A_0$ is of finite type over $\mathbf{Z}$, $B_0$ is flat of finite presentation over $A_0$ such that $B = A \otimes_{A_0} B_0$. As $A_0 \to B_0$ is flat of finite presentation we see that the image of $\text{Spec}(B_0) \to \text{Spec}(A_0)$ is open, see Proposition 40.8. Hence the complement of the image is $V(I_0)$ for some ideal $I_0 \subset A_0$. As $A \to B$ is faithfully flat the map
Spec(\(B\)) \to Spec(\(A\)) is surjective, see Lemma 38.16. Now we use that the base change of the image is the image of the base change. Hence \(I_0A = A\). Pick a relation \(\sum f_i r_i = 1\), with \(r_i \in A, f_i \in I_0\). Then after enlarging \(A_0\) to contain the elements \(r_i\) (and correspondingly enlarging \(B_0\)) we see that \(A_0 \to B_0\) is surjective on spectra also, i.e., faithfully flat.

Thus the lemma holds in case \(R = \mathbb{Z}\). In the general case, take the solution \(A'_0 \to B'_0\) just obtained and set \(A_0 = A'_0 \otimes \mathbb{Z} R, B_0 = B'_0 \otimes \mathbb{Z} R\).

\textbf{Lemma 162.3.} Let \(A = \text{colim}_{i \in I} A_i\) be a directed colimit of rings. Let \(0 \in I\) and \(\varphi_0 : B_0 \to C_0\) a map of \(A_0\)-algebras. Assume

1. \(A \otimes_{A_0} B_0 \to A \otimes_{A_0} C_0\) is finite,
2. \(C_0\) is of finite type over \(B_0\).

Then there exists an \(i \geq 0\) such that the map \(A_i \otimes_{A_0} B_0 \to A_i \otimes_{A_0} C_0\) is finite.

\textbf{Proof.} Let \(x_1, \ldots, x_m\) be generators for \(C_0\) over \(B_0\). Pick monic polynomials \(P_j \in A \otimes_{A_0} B_0[T]\) such that \(P_j(1 \otimes x_j) = 0\) in \(A \otimes_{A_0} C_0\). For some \(i \geq 0\) we can find \(P_{j,i} \in A_i \otimes_{A_0} B_0[T]\) mapping to \(P_j\). Since \(\otimes\) commutes with colimits we see that \(P_{j,i}(1 \otimes x_j)\) is zero in \(A_i \otimes_{A_0} C_0\) after possibly increasing \(i\). Then this \(i\) works.

\textbf{Lemma 162.4.} Let \(A = \text{colim}_{i \in I} A_i\) be a directed colimit of rings. Let \(0 \in I\) and \(\varphi_0 : B_0 \to C_0\) a map of \(A_0\)-algebras. Assume

1. \(A \otimes_{A_0} B_0 \to A \otimes_{A_0} C_0\) is surjective,
2. \(C_0\) is of finite type over \(B_0\).

Then for some \(i \geq 0\) the map \(A_i \otimes_{A_0} B_0 \to A_i \otimes_{A_0} C_0\) is surjective.

\textbf{Proof.} Let \(x_1, \ldots, x_m\) be generators for \(C_0\) over \(B_0\). Pick \(b_j \in A \otimes_{A_0} B_0\) mapping to \(1 \otimes x_j\) in \(A \otimes_{A_0} C_0\). For some \(i \geq 0\) we can find \(b_{j,i} \in A_i \otimes_{A_0} B_0\) mapping to \(b_j\). Then this \(i\) works.

\textbf{Lemma 162.5.} Let \(A = \text{colim}_{i \in I} A_i\) be a directed colimit of rings. Let \(0 \in I\) and \(\varphi_0 : B_0 \to C_0\) a map of \(A_0\)-algebras. Assume

1. \(A \otimes_{A_0} B_0 \to A \otimes_{A_0} C_0\) is unramified,
2. \(C_0\) is of finite type over \(B_0\).

Then for some \(i \geq 0\) the map \(A_i \otimes_{A_0} B_0 \to A_i \otimes_{A_0} C_0\) is unramified.

\textbf{Proof.} Set \(B_i = A_i \otimes_{A_0} B_0, C_i = A_i \otimes_{A_0} C_0, B = A \otimes_{A_0} B_0, \) and \(C = A \otimes_{A_0} C_0\). Let \(x_1, \ldots, x_m\) be generators for \(C_0\) over \(B_0\). Then \(dx_1, \ldots, dx_m\) generate \(\Omega_{C_0/B_0}\) over \(C_0\) and their images generate \(\Omega_{C_i/B_i}\) over \(C_i\) (Lemmas 130.14 and 130.9). Observe that \(0 = \Omega_{C/B} = \text{colim} \Omega_{C_i/B_i}\) (Lemma 130.4). Thus there is an \(i\) such that \(dx_1, \ldots, dx_m\) map to zero and hence \(\Omega_{C_i/B_i} = 0\) as desired.

