

PURE DESCENT FOR THE MODULE OF ZARISKI DIFFERENTIALS

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ABSTRACT. It will be shown that for any given pure extension $A \rightarrow B$ of noetherian k -algebras, with k being a field of characteristic zero, and for any prime ideal $\mathfrak{p} \subseteq A$ the Zariski-Lipman conjecture for $A_{\mathfrak{p}}$ is solvable, if B is a locally factorial domain for which the finite differential module is reflexive. We will also discuss an embedding property with respect to the module of Zariski differentials of $A_{\mathfrak{p}}$.

1. Preliminaries. A homomorphism $\varphi: R \rightarrow S$ of rings is defined to be *pure*, if for any R -module M the canonical map $M \rightarrow M \otimes_R S$ is injective. If, for instance, R is a direct R -summand of S (via φ), then φ is pure. If the extension $R \rightarrow S$ is pure, all ideals in R are contracted, and therefore noetherianness and normality descend. We say that $\varphi: R \rightarrow S$ is *pure in a prime ideal* $\mathfrak{q} \subseteq S$, if the induced homomorphism $R_{\mathfrak{p}} \rightarrow S_{\mathfrak{q}}$, $\mathfrak{p} := \varphi^{-1}(\mathfrak{q})$, is pure. If R is a local ring, the purity of $\varphi: R \rightarrow S$ is equivalent to saying that $E \rightarrow E \otimes_R S$ is injective, where E denotes the injective hull of the R -module R/\mathfrak{m}_R , see (6.11) in [3]. Let $x \in E$ generate the one-dimensional socle of the R -module E and $\mathfrak{c} := \text{Ann}_S(x \otimes 1)$ with $\mathfrak{m}_R S \subseteq \mathfrak{c} \subseteq S$. Then φ is pure if and only if $\mathfrak{c} \neq S$, and in this case there exist prime ideals $\mathfrak{q} \subseteq S$ —precisely those which contain \mathfrak{c} —such that φ is pure in \mathfrak{q} , i.e. the induced homomorphism $R \rightarrow S_{\mathfrak{q}}$ is pure, too.

Secondly, we will discuss a class of pure extensions *in characteristic zero*. Let $\varphi: R \rightarrow S$ be a local homomorphism of local noetherian rings, and let φ be *nondegenerate* in the following sense:

- (i) S satisfies the chain condition for prime ideals, i.e., if $\mathfrak{Q}, \mathfrak{Q}'$ are prime ideals in S with $\mathfrak{Q} \subseteq \mathfrak{Q}'$, then $\text{codim } \mathfrak{Q} + \text{codim } \mathfrak{Q}'/\mathfrak{Q} = \text{codim } \mathfrak{Q}'$, and
- (ii) the equality $\dim R + \dim S/\mathfrak{m}_R S = \dim S$ holds.

If furthermore R and S are analytically normal domains over a field k of characteristic zero, then φ is pure.

PROOF. We may assume that $R = \text{proj lim } R/\mathfrak{m}_R^i$ and $S = \text{proj lim } S/\mathfrak{m}_S^i$ are complete and that k is a field of representatives of R . There exists a field K of representatives of S containing k . The extension $R \rightarrow R \hat{\otimes}_k K$ is faithfully flat, and the extended homomorphism $R \hat{\otimes}_k K \rightarrow S$ is nondegenerate. Therefore we may even assume $k = S/\mathfrak{m}_S$. Now, let $r := \dim S/\mathfrak{m}_R S$ and t_1, \dots, t_r be elements of \mathfrak{m}_S whose residue classes modulo $\mathfrak{m}_R S$ form a system of parameters in $S/\mathfrak{m}_R S$. The extended homomorphism $R' := R[T_1, \dots, T_r] \xrightarrow{\varphi'} S$ with $\varphi'|_R = \varphi$ and

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$T_i \mapsto t_i$ is finite and injective by reasons of dimension. Since $\text{rank}_R S$ is a unit in k , the canonical trace gives a projection $\pi: S \rightarrow R'$ such that $\pi \circ \varphi'$ is the identity on R' . Therefore R' is a direct R' -summand of S (via φ'), hence φ' is pure. Since $R \rightarrow R'$ is faithfully flat, the assertion follows. In particular, the conditions (i) and (ii) imply:

(1) The height of a prime ideal in R coincides with the height of its extension in S .

