

Chapter IX

Finitely-generated algebras

over a field

Goal: establish the fundamental properties (e.g. the Nullstellensatz and height or dimension results) of what are the most important rings and algebras, at least classically, namely finitely-generated algebras over fields: K -algebras of the form

$$K[x_1, \dots, x_n]/I$$

where $I \subset K[x_1, \dots, x_n]$ is an ideal (necessarily finitely-generated also, since $K[x_1, \dots, x_n]$ is noetherian).

1. Transcendence degree [ACL 4.8]

We begin with some basic material about field extensions which are not algebraic. This will be done without proofs (as this would take a fair amount

of time, and is not particularly fun or relevant to the remainder of the lectures).

Def. / properties - let L/K be a field extension, and $(x_i)_{i \in I}$ a family of elements of L . The following properties are equivalent, and if they are satisfied, one says that the (x_i) are algebraically independent:

$$(i) \text{ The morphism } \begin{cases} K((x_i)) & \longrightarrow L \\ f & \longmapsto f((x_i)_{i \in I}) \end{cases}$$

is injective.

$$(ii) \text{ There exists a morphism } K((x_i)_{i \in I}) \xrightarrow{\varphi} L$$

s.t. $\varphi(x_i) = x_i$ for all $i \in I$. (Here

$$K((x_i)_{i \in I}) = \text{Frac}(K((x_i)_{i \in I})) = \left\{ \frac{f}{g} \mid f, g \text{ in } K((x_i)) \right\}$$

Note - If $(x_i)_{i \in I}$ is algebraically independent and $\varphi : K((x_i)) \longrightarrow L$ is the morphism of (ii), its image is denoted $K((x_i)_{i \in I}) \subset L$.

Def. Let L/K be a field extension. A family $(x_i)_{i \in I}$ is a transcendence basis of L over K if (x_i) is algebraically independent and the field extension $L/K((x_i)_{i \in I})$ is algebraic.

Theorem - [ACL 4.8.4, 4.8.5]

Let L/K be a field extension.

(1) There exist transcendence bases $(x_i)_{i \in I}$ of L over K , and the cardinality of the set I is independent of the transcendence of basis.

(2) More precisely, if $A \subset C$ are subsets of L with A algebraically independent and C such that L is algebraic over $K(C)$, then there exists a transcendence basis B such that $A \subset B \subset C$.

Note - There is a clear analogy here with linear

algebra :

Field Theory	Linear algebra
L/K	V K -vector space
algebraic independence	linear independence
$L/K((x_i))$ algebraic	generating family
transcendence basis	basis of V

So the second part of the Theorem is just analogue
of " given $A \subset C$ with A linearly independent
and C generating set of V , we can find a basis
 B such that $A \subset B \subset C$. "

In fact, although it is not the simplest approach,
one can actually develop a more general theory (based
on "model theory") so that both settings are included
and common proofs are found.

Def. The transcendence degree of L/K , denoted

$$\text{trdeg}(L/K) = \text{trdeg}_K(L),$$

is the cardinality of any transcendence basis of L/K .

Example - (1) $\text{Trdeg}(L/K) = 0 \iff L$ is algebraic over K .

(2) If $(x_i)_{i \in I}$ are indeterminates, then

$$\text{Trdeg}(K((x_i)_{i \in I})/K) = \text{Card}(I)$$

[also for I infinite].

(3) If $x \in L$ then $\text{Trdeg}(K(x)/K) \leq 1$,

with equality if and only if x is transcendental over K .

In particular, if $(x_i)_{i \in I}$ are algebraically independent, then each x_i is transcendental over K .

The converse is false: for instance (π, π^2) are elements of \mathbb{R} , each of which is transcendental, but they are not algebraically independent [since $f(\pi, \pi^2) = 0$ where $f = x_2 - x_1^2$].

(4) Let $L = \text{Frac}(\mathbb{C}(x, y)/(y^2 - x^3 - x))$.

Then $\text{Trdeg}(L/\mathbb{C}) = 1$. Indeed, first note

that $y^2 - x^3 - x \in \mathbb{C}[x, y]$ is irreducible, so the field L makes sense. Moreover, one can check that x is algebraically independent (in other words $\mathbb{C}[x] \rightarrow \mathbb{C}(x) / (y^2 - x^3 - x)$ is injective), and then L is an algebraic extension of $\mathbb{C}(x) \subset L$ [because in fact $L = \mathbb{C}(x)(y) / (y^2 - (x^3 + x))$ so y is algebraic over $\mathbb{C}(x)$]. Hence we get $\text{trdeg}(L/\mathbb{C}) = 1$.

