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Some Relationship between Anti-Integral Extensions of Noetherian Domains

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ABSTRACT. Let R be a Noetherian domain with quotient field K and let α be an anti-integral element of degree d over R . Let β be an element of $R[\alpha]$ (resp. $R[\alpha, \alpha^{-1}]$) such that β is an anti-integral element over R and that $R[\alpha]$ (resp. $R[\alpha, \alpha^{-1}]$) is integral over $R[\beta]$. We shall investigate some properties descending from $R[\alpha]$ (resp. $R[\alpha, \alpha^{-1}]$) to $R[\beta]$, i.e., flatness and faithful flatness, and study the ideals $J_{[\alpha]}$, $J_{[\beta]}$, $\tilde{J}_{[\alpha]}$ and $\tilde{J}_{[\beta]}$.

Let R be a Noetherian domain and $R[X]$ a polynomial ring. Let α be an element of an algebraic extension field L of the quotient field K of R and let $\pi : R[X] \rightarrow R[\alpha]$ be the R -algebra homomorphism sending X to α . Let $\varphi_\alpha(X)$ be the monic minimal polynomial of α over K with $\deg \varphi_\alpha(X) = d$ and write $\varphi_\alpha(X) = X^d + \eta_1 X^{d-1} + \cdots + \eta_d$. Then η_i ($1 \leq i \leq d$) are uniquely determined by α . Let $I_{\eta_i} := R :_R \eta_i$ and $I_{[\alpha]} := \bigcap_{i=1}^d I_{\eta_i}$. If $\text{Ker}(\pi) = I_{[\alpha]} \varphi_\alpha(X)$, we say that α is *anti-integral* over R . When α is an anti-integral element over R , the extension $R[\alpha]$ is called an *anti-integral* extension of R . Put $J_{[\alpha]} := I_{[\alpha]}(1, \eta_1, \dots, \eta_d)$. Then $J_{[\alpha]} = \mathcal{C}(I_{[\alpha]} \varphi_\alpha(X))$, where $\mathcal{C}(\)$ denotes the ideal generated by the coefficients of the polynomials in $(\)$, that is, the content ideal of $(\)$. Let $\tilde{J}_{[\alpha]} := I_{[\alpha]}(1, \eta_1, \dots, \eta_{d-1})$. For a prime ideal $p \in \text{Spec}(R)$, $k(p)$ denotes the residue field R_p/pR_p at p .

All rings considered in this paper are commutative and have identity. We use the notation above unless otherwise specified. Our general reference for unexplained technical terms is [M2].

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1. Simple Sub-Extension of $R[\alpha]$.

We say that $R[\alpha]$ has a *blowing-up* at p if the following two conditions are satisfied :

- (1) $pR_p[\alpha] \cap R_p = pR_p$ (equivalently, $pR[\alpha] \cap R = p$),
- (2) $R_p[\alpha]/pR_p[\alpha]$ is isomorphic to a polynomial ring $k(p)[T]$.

Let A be an R -algebra of finite type and let $P \in \text{Spec}(A)$. We say the A is *quasi-finite* over R at P if A_P/pA_P is finite over $k(p)$, where $p := P \cap R$. We say that A is *quasi-finite* over R if A is quasi-finite over R at every point $P \in \text{Spec}(A)$. We say also that A is *quasi-finite* over R at $p \in \text{Spec}(R)$ if A_p is quasi-finite over R_p .

It is easy to see the following remark by definition.

Remark 1. Let A be an R -algebra of finite type.

(1) For a prime ideal P of A , A is quasi-finite over R at P if and only if P is isolated in its fiber, *i.e.*, in $\text{Spec}(A \otimes_R k(p))$, where $p := P \cap R$.

(2) A is quasi-finite over R if and only if the fiber $A \otimes_R k(p)$ is finite over $k(p)$ for all $p \in \text{Spec}(R)$.

(3) Let $p \in \text{Spec}(R)$. When $A = R[\alpha]$, a simple extension of R , the following statements are equivalent :

- (i) A is quasi-finite over R at $p \in \text{Spec}(R)$,
- (ii) A does not have a blowing up at p ,
- (iii) either $pA \cap R \neq p$ or for every $P \in \text{Spec}(A)$ with $P \cap R = p$, $k(P)$ is algebraic over $k(p)$.