\textbf{Lemma 162.6.} Let \(A = \text{colim}_{i \in I} A_i\) be a directed colimit of rings. Let \(0 \in I\) and \(\varphi_0 : B_0 \to C_0\) a map of \(A_0\)-algebras. Assume

1. \(A \otimes_{A_0} B_0 \to A \otimes_{A_0} C_0\) is an isomorphism,
2. \(B_0 \to C_0\) is of finite presentation.

Then for some \(i \geq 0\) the map \(A_i \otimes_{A_0} B_0 \to A_i \otimes_{A_0} C_0\) is an isomorphism.

\textbf{Proof.} By Lemma 162.4 there exists an \(i\) such that \(A_i \otimes_{A_0} B_0 \to A_i \otimes_{A_0} C_0\) is surjective. Since the map is of finite presentation the kernel is a finitely generated ideal. Let \(g_1, \ldots, g_r \in A_i \otimes_{A_0} B_0\) generate the kernel. Then we may pick \(i' \geq i\)
such that \( g_j \) map to zero in \( A'_i \otimes_{A_0} B_0 \). Then \( A'_i \otimes_{A_0} B_0 \to A'_i \otimes_{A_0} C_0 \) is an isomorphism.

\[ \square \]

**Lemma 162.7.** Let \( A = \text{colim}_{i \in I} A_i \) be a directed colimit of rings. Let \( 0 \in I \) and \( \varphi_0 : B_0 \to C_0 \) a map of \( A_0 \)-algebras. Assume

1. \( A \otimes_{A_0} B_0 \to A \otimes_{A_0} C_0 \) is étale,
2. \( B_0 \to C_0 \) is of finite presentation.

Then for some \( i \geq 0 \) the map \( A_i \otimes_{A_0} B_0 \to A_i \otimes_{A_0} C_0 \) is étale.

**Proof.** Write \( C_0 = B_0[x_1, \ldots, x_n]/(f_1,0, \ldots, f_{m,0}) \). Write \( B_i = A_i \otimes_{A_0} B_0 \) and \( C_i = A_i \otimes_{A_0} C_0 \). Note that \( C_i = B_i[x_1, \ldots, x_n]/(f_{1,i}, \ldots, f_{m,i}) \) where \( f_{j,i} \) is the image of \( f_{j,0} \) in the polynomial ring over \( B_i \). Write \( B = A \otimes_{A_0} B_0 \) and \( C = A \otimes_{A_0} C_0 \). Note that \( C = B[x_1, \ldots, x_n]/(f_1, \ldots, f_m) \) where \( f_j \) is the image of \( f_{j,0} \) in the polynomial ring over \( B \). The assumption is that the map

\[
d : (f_1, \ldots, f_m)/(f_1, \ldots, f_{m,i})^2 \to \bigoplus C dx_k
\]

is an isomorphism. Thus for sufficiently large \( i \) we can find elements

\[
\xi_{k,i} \in (f_1, \ldots, f_m)/(f_1, \ldots, f_{m,i})^2
\]

with \( d\xi_{k,i} = dx_k \) in \( \bigoplus C dx_k \). Moreover, on increasing \( i \) if necessary, we see that

\[
\sum (\partial f_j/\partial x_k) \xi_{k,i} = f_j \mod (f_1, \ldots, f_{m,i})^2
\]

since this is true in the limit. Then this \( i \) works.

**Lemma 162.8.** Let \( A = \text{colim}_{i \in I} A_i \) be a directed colimit of rings. Let \( 0 \in I \) and \( \varphi_0 : B_0 \to C_0 \) a map of \( A_0 \)-algebras. Assume

1. \( A \otimes_{A_0} B_0 \to A \otimes_{A_0} C_0 \) is smooth,
2. \( B_0 \to C_0 \) is of finite presentation.

Then for some \( i \geq 0 \) the map \( A_i \otimes_{A_0} B_0 \to A_i \otimes_{A_0} C_0 \) is smooth.

