

2. Constructive aspects of Krull dimension

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Constructive Mathematics: Foundations and Practices.

See the slides at : <http://hlombardi.free.fr/publis/Nis-LectSlides2.pdf>

French detailed version

<http://hlombardi.free.fr/publis/KroBasSer.pdf>

Plan

- Introduction
- Constructive definitions.
- Krull boundaries.
- Elementary constructive definition of the Krull dimension.
- Kronecker theorem.
- Bass stable range theorem and Heitmann dimension.
- Other great theorems.

Introduction

Krull dimension was introduced by Krull in order to give an algebraic treatment of notions coming from analytic or differential geometry.

Basic properties of a good notion of dimension are (see Eisenbud):

- If \mathbf{K} is a field, $\mathbf{K}[X_1, \dots, X_n]$ and $\mathbf{K}[[X_1, \dots, X_n]]$ must have dimension n .
- $\mathbb{C}\{\{X_1, \dots, X_n\}\}$ must have dimension n .
- The notion has to be a “local” notion: the dimension of a global object is the maximum of its local dimensions.
- If $\mathbf{B} \supseteq \mathbf{A}$ is integral over \mathbf{A} the two rings must have the same dimension.

Other desirable properties:

- $\text{Kdim}(\mathbf{A}[X])$ must be equal to $1 + \text{Kdim } \mathbf{A}$.
- Dimension has to decrease when passing to a quotient or a localization.

Introduction, 2.

At least for Noetherian rings, all desirable properties were proven to be true in classical mathematics.

Nevertheless Krull dimension was defined in a very abstract way and did not seem to have a concrete content for the case of an arbitrary commutative ring.

Later, Krull dimension became a basic ingredient in many theorems of commutative algebra.

In this lecture we show how various abstract notions of dimension have been made constructive and elementary, and how some important theorems related to these notions have become concrete theorems with an algorithmic content.

Some constructive definitions

- The *(nil)radical* of an ideal \mathfrak{a} is the ideal

$$D_{\mathbf{A}}(\mathfrak{a}) = \sqrt{\mathfrak{a}} = \{x \in \mathbf{A} \mid \exists n \in \mathbb{N}, x^n \in \mathfrak{a}\}.$$

$N(\mathbf{A}) = D_{\mathbf{A}}(0)$ is the nilradical of \mathbf{A} .

Notation: $D_{\mathbf{A}}(x_1, \dots, x_n) = D_{\mathbf{A}}(\langle x_1, \dots, x_n \rangle)$

- The *Jacobson radical* of an ideal \mathfrak{a} is the ideal

$$J_{\mathbf{A}}(\mathfrak{a}) = \{x \in \mathbf{A} \mid \forall y (1 + xy) \text{ is invertible modulo } \mathfrak{a}\}.$$

$\text{Rad}(\mathbf{A}) = J_{\mathbf{A}}(0)$ is the (Jacobson) radical of \mathbf{A} .

Notation: $J_{\mathbf{A}}(x_1, \dots, x_n) = J_{\mathbf{A}}(\langle x_1, \dots, x_n \rangle)$

Some constructive definitions

- The *Zariski lattice* of \mathbf{A} , is the set

$$\text{Zar } \mathbf{A} = \{D_{\mathbf{A}}(x_1, \dots, x_n) \mid n \in \mathbb{N}, x_1, \dots, x_n \in \mathbf{A}\},$$

ordered by inclusion. This is a *distributive lattice* with

$$D_{\mathbf{A}}(\mathfrak{a}_1) \vee D_{\mathbf{A}}(\mathfrak{a}_2) = D_{\mathbf{A}}(\mathfrak{a}_1 + \mathfrak{a}_2) \quad D_{\mathbf{A}}(\mathfrak{a}_1) \wedge D_{\mathbf{A}}(\mathfrak{a}_2) = D_{\mathbf{A}}(\mathfrak{a}_1 \mathfrak{a}_2)$$