We recall the following fundamental result for later use :

Lemma 2 (cf.[OSY,(2.6)]). *Assume that α is anti-integral over R . Let $p \in \text{Spec}(R)$. Then the following are equivalent :*

- (i) $\text{rank}_{k(p)}(R[\alpha] \otimes_R k(p))$ is finite ;
- (ii) $\bar{\alpha}$ is algebraic over $k(p)$;
- (iii) $J_{[\alpha]} \not\subseteq p$;
- (iv) $R_p[\alpha]$ is flat over R_p ;
- (v) $R_p[\alpha]$ is quasi-finite over R_p ;
- (vi) $R[\alpha]$ does not have a blowing-up at p .

Proof. The equivalences (i) \sim (v) follow from [OSY,(2.6)]. The equivalence (v) \Leftrightarrow (vi) follows from Remark 1(3). \square

Proposition 3. *Assume that α is an anti-integral element of degree d over R . Let β be an element in $R[\alpha]$ such that β is anti-integral over R and that $R[\alpha]$ is integral over $R[\beta]$. Then the following two assertions hold :*

- (1) $R[\alpha]$ is flat over R if and only if $R[\beta]$ is flat over R ,
- (2) $R[\alpha]$ is faithfully flat over R if and only if $R[\beta]$ is faithfully flat over R .

Proof. (1) By Lemma 2, we know that $R[\alpha]$ (resp. $R[\beta]$) is flat over R if and only if $R[\alpha]$ (resp. $R[\beta]$) does not have a blowing-up at any point in $\text{Spec}(R)$. So we have only to show that $R[\alpha]$ does not have a blowing-up at any point in

$\text{Spec}(R)$ if and only if $R[\beta]$ does not have a blowing-up at any point in $\text{Spec}(R)$. Let p be a prime ideal of R .

(\Rightarrow) If $pR_p[\beta] \cap R_p \neq pR_p$, then $R[\beta]$ does not have a blowing-up at p by definition. So we may assume that $pR_p[\beta] \cap R_p = pR_p$. Take a prime ideal Q of $R[\beta]$ such that $Q \cap R = p$. Since $R[\alpha]$ is integral over $R[\beta]$, there exists $P \in \text{Spec}(R[\alpha])$ such that $P \cap R[\beta] = Q$. Since $R[\alpha]$ does not have a blowing-up at p , $k(P)$ is algebraic over $k(p)$. Since $k(P) \supseteq k(Q) \supseteq k(p)$, we have that $k(Q)$ is algebraic over $k(p)$. Thus $R[\beta]$ does not have a blowing-up at p .

(\Leftarrow) Since $R[\alpha]$ is integral over $R[\beta]$, $R_p[\alpha]$ is integral over $R_p[\beta]$ and hence is finite over $R_p[\beta]$. Thus $R_p[\alpha]$ is quasi-finite over $R_p[\beta]$. Since $R_p[\beta]$ is quasi-finite over R_p by Lemma 2, the composite $R_p \rightarrow R_p[\beta] \rightarrow R_p[\alpha]$ is quasi-finite. So by Lemma 2, we conclude that $R[\alpha]$ does not have a blowing-up at p .

(2) By virtue of (1), it suffices to show that the canonical map $\psi_\alpha : \text{Spec}(R[\alpha]) \rightarrow \text{Spec}(R)$ is surjective if and only if the canonical map $\psi_\beta : \text{Spec}(R[\beta]) \rightarrow \text{Spec}(R)$ is surjective. Consider the following commutative diagram :

$$\begin{array}{ccc} \text{Spec}(R[\alpha]) & \xrightarrow{\psi_{\alpha,\beta}} & \text{Spec}(R[\beta]) \\ \psi_\alpha \downarrow & & \psi_\beta \downarrow \\ \text{Spec}(R) & \xlongequal{\quad} & \text{Spec}(R) \end{array}$$

Since $R[\alpha]$ is integral over $R[\beta]$, the canonical map $\psi_{\alpha,\beta} : \text{Spec}(R[\alpha]) \rightarrow \text{Spec}(R[\beta])$ is surjective. So $\psi_\alpha = \psi_\beta \cdot \psi_{\alpha,\beta}$ is surjective if and only if ψ_β is surjective. We are done. \square

Remark 4. (1) Let β be an element of $R[\alpha]$ and write $\beta = f(\alpha)$ with $f(X) \in R[X]$. If $f(X)$ is monic, then $R[\alpha]$ is integral over $R[\beta]$ because α is a solution of $f(X) - \beta = 0$.