**Proof.** Write \( C_0 = B_0[x_1, \ldots, x_n]/(f_1,0, \ldots, f_{m,0}) \). Write \( B_i = A_i \otimes_{A_0} B_0 \) and \( C_i = A_i \otimes_{A_0} C_0 \). Note that \( C_i = B_i[x_1, \ldots, x_n]/(f_{1,i}, \ldots, f_{m,i}) \) where \( f_{j,i} \) is the image of \( f_{j,0} \) in the polynomial ring over \( B_i \). Write \( B = A \otimes_{A_0} B_0 \) and \( C = A \otimes_{A_0} C_0 \). Note that \( C = B[x_1, \ldots, x_n]/(f_1, \ldots, f_m) \) where \( f_j \) is the image of \( f_{j,0} \) in the polynomial ring over \( B \). The assumption is that the map

\[
d : (f_1, \ldots, f_m)/(f_1, \ldots, f_{m,i})^2 \to \bigoplus C dx_k
\]

is a split injection. Let \( \xi_k \in (f_1, \ldots, f_m)/(f_1, \ldots, f_{m,i})^2 \) be elements such that

\[
\sum (\partial f_j/\partial x_k) \xi_k = f_j \mod (f_1, \ldots, f_{m,i})^2
\]

Then for sufficiently large \( i \) we can find elements

\[
\xi_{k,i} \in (f_1, \ldots, f_m)/(f_1, \ldots, f_{m,i})^2
\]

with \( \sum (\partial f_{j,i}/\partial x_k) \xi_{k,i} = f_{j,i} \mod (f_1, \ldots, f_{m,i})^2 \) since this is true in the limit. Then this \( i \) works.

**Lemma 162.9.** Let \( A = \text{colim}_{i \in I} A_i \) be a directed colimit of rings. Let \( 0 \in I \) and \( \varphi_0 : B_0 \to C_0 \) a map of \( A_0 \)-algebras. Assume

1. \( A \otimes_{A_0} B_0 \to A \otimes_{A_0} C_0 \) is syntomic (resp. a relative global complete intersection),
2. \( C_0 \) is of finite presentation over \( B_0 \).

Then there exists an \( i \geq 0 \) such that the map \( A_i \otimes_{A_0} B_0 \to A_i \otimes_{A_0} C_0 \) is syntomic (resp. a relative global complete intersection).
Proof. Assume $A \otimes_{A_0} B_0 \to A \otimes_{A_0} C_0$ is a relative global complete intersection. By Lemma 134.12 there exists a finite type $\mathbf{Z}$-algebra $R$, a ring map $R \to A \otimes_{A_0} B_0$, a relative global complete intersection $R \to S$, and an isomorphism

$$(A \otimes_{A_0} B_0) \otimes_R S \longrightarrow A \otimes_{A_0} C_0$$

Because $R$ is of finite type (and hence finite presentation) over $\mathbf{Z}$, there exists an $i$ and a map $R \to A_i \otimes_{A_0} B_0$ lifting the map $R \to A \otimes_{A_0} B_0$, see Lemma 126.3. Using the same lemma, there exists an $i' \geq i$ such that $(A_i \otimes_{A_0} B_0) \otimes_R S \to A \otimes_{A_0} C_0$. Thus we may assume, after replacing $i$ by $i'$, that the displayed map comes from an $A_i \otimes_{A_0} B_0$-algebra map

$$(A_i \otimes_{A_0} B_0) \otimes_R S \longrightarrow A_i \otimes_{A_0} C_0$$

By Lemma 162.6 after increasing $i$ this map is an isomorphism. This finishes the proof in this case because the base change of a relative global complete intersection is a relative global complete intersection by Lemma 134.10.

Assume $A \otimes_{A_0} B_0 \to A \otimes_{A_0} C_0$ is syntomic. Then there exist elements $g_1, \ldots, g_m$ in $A \otimes_{A_0} C_0$ generating the unit ideal such that $A \otimes_{A_0} B_0 \to (A \otimes_{A_0} C_0)_{g_j}$ is a relative global complete intersection, see Lemma 134.15. We can find an $i$ and elements $g_{i,j} \in A_i \otimes_{A_0} C_0$ mapping to $g_j$. After increasing $i$ we may assume $g_{i,1}, \ldots, g_{i,m}$ generate the unit ideal of $A_i \otimes_{A_0} C_0$. The result of the previous paragraph implies that, after increasing $i$, we may assume the maps $A_i \otimes_{A_0} B_0 \to (A \otimes_{A_0} C_0)_{g_{i,j}}$ are relative global complete intersections. Then $A_i \otimes_{A_0} B_0 \to A_i \otimes_{A_0} C_0$ is syntomic by Lemma 134.4 (and the already used Lemma 134.15). □

The following lemma is an application of the results above which doesn’t seem to fit well anywhere else.

Lemma 162.10. Let $R \to S$ be a faithfully flat ring map of finite presentation. Then there exists a commutative diagram

$$
\begin{array}{ccc}
S & \longrightarrow & S' \\
\downarrow & & \downarrow \\
R & \longrightarrow & S'
\end{array}
$$

where $R \to S'$ is quasi-finite, faithfully flat and of finite presentation.