(2) Any prime ideal of height h in S contracts to one of height $< h$ in R .

(3) For any prime ideal $\mathfrak{q} \subseteq S$ the homomorphism $\varphi: R \rightarrow S$ is *nondegenerate* in \mathfrak{q} , i.e. the local homomorphism $R_{\mathfrak{p}} \rightarrow S_{\mathfrak{q}}$, $\mathfrak{p} := \mathfrak{q} \cap R$, is nondegenerate.

In summary: *If $\varphi: R \rightarrow S$ is a nondegenerate local homomorphism of excellent normal local rings over a field of characteristic zero, then φ is pure and nondegenerate in any given prime ideal $\mathfrak{q} \subseteq S$.*

We outline the *proof* of (1); the assertions (2) and (3) are easy consequences. Let \mathfrak{p} be a prime ideal of height c in R . Since $R_{\mathfrak{p}} \rightarrow S_{\mathfrak{p}}$ is pure, $\mathfrak{p}S_{\mathfrak{p}}$ is not the unit ideal, and therefore

$$c = \dim R_{\mathfrak{p}} > \text{codim } \mathfrak{p}S_{\mathfrak{p}} > \text{codim } \mathfrak{p}S.$$

Now assume $c > \text{codim } \mathfrak{p}S$. Let $\mathfrak{q} \subseteq S$ be a minimal prime ideal of $\mathfrak{p}S$ with $\text{codim } \mathfrak{q} = \text{codim } \mathfrak{p}S$. There exist elements g_1, \dots, g_{r-c} , $r := \dim R$, such that $\mathfrak{p} + \sum_{i=1}^{r-c} Rg_i$ is a \mathfrak{m}_R -primary ideal in R . It follows $\text{codim}(\mathfrak{q} + \sum_{i=1}^{r-c} Sg_i) > r$. If $c > \text{codim } \mathfrak{q}$, this contradicts Krull's principal ideal theorem for the ring S/\mathfrak{q} .

All rings are considered to be commutative with 1, all modules (and algebras) are unitary. If \mathfrak{p} is a prime ideal in the ring R , we denote by $\kappa(\mathfrak{p})$ the residue field of $R_{\mathfrak{p}}$. If R is a local ring, the maximal ideal of R is denoted by \mathfrak{m}_R .

2. Pure extensions and differential descent. In this section let k be a field of characteristic zero and $\varphi: A \rightarrow B$ be a local homomorphism of local noetherian k -algebras for which the finite differential modules $D_k(A)$ and $D_k(B)$ exist. For the theory of finite differential modules we refer the reader to [8]. Assume that $\mathfrak{q} \subseteq B$ is a prime ideal such that

(1) $B_{\mathfrak{q}}$ is a normal domain and $D_k(B)_{\mathfrak{q}}$ is reflexive, and

(2) φ is pure in \mathfrak{q} .

Let $\mathfrak{p} := \varphi^{-1}(\mathfrak{q})$ and $V = D(\mathfrak{a}) \subseteq X := \text{Spec } A_{\mathfrak{p}}$ be the regular locus of $A_{\mathfrak{p}}$ with an ideal $\mathfrak{a} \subseteq A_{\mathfrak{p}}$ of height > 2 . Let Y denote the affine scheme $\text{Spec } B_{\mathfrak{q}}$ and $\varphi_*: Y \rightarrow X$ the induced morphism of affine schemes. We denote by $U \subseteq Y$ the open set $\varphi_*^{-1}(V)$ and by $Z \subseteq Y$ the closed subset $Y \setminus U$.