(2) Assume that R is a Noetherian Krull domain and that α is integral over R . Then both α and $\beta \in R[\alpha]$ are anti-integral elements over R by [OSY,(1.12) and (1.13)]. Thus $R[\alpha]$ is flat (resp. faithfully flat) over R if and only if so is $R[\beta]$ over R by Proposition 3.

Recall the following result.

Lemma 5 (cf.[OSY,(3.7)]). *Assume that α is an anti-integral element of degree d over R . Then $\text{Spec}(R[\alpha]) \rightarrow \text{Spec}(R)$ is surjective if and only if $\sqrt{J_{[\alpha]}} = \sqrt{\tilde{J}_{[\alpha]}}$.*

Proposition 6. *Assume that α is an anti-integral element of degree d over R . Let β be an element of $R[\alpha]$ such that β is anti-integral over R and that $R[\alpha]$ is integral over $R[\beta]$. Then the following two equalities hold :*

- (1) $\sqrt{J_{[\alpha]}} = \sqrt{J_{[\beta]}}$,
- (2) $\sqrt{\tilde{J}_{[\alpha]}} = \sqrt{\tilde{J}_{[\beta]}}$.

Proof. (1) Let p be a prime ideal in $\text{Spec}(R)$. Then $J_{[\alpha]} \not\subseteq p$ if and only if $R_p[\alpha]$ is a flat over R_p by Lemma 2. Proposition 3 yields that $J_{[\alpha]} \not\subseteq p$ if and only if $J_{[\beta]} \not\subseteq p$. Hence $\sqrt{J_{[\alpha]}} = \sqrt{J_{[\beta]}}$.

(2) We know that the contraction map $\text{Spec}(R[\alpha]) \rightarrow \text{Spec}(R)$ is surjective if and only if $\sqrt{J_{[\alpha]}} = \sqrt{\tilde{J}_{[\alpha]}}$ by Lemma 5. Let p be a prime ideal in $\text{Spec}(R)$. Then we see that the following :

$$\begin{aligned} \tilde{J}_{[\alpha]} \not\subseteq p &\Leftrightarrow R_p[\alpha] \text{ is a faithfully flat over } R_p \\ &\Leftrightarrow R_p[\beta] \text{ is a faithfully flat over } R_p \\ \tilde{J}_{[\beta]} &\not\subseteq p. \end{aligned}$$

Hence $\sqrt{\tilde{J}_{[\alpha]}} = \sqrt{\tilde{J}_{[\beta]}}$. \square

Definition 7. Set

$$\Gamma := \{ \alpha \in L \mid \alpha \text{ is an anti-integral element over } R \}.$$

Two elements α and β in Γ are called to be *connected by a segment* if either of the following conditions hold :

- (1) β is in $R[\alpha]$ and $R[\alpha]$ is integral over $R[\beta]$,
- (2) α is in $R[\beta]$ and $R[\beta]$ is integral over $R[\alpha]$.

If α and β are connected by a segment, we write $\alpha - \beta$.

Let Γ_α denote the connected component containing α , that is,

$$\Gamma_\alpha := \{ \gamma \in \Gamma \mid \text{there exist some elements } \beta_1, \dots, \beta_n \in \Gamma \text{ such that} \\ \alpha - \beta_1, \beta_1 - \beta_2, \dots, \beta_n - \gamma \}.$$

Remark 8. (1) Note that the relation " $-$ " is not necessarily an equivalence relation.

- (2) For $\alpha, \beta \in \Gamma$, if $\alpha - \beta$ then $\beta - \alpha$.
- (3) If $\beta, \gamma \in \Gamma_\alpha$, then $\Gamma_\beta = \Gamma_\gamma = \Gamma_\alpha$.