Proof. As a first step we reduce this lemma to the case where $R$ is of finite type over $\mathbf{Z}$. By Lemma 162.2 there exists a diagram

$$
\begin{array}{ccc}
S_0 & \longrightarrow & S \\
\downarrow & & \downarrow \\
R_0 & \longrightarrow & R
\end{array}
$$

where $R_0$ is of finite type over $\mathbf{Z}$, and $S_0$ is faithfully flat of finite presentation over $R_0$ such that $S = R \otimes_{R_0} S_0$. If we prove the lemma for the ring map $R_0 \to S_0$, then the lemma follows for $R \to S$ by base change, as the base change of a quasi-finite ring map is quasi-finite, see Lemma 121.8. (Of course we also use that base changes of flat maps are flat and base changes of maps of finite presentation are of finite presentation.)
Assume $R \to S$ is a faithfully flat ring map of finite presentation and that $R$ is Noetherian (which we may assume by the preceding paragraph). Let $W \subset \text{Spec}(S)$ be the open set of Lemma \ref{lem-open}. As $R \to S$ is faithfully flat the map $\text{Spec}(S) \to \text{Spec}(R)$ is surjective, see Lemma \ref{lem-faithful}. By Lemma \ref{lem-open}, the map $W \to \text{Spec}(R)$ is also surjective. Hence by replacing $S$ with a product $S_{g_1} \times \ldots \times S_{g_m}$ we may assume $W = \text{Spec}(S)$; here we use that $\text{Spec}(R)$ is quasi-compact (Lemma \ref{lem-quasi-compact}), and that the map $\text{Spec}(S) \to \text{Spec}(R)$ is open (Proposition \ref{prop-open}). Suppose that $p \subset R$ is a prime. Choose a prime $q \subset S$ lying over $p$ which corresponds to a maximal ideal of the fibre ring $S \otimes_R \kappa(p)$. The Noetherian local ring $\overline{S}_q = S_q/p\overline{S}_q$ is Cohen-Macaulay, say of dimension $d$. We may choose $f_1, \ldots, f_d$ in the maximal ideal of $S_q$ which map to a regular sequence in $\overline{S}_q$. Choose a common denominator $g \in S$, $g \not\in q$ of $f_1, \ldots, f_d$, and consider the $R$-algebra $S' = S_g/(f_1, \ldots, f_d)$.

By construction there is a prime ideal $q' \subset S'$ lying over $p$ and corresponding to $q$ (via $S_g \to S'_g$). Also by construction the ring map $R \to S'$ is quasi-finite at $q$ as the local ring $S'_q/pS'_q = S_q/(f_1, \ldots, f_d) + p\overline{S}_q = \overline{S}_q/(\overline{f}_1, \ldots, \overline{f}_d)$ has dimension zero, see Lemma \ref{lem-finite-dim-zero}. Also by construction the ring map $R \to S'$ is of finite presentation. Finally, by Lemma \ref{lem-flatness}, the local ring map $R_p \to S'_q$ is flat (this is where we use that $R$ is Noetherian). Hence, by openness of flatness (Theorem \ref{thm-open-flat}), and openness of quasi-finiteness (Lemma \ref{lem-open}) we may after replacing $g$ by $g' \in S$, $g' \not\in q$ assume that $R \to S'$ is flat and quasi-finite. The image $\text{Spec}(S') \to \text{Spec}(R)$ is open and contains $p$. In other words we have shown a ring $S'$ as in the statement of the lemma exists (except possibly the faithfulness part) whose image contains any given prime. Using one more time the quasi-compactness of $\text{Spec}(R)$ we see that a finite product of such rings does the job. \qed

163. Other chapters

Preliminaries

(1) Introduction
(2) Conventions
(3) Set Theory
(4) Categories
(5) Topology
(6) Sheaves on Spaces
(7) Sites and Sheaves
(8) Stacks
(9) Fields
(10) Commutative Algebra
(11) Brauer Groups
(12) Homological Algebra
(13) Derived Categories
(14) Simplicial Methods
(15) More on Algebra
(16) Smoothing Ring Maps

(17) Sheaves of Modules
(18) Modules on Sites
(19) Injectives
(20) Cohomology of Sheaves
(21) Cohomology on Sites
(22) Differential Graded Algebra
(23) Divided Power Algebra
(24) Hypercoverings

Schemes

(25) Schemes
(26) Constructions of Schemes
(27) Properties of Schemes
(28) Morphisms of Schemes
(29) Cohomology of Schemes
(30) Divisors
(31) Limits of Schemes
(32) Varieties
References