- The *Zariski spectrum* of \mathbf{A} , denoted by $\text{Spec } \mathbf{A}$ is a (pointfree) topological spectral space whose compact opens form the lattice $\text{Zar } \mathbf{A}$.
- In classical mathematics $\text{Spec } \mathbf{A}$ has *enough points* (they are the prime ideals of \mathbf{A}), the compact open corresponding to $D_{\mathbf{A}}(x_1, \dots, x_n)$ is the set of prime ideals \mathfrak{p} such that $x_1 \notin \mathfrak{p} \vee \dots \vee x_n \notin \mathfrak{p}$.
- The *Heitmann lattice* of \mathbf{A} , is the set

$$\text{Heit } \mathbf{A} = \{J_{\mathbf{A}}(x_1, \dots, x_n) \mid n \in \mathbb{N}, x_1, \dots, x_n \in \mathbf{A}\},$$

ordered by inclusion, it is a *quotient distributive lattice* of $\text{Zar } \mathbf{A}$.

Krull boundaries

Definition 1. Let \mathbf{A} be a commutative ring and $x \in \mathbf{A}$.

1. The boundary ideal of x in \mathbf{A} is

$$\mathcal{J}_{\mathbf{A}}^{\text{K}}(x) = \langle x \rangle + (D_{\mathbf{A}}(0) : x) \tag{1}$$

The Krull boundary quotient of x in \mathbf{A} is the quotient ring $\mathbf{A}_{\text{K}}^x = \mathbf{A} / \mathcal{J}_{\mathbf{A}}^{\text{K}}(x)$.

2. The boundary monoid of x in \mathbf{A} is

$$\mathcal{S}_{\mathbf{A}}^{\text{K}}(x) = x^{\mathbb{N}}(1 + x\mathbf{A}) \tag{2}$$

The Krull boundary localization of x in \mathbf{A} is the localized ring $\mathbf{A}_x^{\text{K}} := \mathcal{S}_{\mathbf{A}}^{\text{K}}(x)^{-1}\mathbf{A}$

Elementary constructive definition of Krull dimension

A commutative ring \mathbf{A} is said to have Krull dimension -1 when $\mathbf{A} = 0$. In classical mathematics this means that \mathbf{A} has no prime ideal.

More generally, in classical mathematics a ring \mathbf{A} is said to have Krull dimension $\leq d$ (and one writes $\text{Kdim } \mathbf{A} \leq d$) if a chain of primes $\mathfrak{p}_0 \subsetneq \dots \subsetneq \mathfrak{p}_{d+1}$ is impossible.

We have the following elementary characterization of this fact, provable in classical mathematics.

Elementary constructive definition of Krull dimension

Theorem 2. Let \mathbf{A} be a commutative ring and an integer $\ell \geq 0$. In classical mathematics t.f.a.e.

1. $\text{Kdim } \mathbf{A} \leq \ell$.
2. For all $x \in \mathbf{A}$, $\text{Kdim } (\mathbf{A}/\mathcal{J}_{\mathbf{A}}^{\text{K}}(x)) \leq \ell - 1$.
3. For all $x \in \mathbf{A}$, $\text{Kdim } (\mathcal{S}_{\mathbf{A}}^{\text{K}}(x)^{-1}\mathbf{A}) \leq \ell - 1$.

Elementary constructive definition of Krull dimension

Constructive definition. We define $\text{Kdim } \mathbf{A} \leq n$ by induction on n . We start with $n = -1$ (the ring is trivial), and for $n \geq 0$, $\text{Kdim } \mathbf{A} \leq n$ means that for all $x \in \mathbf{A}$, $\text{Kdim } (\mathcal{S}_{\mathbf{A}}^{\text{K}}(x)^{-1}\mathbf{A}) \leq n - 1$. In particular $\text{Kdim } \mathbf{A} \leq 0$ (\mathbf{A} is zerodimensional) if and only if for all $x \in \mathbf{A}$ there exist $a \in \mathbf{A}$ and $n \in \mathbb{N}$ such that $x^n(1 + ax) = 0$.