(5) If L_1 and L_2 are algebraically closed fields of characteristic 0 with $\text{trdeg}(L_1/\mathbb{Q}) = \text{trdeg}(L_2/\mathbb{Q})$ then L_1 and L_2 are isomorphic: indeed L_1 and L_2 are both isomorphic to an algebraic closure of the field $\mathbb{Q}((x_i)_{i \in I})$, where $\text{Card}(I) = \text{trdeg}(L_i/\mathbb{Q})$. For instance, the fields $L_1 = \mathbb{C}_2$ and $L_2 = \overline{\mathbb{Q}_\ell}$ [algebraic closure of the field of ℓ -adic numbers,

which will be defined in Ch. IX] are isomorphic,
because one can prove that they have same tr. degree.

As a last bit of terminology: a field extension
of the form $K((x_i)_{i \in I}) / K$, with $(x_i)_{i \in I}$
indeterminates, is called a purely transcendental
extension. (Note that its transcendence degree is the
cardinality of I , but the converse is not true).

2 - Noether's Normalization Theorem

We fix a base field K .

Theorem - [ACL 9.1.1]

Let R be a non-zero finitely-generated K -algebra.

There is an integer $n \geq 0$ and a commutative diagram:

$$\begin{array}{ccc} t & K & \longrightarrow R \\ \downarrow & \downarrow & \nearrow \varphi \\ t & K[x_1, \dots, x_n] & \end{array}$$

structure morphism,
injective because
 $R \neq \{0\}$

where φ is injective and integral.

Note. We will see later that if R is an integral domain, then $n = \text{trdeg}(\text{Frac}(R)/K) = \dim(R)$.

Proof- We argue by induction on $m \geq 0$ such that $R = K[a_1, \dots, a_m]$ for some (a_i) in R^m . If $m=0$, then $R = K$ so we can take $n=0$, $\varphi = \text{Id}_K$.

Suppose now that the statement holds for all algebras over K generated by $\leq m-1$ elements.

Consider the morphism $K[x_1, \dots, x_m] \xrightarrow{\alpha} R$ such that $\alpha(x_i) = a_i$; it is surjective. If it is injective then we are done, taking $n=m$ and $\varphi=\alpha$.

So suppose that there exists $f \in K[x_1, \dots, x_m]$ such that $f(a_1, \dots, a_m) = 0$. We view f as a poly-

-nomial $f \in K[x_1, \dots, x_m][x_1]$, and write

$$f = \sum_{i=0}^d f_i x_1^i$$

where $f_i \in K[x_1, \dots, x_m]$.

Observe then that if f is monic [i.e. $f_d = 1$]

Then the equation $f(a_i) = 0$ means that $a_i \in R$

is integral over $A = K[a_2, \dots, a_m]$. Since A is

a K -algebra generated by $m-1$ elements we

can find by induction a commutative diagram

$$\begin{array}{ccc} K & \longrightarrow & A \\ \downarrow & \nearrow \varphi_1 & \\ K[x_1, \dots, x_n] & & \end{array}$$

with φ_1 injective
and integral. Then we get

a diagram

$$\begin{array}{ccc} K & \longrightarrow & A & \xrightarrow{i} & R \\ & \downarrow \varphi_1 & \nearrow & & \nearrow \varphi \\ K[x_1, \dots, x_n] & & & & \end{array}$$

, with
 i (inclusion)

$$\varphi = i \circ \varphi_1, \text{ and } K[x_1, \dots, x_n] \xrightarrow{\varphi} R \text{ injective}$$

and integral and we are done.

However, there is a priori no reason for the

equation f to be monic with respect to x_1 ,

or with respect to any variable.

In order to make this argument work, we will

then exploit the fact that polynomial rings have
many automorphisms, and that for any auto -

- morphism σ of $K[x_1, \dots, x_n]$, we can use (b_i) instead of (a_i) , where $b_i = \sigma(a_i)$; we will see that for some σ , the tuple (b_i) has the desired property that b_1 is integral over $K[b_2, \dots, b_m]$. Finding σ is easier if K is infinite, so we assume this (giving the answer for K finite at the end, without proving that it works).