If $Z \neq \emptyset$, then \mathfrak{a} is not the unit ideal, and therefore V is not affine. It follows that $U = \varphi_*^{-1}(V)$ is not affine, too, since for any $A_{\mathfrak{p}}$ -module M the canonical homomorphisms

$$H^i(V, \tilde{M}) \rightarrow H^i(U, \widetilde{M \otimes_{A_{\mathfrak{p}}} B_{\mathfrak{q}}}), \quad i > 0,$$

are injective; see §6 in [3].

The methods which we use in the proof of the following proposition are similar to those of (3.1) in [6].

PROPOSITION 1. *If $\text{codim}_Y Z \geq 2$, then there exist (at least) $s := \dim A_p$ elements $f_1, \dots, f_s \in \mathfrak{p}$, whose differentials df_1, \dots, df_s form part of a minimal system of generators of $(D_k(A))_{\mathfrak{p}}^{**}$ via the canonical homomorphism $D_k(A)_{\mathfrak{p}} \rightarrow (D_k(A))_{\mathfrak{p}}^{**}$.*

PROOF. Let f_1, \dots, f_t be elements of \mathfrak{p} , which minimally generate a *minimal differential reduction* $\mathfrak{b}' \subseteq B_q$ of the ideal $\mathfrak{b} := \mathfrak{p}B_q$ —for this term see [7]—i.e. the differentials df_1, \dots, df_t with $f_i \in \mathfrak{p}$ are a minimal system of generators of the B_q/\mathfrak{b} -module

$$U(\mathfrak{b}) := B_q d_q \mathfrak{b} / \mathfrak{b} D_k(B)_q.$$

In (8.11) of [8] G. Scheja and U. Storch have shown that \mathfrak{b} is integrally dependent on \mathfrak{b}' , i.e. there exists an integer n with

$$\mathfrak{b}' \cdot \mathfrak{b}^n = \mathfrak{b}^{n+1}.$$

Since $\mathfrak{b}' = (f_1, \dots, f_t) \cdot B_q$ and $\mathfrak{b} = \mathfrak{p}B_q$ are extended ideals, we obtain that

$$(f_1, \dots, f_t)A_p \cdot (\mathfrak{p}A_p)^n = (\mathfrak{p}A_p)^{n+1},$$

because $A_p \rightarrow B_q$ is pure, and therefore all ideals in A_p are contracted. It follows that f_1, \dots, f_t generate a $\mathfrak{p}A_p$ -primary ideal in A_p ; hence $t \geq \dim A_p$. Now, let F denote the A_p -submodule of $D_k(A)_p$ generated by df_1, \dots, df_t . Because of $U(\mathfrak{b}) = B_q d_p \mathfrak{p} / \mathfrak{p} D_k(B)_q$ the minimal number of generators of F is t and the canonical induced map

$$F \otimes_{A_p} \kappa(\mathfrak{p}) \rightarrow D_k(B)_q \otimes_{A_p} \kappa(\mathfrak{p})$$

is injective. Therefore it only remains to be shown that the canonical A_p -homomorphism ψ in the composition

$$F \rightarrow D_k(A)_p \xrightarrow{\psi} D_k(B)_q$$

factors through $(D_k(A))_{\mathfrak{p}}^{**}$. Because of $\text{codim}_Y Z \geq 2$ there exist elements $g, h \in \mathfrak{a}$ (recall that $D(\mathfrak{a})$ is the regular locus of A_p), which form a prime sequence in A_p as well as in B_q . Because of

$$(D_k(A))_{\mathfrak{p}}^{**} = ((D_k(A))_{\mathfrak{p}}^{**})_g \cap ((D_k(A))_{\mathfrak{p}}^{**})_h = (D_k(A)_p)_g \cap (D_k(A)_p)_h$$

and

$$D_k(B)_q = (D_k(B)_q)_g \cap (D_k(B)_q)_h$$

the assertion of the proposition follows.