Theorem 9. Assume that $\beta, \gamma \in \Gamma_\alpha$. Then the following four statements hold :

- (1) $R[\gamma]$ is flat over R if and only if $R[\beta]$ is flat over R ,
- (2) $R[\gamma]$ is faithfully flat over R if and only if $R[\beta]$ is faithfully flat over R ,
- (3) $\sqrt{J_{[\gamma]}} = \sqrt{J_{[\beta]}}$,
- (4) $\sqrt{\tilde{J}_{[\gamma]}} = \sqrt{\tilde{J}_{[\beta]}}$.

Proof. Noting that $\Gamma_\alpha = \Gamma_\gamma = \Gamma_\beta$ by Remark 8(3), our proof follows from Propositions 3 and 6 and the definition of Γ_α .

2. Simple SubExtension of $R[\alpha, \alpha^{-1}]$.

Lemma 10. Assume that α is an anti-integral element of degree d over R . Let β be an element in $R[\alpha, \alpha^{-1}]$ such that $R[\alpha, \alpha^{-1}]$ is integral over $R[\beta]$. Then $\sqrt{J_{[\alpha]}} \supseteq \sqrt{J_{[\beta]}}$.

Proof. Put $A := R[\alpha, 1/\alpha] \supseteq R[\beta] := B$. Take $p \in \text{Spec}(R)$ with $p \supseteq J_{[\alpha]}$. Then $P := pA$ is a prime ideal of A and $A/P \cong R_p[T, T^{-1}]$, where T denotes an indeterminate over R/p . Put $Q := P \cap B$. Then A is integral over B by the assumption. Hence A/P is algebraic over B/Q . Thus $\text{Tr.deg}_{k(p)} k(Q) > 0$. So it does not hold that $J_{[\beta]} \not\subseteq p$. Therefore $J_{[\alpha]} \subseteq p$. \square

Lemma 11. *Let β be an element in $R[\alpha, \alpha^{-1}]$. Assume that β is anti-integral over R and that $R[\alpha, \alpha^{-1}]$ is integral over $R[\beta]$. Then $\sqrt{J_{[\alpha]}} \subseteq \sqrt{J_{[\beta]}}$.*

Proof. Put $A := R[\alpha, 1/\alpha] \supseteq R[\beta] := B$. Take $p \in \text{Spec}(R)$ with $p \supseteq J_{[\beta]}$. Then $Q := pB$ is a prime ideal of B and $B/Q \cong R/p[T]$, where T denotes an indeterminate over R/p . Since A is integral over B , there exists $P \in \text{Spec}(A)$ with $P \cap B = Q$. Since $k(p) \subseteq k(Q) \subseteq k(P)$ and $\text{Tr.deg}_{k(p)} k(Q) > 0$, we have $\text{Tr.deg}_{k(p)} k(P) > 0$. Put $C := R[\alpha]$ and $P' := P \cap C$. Then $\text{Tr.deg}_{k(p)} k(P') > 0$. Note that $P' \cap R = p$. So C has a blowing-up at p . Thus $J_{[\alpha]} \subseteq p$ by Lemma 2. \square

Theorem 12. *Assume that α is an element of degree d over R . Let β be an element in $R[\alpha, \alpha^{-1}]$ such that β is anti-integral over R and that $R[\alpha, \alpha^{-1}]$ is integral over $R[\beta]$. Then $\sqrt{J_{[\alpha]}} = \sqrt{J_{[\beta]}}$.*

Proof. Our conclusion follows from Lemmas 10 and 11. \square

Recall the following result.

Lemma 13(cf.[SOY,Cor.5]). *Assume that α is an anti-integral element over R . Then the following statements are equivalent :*

- (1) $R[\alpha]$ is flat over R ,
- (2) $R[\alpha, \alpha^{-1}]$ is flat over R .

Theorem 14. *Assume that α is an element of degree d over R . Let β be an element in $R[\alpha, \alpha^{-1}]$ such that β is anti-integral over R and that $R[\alpha, \alpha^{-1}]$ is integral over $R[\beta]$. Then the following statements are equivalent :*

- (1) $R[\alpha]$ is flat over R ,
- (2) $R[\alpha, \alpha^{-1}]$ is flat over R ,
- (3) $R[\beta]$ is flat over R ,
- (4) $R[\beta, \beta^{-1}]$ is flat over R .

Proof. The implications (1) \Leftrightarrow (2) and (3) \Leftrightarrow (4) follow Lemma 13. (1) \Leftrightarrow (3) follows from Lemma 2 and Theorem 12. \square

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