Similarly $\text{Kdim } \mathbf{A} \leq 1$ if and only if for all $x, y \in \mathbf{A}$ there exist $a, b \in \mathbf{A}$ and $n, m \in \mathbb{N}$ such that $y^m(x^n(1 + ax) + by) = 0$.

NB: A priori one can use an inductive definition based either on Krull boundary localizations or on Krull boundary quotients. One shows constructively that the two inductive definitions are equivalent.

Elementary constructive definition of Krull dimension

Proposition 3. Let \mathbf{A} be a commutative ring and an integer $\ell \geq 0$. T.F.A.E.

1. $\text{Kdim } \mathbf{A} \leq \ell$
2. For all $x_0, \dots, x_\ell \in \mathbf{A}$ there exist $b_0, \dots, b_\ell \in \mathbf{A}$ such that

$$\left. \begin{array}{l} D_{\mathbf{A}}(b_0x_0) = D_{\mathbf{A}}(0) \\ D_{\mathbf{A}}(b_1x_1) \leq D_{\mathbf{A}}(b_0, x_0) \\ \vdots \quad \vdots \quad \vdots \\ D_{\mathbf{A}}(b_\ell x_\ell) \leq D_{\mathbf{A}}(b_{\ell-1}, x_{\ell-1}) \\ D_{\mathbf{A}}(1) = D_{\mathbf{A}}(b_\ell, x_\ell) \end{array} \right\} \quad (3)$$

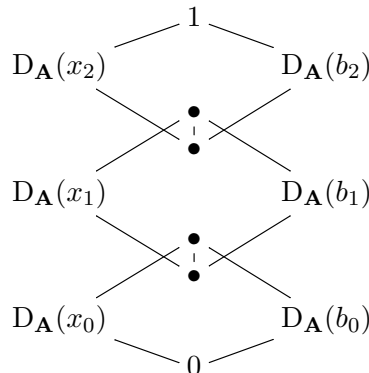
3. For all $x_0, \dots, x_\ell \in \mathbf{A}$ there exist $a_0, \dots, a_\ell \in \mathbf{A}$ and $m_0, \dots, m_\ell \in \mathbb{N}$ such that

$$x_0^{m_0}(x_1^{m_1} \cdots (x_\ell^{m_\ell}(1 + a_\ell x_\ell) + \cdots + a_1 x_1) + a_0 x_0) = 0 \quad (4)$$

Elementary constructive definition of Krull dimension

For example, for dimension ≤ 2 , item 2. corresponds to the following drawing within the Zariski lattice of \mathbf{A} .

Note that $D_{\mathbf{A}}(x, y) = D_{\mathbf{A}}(x) \vee D_{\mathbf{A}}(y)$ and $D_{\mathbf{A}}(xy) = D_{\mathbf{A}}(x) \wedge D_{\mathbf{A}}(y)$.



Elementary constructive definition of Krull dimension

Remark: Inequalities (3) in item 2. of proposition 3 give an interesting symmetric relation between the two sequences (b_0, \dots, b_ℓ) and (x_0, \dots, x_ℓ) .

When $\ell = 0$, this means $D_{\mathbf{A}}(b_0) \wedge D_{\mathbf{A}}(x_0) = 0$ and $D_{\mathbf{A}}(b_0) \vee D_{\mathbf{A}}(x_0) = 1$, *i.e.*, the two elements $D_{\mathbf{A}}(b_0)$ and $D_{\mathbf{A}}(x_0)$ are complementary in the Zariski lattice $\text{Zar } \mathbf{A}$. Inside $\text{Spec } \mathbf{A}$ this means that the corresponding basic open sets are complementary.

We introduce the following terminology:

when two sequences (b_0, \dots, b_ℓ) and (x_0, \dots, x_ℓ) satisfy the inequalities (3) we say they are *complementary*. A sequence which has a complement is called a *singular sequence*.