REMARK 1. The condition $\text{codim}_Y Z \geq 2$ is automatically satisfied, if φ is nondegenerate in \mathfrak{a} .

REMARK 2. The elements $f_1, \dots, f_s \in \mathfrak{p}$ in Proposition 1 may be chosen as part of any given system of generators of \mathfrak{p} or of $\mathfrak{p}A_p$. In particular, they may be chosen as a system of parameters of A_p ; see the proof of Proposition 1.

REMARK 3. One can replace the hypothesis that A and B are *local* rings by the assumption that the canonical homomorphism $D_k(A) \rightarrow D_k(B)$ exists.

REMARK 4. In view of condition (1) at the beginning of this section we recall some criteria for $D_k(B)_q$ to be reflexive. This is the case, if, for instance, one of the following conditions is satisfied.

(a) B_q is an (abstract) complete intersection which is regular in codimension 2.

(b) The homological codimension of $D_k(B)_q$ is at least by 2 larger than the dimension of the singular locus of B_q .

(c) B is an (analytic) singularity of the cone over a Sègre variety.

If $\text{codim}_Y Z \geq 2$, the Zariski-Lipman conjecture for A_p is evidently solvable: If $(D_k(A))_p^*$ is free, A_p is regular.

PROOF. If $(D_k(A))_p^*$ is free, the differentials df_1, \dots, df_s in Proposition 1 form part of a free basis of $(D_k(A))_p^{**}$. Hence there exist derivations of A_p $\delta_1, \dots, \delta_s$ with $\delta_i f_j = \delta_{ij}$, $i, j = 1, \dots, s$, and A_p is therefore regular, see [9].

However, we still obtain the solution of the Zariski-Lipman conjecture for A_p , if we require a geometric condition on $Y = \text{Spec } B_q$ (instead of $\text{codim}_Y Z \geq 2$) in the sense of the following definition; compare also condition (W') in [2, p. 308]:

DEFINITION. Let $\text{Spec } S$ be a noetherian affine scheme. We say that $\text{Spec } S$ (or simply S) is *divisorially affine*, if $\text{Spec } S$ is a (reduced) normal scheme and if the complement of every divisor in $\text{Spec } S$, i.e. of every closed pure one-codimensional set is affine.

A noetherian scheme is divisorially affine if and only if all localizations are divisorially affine. It is well known that all (noetherian) *factorial domains* (even all *locally almost factorial rings*) and, by (2.7) in [1], all *excellent normal domains of dimension 2* are divisorially affine. We now prove

PROPOSITION 2. Let $Y = \text{Spec } B_q$ be divisorially affine. If $(D_k(A))_p^*$ is free, A_p is regular.

PROOF. According to the remarks on purity in §1 we may assume $V = X \setminus \{\mathfrak{p}A_p\}$. Since $A_p \rightarrow B_q$ is pure, $U = \varphi_*^{-1}(V)$ is not affine. $Y = \text{Spec } B_q$ is divisorially affine; it follows that $Z = Y \setminus U$ cannot be of pure codimension 1, i.e. there exists an irreducible component of Z of codimension ≥ 2 . Therefore, let $\mathfrak{q}'B_q \supseteq \mathfrak{p}B_q$ be a minimal prime ideal of $\mathfrak{p}B_q$ of height ≥ 2 . We consider the local injection $A_p \rightarrow B_{q'}$ (which is not necessarily pure!). Because of $\text{codim } \mathfrak{p}B_{q'} = \dim B_{q'} \geq 2$ the canonical A_p -homomorphism $D_k(A)_p \rightarrow D_k(B)_{q'}$ factors through $(D_k(A))_p^{**}$; see the proof of Proposition 1. Now, the module $U(\mathfrak{p}B_{q'}) = B_{q'} d\mathfrak{p} / \mathfrak{p}D_k(B)_{q'}$ is not zero, because otherwise $\mathfrak{p}B_{q'}$ would be nilpotent. Let $f \in \mathfrak{p}$ with $df \notin \mathfrak{p}D_k(B)_{q'}$. It then follows that the differential df is part of a free basis of $(D_k(A))_p^{**}$. Hence there exists a derivation δ of A_p with $\delta f = 1$. This contradicts the well-known lemma of Zariski. [For, if $\delta f = 1$ with $f \in \mathfrak{p}$, then there exists a subring $R \subseteq A_p^\wedge$ such that $A_p^\wedge = R[[f]]$ is a power series ring in f over R ; see Theorem 2 in [4].] Let $\mathfrak{c} := \mathfrak{m}_R \cdot A_p^\wedge$ be the nonmaximal prime ideal in A_p^\wedge . Then $(A_p^\wedge)_{\mathfrak{c}}$ is regular by the assumption on the regular locus of the (excellent) domain A_p . Since $R \rightarrow (A_p^\wedge)_{\mathfrak{c}}$ is faithfully flat, R and $A_p^\wedge = R[[f]]$ are regular.]