Let

$$\left\{ \begin{array}{l} \sigma(x_1) = x_1 \\ \sigma(x_i) = x_i - c_i x_1, \quad i \geq 2 \end{array} \right.$$

where c_2, \dots, c_m are coefficients in K^* to be chosen

later. Note that $x_i = c_i x_1 + \sigma(x_i)$

$$= \sigma(x_i + c_i x_1)$$

so σ is indeed an automorphism. Defining as above $b_i = \sigma(a_i)$, an equation satisfied by (b_i)

is $\tilde{f}(b_i) = 0$ where

$$\tilde{f} = f(x_1, (c_2 x_1 + x_2), \dots, (c_m x_1 + x_m))$$

Using the previous expression $f = \sum_{i=0}^d f_i X_1^i$,

we get

$$\tilde{f} = \sum_{i=0}^d \underbrace{f_i}_{\tilde{f}_i} \left((c_2 X_1 + x_2), \dots \right) X_1^i.$$

Let $M = \alpha X_2^{d_2} \dots X_m^{d_m} X_1^i$ be a monomial appearing in f_1 . In \tilde{f} , it becomes

$$\begin{aligned} & \alpha (c_2 X_1 + x_2)^{d_2} \dots (c_m X_1 + x_m)^{d_m} X_1^i \\ &= \alpha c_2^{d_2} \dots c_m^{d_m} X_1^{d_2 + \dots + d_m + i} + (\text{lower degree in } X_1) \end{aligned}$$

Summing over the monomials appearing in f , we

deduce that the polynomial \tilde{f} has degree in X_1 equal to the total degree δ of f , and that

the term of degree δ in X_1 is equal to

$$\left(\sum_{\substack{\text{monomials} \\ \text{in } f \text{ of degree } \delta}} \alpha_1 c_2^{d_2} \dots c_m^{d_m} \right) X_1^\delta$$

We are done if $\beta \neq 0$ (since the leading term is then a non-zero constant). But we see that

$\beta = g(1, c_2, \dots, c_m)$ where g is the homogeneous part of f of degree δ . We have $g \neq 0$ (since $f \neq 0$) and because K is infinite, it is standard that some value of g is non-zero; and since g is homogeneous, some value $g(1, c_2, \dots, c_m)$ is non-zero. So we are done for K infinite. In general, we use a different σ , namely

$$\begin{cases} \sigma(X_1) = X_1 \\ \vdots \sigma(X_i) = X_i - X_1^{r^{i-1}}, \quad i \geq 2 \end{cases}$$

where now the only parameter $r \geq 2$ is a (large enough) integer.

Here a monomial $x_2^{d_2} \cdots x_m^{d_m}$ is transformed

into

$$x_1^{\sum_{i=2}^m d_i r^{i-1}}$$

and the point is that by uniqueness of base- r expansion, the exponents will be different for

each monomial if n is larger than all the d_i 's
that occur in the polynomial f . From this, it
is not hard to deduce that b_1 is integral
over $K(b_2, \dots, b_m)$, as before.

□

Note: There is no uniqueness in the decomposition
given by Noether's Normalization. This can be a
problem in some applications.

3- Zariski's Theorem and Hilbert's Nullstellensatz

Noether's Theorem leads to short proofs of various
forms of the Nullstellensatz.

First comes a result of Zariski:

Theorem (Zariski) ACL 9.1.2

Let K be a field and R a finitely-generated
 K -algebra. If R is a field, then it is an algebraic
extension of K ; it is in fact a finite extension.

Proof - We have $R \neq \{0\}$ if R is a field so

we get the Noether decomposition

$$K \longrightarrow R, \quad \varphi \text{ injective}$$
$$\downarrow \varphi$$
$$K(x_1, \dots, x_n) \quad \text{and integral.}$$

By "going-up", we know that

$$0 = \dim(R) = \dim(K(x_1, \dots, x_n))$$

which is only possible if $n=0$ (for instance because

$\dim K(x_1, \dots, x_n) \geq n$), so that R is an integral

extension of K and a field, hence an algebraic extension. Since it is finitely-generated, it is a finite extension.

□

Corollary ("weak" Nullstellensatz) ACL 9.1.3

Let K be an algebraically closed field and $n \geq 1$.

The maximal ideals of $K(x_1, \dots, x_n)$ are the ideals of the form $(x_1 - a_1, \dots, x_n - a_n)$ for $(a_i) \in K^n$.