Krull dimension of a polynomial ring

Proposition 4.

Let \mathbf{K} be a discrete field, \mathbf{A} a \mathbf{K} -algebra, and $x_1, \dots, x_\ell \in \mathbf{A}$ algebraically dependent over \mathbf{K} . The sequence x_1, \dots, x_ℓ is singular.

Proof. Let $Q(x_1, \dots, x_\ell) = 0$ be an algebraic dependence relation over \mathbf{K} . Using a lexicographic order on the monomials of Q we see it can be written as:

$$Q = x_1^{m_1} \cdots x_\ell^{m_\ell} + x_1^{m_1} \cdots x_\ell^{1+m_\ell} R_\ell + x_1^{m_1} \cdots x_{\ell-1}^{1+m_{\ell-1}} R_{\ell-1} + \cdots + x_1^{m_1} x_2^{1+m_2} R_2 + x_1^{1+m_1} R_1$$

where $R_j \in \mathbf{K}[x_k; k \geq j]$. So we get an equality saying the sequence is singular.

Corollary 5.

If \mathbf{K} is a discrete field, the Krull dimension of $\mathbf{K}[X_1, \dots, X_\ell]$ is equal to ℓ .

Basic results about Krull dimension

Some other results easily obtained in a constructive way:

- If $\mathbf{B} = S^{-1}\mathbf{A}$ or $\mathbf{B} = \mathbf{A}/\mathfrak{a}$, then $\text{Kdim } \mathbf{B} \leq \text{Kdim } \mathbf{A}$.
- If $(\mathfrak{a}_i)_{1 \leq i \leq m}$ are ideals of \mathbf{A} and $\mathfrak{a} = \bigcap_{i=1}^m \mathfrak{a}_i$, then $\text{Kdim}(\mathbf{A}/\mathfrak{a}) = \sup_i \text{Kdim}(\mathbf{A}/\mathfrak{a}_i)$.
- If $(S_i)_{1 \leq i \leq m}$ are comaximal monoids of \mathbf{A} then $\text{Kdim}(\mathbf{A}) = \sup_i \text{Kdim}(\mathbf{A}_{S_i})$.

More difficult:

- If $\mathbf{B} \supseteq \mathbf{A}$ is integral over \mathbf{A} then $\text{Kdim } \mathbf{B} = \text{Kdim } \mathbf{A}$.

Kronecker theorem

Here is a simple but crucial lemma, reducing the number of “radically generators” of a radical ideal:

Lemma 6. *If $u, v \in \mathbf{A}$ one has*

$$D_{\mathbf{A}}(u, v) = D_{\mathbf{A}}(u + v, uv) = D_{\mathbf{A}}(u + v) \vee D_{\mathbf{A}}(uv)$$

In particular if $uv \in D_{\mathbf{A}}(0)$, then $D_{\mathbf{A}}(u, v) = D_{\mathbf{A}}(u + v)$.

Proof. Obviously $\langle u + v, uv \rangle \subseteq \langle u, v \rangle$ so $D_{\mathbf{A}}(u + v, uv) \subseteq D_{\mathbf{A}}(u, v)$. On the other hand $u^2 = (u + v)u - uv \in \langle u + v, uv \rangle$ so $u \in D_{\mathbf{A}}(u + v, uv)$. □

Kronecker theorem, 2.

Lemma 7. *Let $n \geq 1$. If (b_1, \dots, b_n) and (x_1, \dots, x_n) are two complementary sequences in \mathbf{A} then for all $a \in \mathbf{A}$ one has:*

$$D_{\mathbf{A}}(a, b_1, \dots, b_n) = D_{\mathbf{A}}(b_1 + ax_1, \dots, b_n + ax_n),$$

So $a \in D_{\mathbf{A}}(b_1 + ax_1, \dots, b_n + ax_n)$.

Kronecker theorem, 3.