We do not know whether the geometric condition on $Y = \text{Spec } B_q$ in Proposition 2 is really necessary.

3. Applications. Let k be a field of characteristic zero. From Proposition 2 we obtain

COROLLARY 1. *Let $A \rightarrow B$ be a pure extension of noetherian k -algebras for which the finite differential modules $D_k(A)$ and $D_k(B)$ exist. Let B be divisorially affine and $D_k(B)$ be reflexive. If $(D_k(A))_{\mathfrak{p}}^*$ is free for a prime ideal $\mathfrak{p} \subseteq A$, $A_{\mathfrak{p}}$ is regular.*

PROOF. Let $\mathfrak{m} \supseteq \mathfrak{p}$ be a maximal ideal in A . According to the remarks on purity in §1 there exists a maximal ideal $\mathfrak{M} \subseteq B$ lying over \mathfrak{m} such that the homomorphism $A_{\mathfrak{m}} \rightarrow B_{\mathfrak{M}}$ is pure, too. Therefore we may assume that A and B are local rings. Since there is a prime ideal $\mathfrak{q} \subseteq B$ lying over \mathfrak{p} such that $A_{\mathfrak{p}} \rightarrow B_{\mathfrak{q}}$ is pure, the assertion follows from Proposition 2.

Now, let G be a reductive linear algebraic group acting (k -rationally) on the k -algebra B . Then the extension $B^G \rightarrow B$ is pure, since B^G is a direct B^G -summand of B (via the canonical injection). It is well known that, if B is a finitely generated k -algebra, the invariant ring B^G is also a finitely generated k -algebra. For the theory of linear algebraic groups see [5] and [3], especially §10 and the literature given there. From Corollary 1 we obtain immediately

COROLLARY 2. *Let G be a reductive linear algebraic group acting (k -rationally) on the noetherian k -algebra B . Assume that the finite differential modules $D_k(A)$ and $D_k(B)$ exist, where $A := B^G$ denotes the invariant (noetherian) k -algebra. Let B be divisorially affine and $D_k(B)$ be reflexive. If $(D_k(A))_{\mathfrak{p}}^*$ is free for a prime ideal $\mathfrak{p} \subseteq A$, $A_{\mathfrak{p}}$ is regular.*

We remark that the hypotheses of Corollary 1 and Corollary 2 on $\text{Spec } B$ and $D_k(B)$ are evidently fulfilled, if B is regular.

For finite groups G we obtain the result of (3.1) in [6]:

COROLLARY 3. *Let G be a finite group of k -algebra automorphisms on the noetherian k -algebra B and $A := B^G$ be the invariant (noetherian) k -algebra. Assume that the finite differential modules $D_k(A)$ and $D_k(B)$ exist. Let $\mathfrak{q} \subseteq B$ be a prime ideal with the property that $B_{\mathfrak{q}}$ is a normal domain and $D_k(B)_{\mathfrak{q}}$ is reflexive.*