E.g. for $n = 3$ we have inequalities

$$\begin{array}{llll} D_{\mathbf{A}}(b_1x_1) = D_{\mathbf{A}}(0) & \text{so} & D_{\mathbf{A}}(ax_1b_1) = D_{\mathbf{A}}(0) \\ D_{\mathbf{A}}(b_2x_2) \leq D_{\mathbf{A}}(b_1, x_1) & & D_{\mathbf{A}}(ax_2b_2) \leq D_{\mathbf{A}}(ax_1, b_1) \\ D_{\mathbf{A}}(b_3x_3) \leq D_{\mathbf{A}}(b_2, x_2) & & D_{\mathbf{A}}(ax_3b_3) \leq D_{\mathbf{A}}(ax_2, b_2) \\ D_{\mathbf{A}}(1) = D_{\mathbf{A}}(b_3, x_3) & & D_{\mathbf{A}}(a) \leq D_{\mathbf{A}}(ax_3, b_3) \end{array}$$

So by Lemma 6

$$\begin{array}{l} D_{\mathbf{A}}(a) \leq D_{\mathbf{A}}(ax_3 + b_3) \vee D_{\mathbf{A}}(ax_3b_3) \\ D_{\mathbf{A}}(ax_3b_3) \leq D_{\mathbf{A}}(ax_2 + b_2) \vee D_{\mathbf{A}}(ax_2b_2) \\ D_{\mathbf{A}}(ax_2b_2) \leq D_{\mathbf{A}}(ax_1 + b_1) \vee D_{\mathbf{A}}(ax_1b_1) = D_{\mathbf{A}}(ax_1 + b_1) \end{array}$$

So

$$\begin{array}{l} D_{\mathbf{A}}(a) \leq D_{\mathbf{A}}(ax_1 + b_1) \vee D_{\mathbf{A}}(ax_2 + b_2) \vee \dots \vee D_{\mathbf{A}}(ax_3 + b_3) \\ = D_{\mathbf{A}}(ax_1 + b_1, ax_2 + b_2, \dots, ax_\ell + b_\ell). \end{array}$$

Kronecker theorem, 4.

Theorem 8.

(Kronecker Theorem, with Krull dimension, without Noetherianity)

Let $n \geq 0$. If $\text{Kdim } \mathbf{A} < n$ and $b_1, \dots, b_n \in \mathbf{A}$ then there exist x_1, \dots, x_n such that for all $a \in \mathbf{A}$,

$$D_{\mathbf{A}}(a, b_1, \dots, b_n) = D_{\mathbf{A}}(b_1 + ax_1, \dots, b_n + ax_n).$$

Consequently, in a ring with Krull dimension $< n$, every finitely generated ideal has the same radical as an ideal generated by at most n elements.

Bass stable range theorem and Heitmann dimension

Theorem 9.

(Bass stable range, with Krull dimension, without Noetherianity)

Let $n \geq 0$. If $\text{Kdim } \mathbf{A} < n$, for all $b_1, \dots, b_n \in \mathbf{A}$, there exist $x_1, \dots, x_n \in \mathbf{A}$ such that

$$\forall a \in \mathbf{A} \quad (1 \in \langle a, b_1, \dots, b_n \rangle \Rightarrow 1 \in \langle b_1 + ax_1, \dots, b_n + ax_n \rangle).$$

This theorem was first known in the Noetherian case. Then it was strengthened by replacing Krull dimension by the dimension of the maximal spectrum. Then Heitmann proved that there is a non-Noetherian version with a dimension (he calls this dimension \mathbf{Jdim}) which generalizes the dimension of the maximal spectrum in the non-Noetherian case. This was defined in a rather complicated way, but finally it appeared later that the \mathbf{Jdim} is the dimension of the spectral space corresponding to the Heitmann lattice.

Finally, trying to adapt the proof with Kdim for getting a proof with Jdim leads to a natural new inductive definition, which allows simpler proofs and improved theorems.

Definition 10.

1. For $x \in \mathbf{A}$ the Heitmann boundary ideal of x in \mathbf{A} is:

$$\mathcal{J}_{\mathbf{A}}^{\text{H}}(x) = \langle x \rangle + (\text{J}_{\mathbf{A}}(0) : x) \tag{5}$$

2. The Heitmann boundary quotient of x in \mathbf{A} is the quotient ring $\mathbf{A}/\mathcal{J}_{\mathbf{A}}^{\text{H}}(x)$.

3. The Heitmann dimension of \mathbf{A} is defined by induction:

- (a) $\text{Hdim } \mathbf{A} = -1$ if and only if $1_{\mathbf{A}} = 0_{\mathbf{A}}$.
- (b) For $\ell \geq 0$, $\text{Hdim } \mathbf{A} \leq \ell$ if and only if for all $x \in \mathbf{A}$, $\text{Hdim } (\mathbf{A}/\mathcal{J}_{\mathbf{A}}^{\text{H}}(x)) \leq \ell - 1$.

Since the Heitmann lattice is a quotient of the Krull lattice we get the following variant of the simple and crucial Lemma 6:

Lemma 11. For $u, v \in \mathbf{A}$ we have

$$\text{J}_{\mathbf{A}}(u, v) = \text{J}_{\mathbf{A}}(u + v, uv) = \text{J}_{\mathbf{A}}(u + v) \vee \text{J}_{\mathbf{A}}(uv)$$

In particular if $uv \in \text{J}_{\mathbf{A}}(0)$, then $\text{J}_{\mathbf{A}}(u, v) = \text{J}_{\mathbf{A}}(u + v)$.

Then we deduce an improved Heitmann version of the Bass stable range.

Theorem 12. (Bass stable range, with Heitmann dimension)

Let $n \geq 0$. If $\text{Hdim } \mathbf{A} < n$ and $1 \in \langle a, b_1, \dots, b_n \rangle$ then there exist x_1, \dots, x_n such that $1 \in \langle b_1 + ax_1, \dots, b_n + ax_n \rangle$.

The preceding theorem is the key for the result concerning projective modules.

Corollary 13. Let $n \geq 0$. If $\text{Hdim } \mathbf{A} < n$ and $V \in \mathbf{A}^{n+1}$ is a unimodular vector, it can be transformed by elementary manipulations in the basis vector $(1, 0, \dots, 0)$.

Corollary 14. If $\text{Hdim } \mathbf{A} < n$ an \mathbf{A} -module M such that $M \oplus \mathbf{A}^k \simeq \mathbf{A}^{n+k}$ is free.

Serre splitting off

Theorem 15. (Serre's splitting off, with Heitmann dimension)

Let M be a projective \mathbf{A} -module of rank $\geq k$ over a ring \mathbf{A} such that $\text{Hdim } \mathbf{A} < k$. Then there exist an \mathbf{A} -module N and an isomorphism $M \simeq N \oplus \mathbf{A}$.

Serre proved the theorem in the Noetherian case with the dimension of the maximal spectrum. Heitmann proved the non-Noetherian version with Kdim .

He conjectured the result with Jdim .

Theorem 15 implies the same result with Jdim instead of Hdim .

So Theorem 15 is new in classical mathematics, and moreover it has a clear computational content.

Forster Swan theorem

Theorem 16. (Forster-Swan theorem, with Heitmann dimension)

If $\text{Hdim}(\mathbf{A}) \leq d$ and if M is a finitely presented \mathbf{A} -module locally generated by r elements, then M is generated by $d + r$ elements. More precisely, if M is generated by (y_1, \dots, y_p) with $p = d + r + s$ one computes z_1, \dots, z_{d+r} in $\langle y_{d+r+1}, \dots, y_{d+r+s} \rangle$ such that M is generated by $y_1 + z_1, \dots, y_{d+r} + z_{d+r}$.

Same comments as for Serre splitting off.