*Then there exist elements $f_1, \dots, f_s \in \mathfrak{p} := \mathfrak{q} \cap A$, $s := \dim A_{\mathfrak{p}}$, whose differentials df_1, \dots, df_s form part of a minimal system of generators of $(D_k(A))_{\mathfrak{p}}^{**}$ via the canonical homomorphism $D_k(A)_{\mathfrak{p}} \rightarrow (D_k(A))_{\mathfrak{p}}^{**}$.*

PROOF. Let $\mathfrak{M} \supseteq \mathfrak{q}$ be a maximal ideal in B and $\mathfrak{m} := \mathfrak{M} \cap A$. Because of Proposition 1 it only remains to be shown that the homomorphism $A_{\mathfrak{m}} \rightarrow B_{\mathfrak{M}}$ is nondegenerate in $\mathfrak{q}B_{\mathfrak{M}}$, see also Remark 1. Since G acts on $B_{\mathfrak{p}}$ with $(B_{\mathfrak{p}})^G = A_{\mathfrak{p}}$, all maximal ideals in $B_{\mathfrak{p}}$ are of the same height and $\mathfrak{p}B_{\mathfrak{q}}$ is a $\mathfrak{q}B_{\mathfrak{q}}$ -primary ideal. Therefore the equality

$$\dim A_{\mathfrak{p}} + \dim(B_{\mathfrak{q}}/\mathfrak{p}B_{\mathfrak{q}}) = \dim B_{\mathfrak{q}}$$

holds for trivial reasons.

REMARK 5. As it can easily be seen from the proof of Proposition 1, the assumption of Corollary 3 that k is of characteristic zero is quite essential.

However, the embedding property of Corollary 3 is obtained, for instance, in the *analytic* case,

(a) if $q \subseteq B$ is assumed to be *smooth* in the sense of [6, §2], i.e. if $D_k(B)_q$ is a free module of rank $\dim B_q + \dim B/q$, and

(b) if $q \subseteq B$ is assumed to be *separable*, i.e. if $\text{rank}(D_k(B/q)) = \dim B/q$ with $\text{card } G$ being a unit in k : In (2.1) of [6] it has been shown that

$$\mu(D_k(B))_p^G > \text{rank}(D_k(A)_p) + \mu(D_A(B))_p^G.$$

From the isomorphisms in (2.3) of [6] we obtain

$$\mu(D_k(A))_p^{**} > \text{rank}(D_k(A)_p) + \mu(\text{Coker}(D_k(A))_p \rightarrow (D_k(A))_p^{**}),$$

where $\mu(-)$ denotes the minimal number of generators. Because of

$$\text{rank}(D_k(A)_p) = \text{rank}(D_k(B)_q) = \dim B_q + \dim B/q = \dim A_p + \dim A/p,$$

$$\text{rank}(D_k(A/p)) = \text{rank}(D_k(B/q)) = \dim B/q = \dim A/p$$

and the canonical exact sequence of $\kappa(p)$ -vector spaces

$$(p/p^2)_p \rightarrow (D_k(A)/pD_k(A))_p \rightarrow D_k(A/p)_{(0)} \rightarrow 0$$

we obtain that there exist $s = \dim A_p$ elements $f_1, \dots, f_s \in p$, whose differentials df_1, \dots, df_s form part of a minimal system of generators of $(D_k(A))_p^{**}$. We remark that in case $\text{char } k = 0$ the canonical induced map

$$D_k(A)_p \otimes_{A_p} \kappa(p) \rightarrow (D_k(A))_p^{**} \otimes_{A_p} \kappa(p)$$

is even injective, see (2.7) in [6].

The assertion of Proposition 1 has been proved in §5 of the author's dissertation *Operation von endlichen Gruppen auf Differentialen*, Dissertation Universität Osnabrück, Juni 1977 under the assumption that the extension $A_p \rightarrow B_q$ is quasi-finite. I would like to express my gratitude to my thesis advisor Uwe Storch in Osnabrück for pointing out to me that the result could possibly be generalized to pure extensions.

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