Proof. The isomorphism

$$\left\{ \begin{array}{ccc} K[x_1, \dots, x_n]/(x_1 - a_1, \dots, x_n - a_n) & \longrightarrow & K \\ f & \longmapsto & f(a_1, \dots, a_n) \end{array} \right.$$

implies that these ideals are all maximal. [it is injective because if $f(a_i) = 0$, the Taylor expansion around (a_i) has the form

$$f = f(a_i) + \sum_i \partial_{x_i} f(a_i) (x_i - a_i) + \dots \\ \in (x_1 - a_1, \dots, x_n - a_n)$$

Conversely, let $m \subset K[x_1, \dots, x_n]$ be a maximal ideal. Then $K[x_1, \dots, x_n]/m$ is a finitely-generated K -algebra which is a field, so it is a (finite) algebraic extension of K , which can only be K (since K is alg. closed) by Zariski's Theorem.

But then let $a_i \in K$ be such that

$$x_i - a_i \in m$$

(i.e. $a_i \in K$ projects mod m to the class of $x_i \pmod{m}$) ; we find that $(x_1 - a_1, \dots, x_n - a_n)$ is contained in m , and because of the first part, this ideal is maximal, so is equal to m .

Finally, we observe that the ideals associated to $(a_i) \neq (b_i)$ are different: if $a_i \neq b_i$, then

$x_i - a_i \in (x_1 - a_1, \dots, x_n - a_n)$ but

$x_i - b_i \equiv a_i - b_i \neq 0 \pmod{(x_1 - b_1, \dots, x_n - b_n)}$.

□

Cor. Let K be alg. closed, $I \subset K[x_1, \dots, x_n] = R$

an ideal. Let $X = \left\{ (a_i) \in K^n \mid f((a_i)) = 0 \text{ for all } f \in I \right\} \subset K^n$.

Then $X = \emptyset \Leftrightarrow I = R$.

(which means, if I is generated by f_1, \dots, f_m ,

that we can write $1 = \sum_i f_i g_i$ for

some polynomials (g_i)]

Proof - If $I = R$ then $1 \in I$ so $X = \emptyset$.

On the other hand, suppose $I \neq R$; let

then m be a maximal ideal such that

$I \subset m$; let $(a_1, \dots, a_n) \in K^n$ be

such that $m = (x_1 - a_1, \dots, x_n - a_n)$; since

the projection $K[x_1, \dots, x_n] \xrightarrow{\pi} K[x_1, \dots, x_n]/m$

is given by $\pi(f) = f(a_1, \dots, a_n)$, and since

$\pi(I) = \{0\}$, we deduce that $(a_i) \in X$.

□

Note. The proof in fact shows that X is in bijection with the set of maximal ideals containing I . This is the beginning of "abstract algebraic geometry".

The following facts are also important:

Proposition - Let K be a field, and let R and A be finitely-generated K -algebras.

(1) For any morphism $R \xrightarrow{f} A$ of K -algebras

and $m \subset A$ maximal ideal, the ideal $f^{-1}(m)$ is maximal in R .

(2) The Jacobson radical of R is equal to its nilpotent radical; more generally, for any ideal $I \subset R$, we have

$$\sqrt{I} = \bigcap_{\substack{m > I \\ m \text{ max.}}} m$$

where $\sqrt{I} = \{ f \in R \mid \exists m \geq 0, f^m \in I \}$.

Proof- (1) We have a morphism

$$K \longrightarrow R/f^{-1}(m) \longrightarrow A/m ; \text{ by Zariski's}$$

Theorem, A/m is a finite extension of K ; but

then $R/f^{-1}(m)$ is a finite-dimensional K -vector space, which implies that it is a field

(because for $x \neq 0$, $y \mapsto xy$ is an injective

K -linear map $R/f^{-1}(m) \longrightarrow R/f^{-1}(m)$, so it

is surjective, hence 1 is in the image). So

$f^{-1}(m)$ is maximal.

(2) The nilpotent radical $\bigcap_{p \text{ prime}} p$ is contained in the Jacobson radical $\bigcap_{m \text{ max}} m$. Conversely,

suppose $a \notin \bigcap_{p \text{ prime}} p$. Then a is not nilpotent,

which means that the morphism $R \xrightarrow{f} R_a$

is injective. Note that $R_a \cong R[X]/(1-\alpha X)$

is again finitely-generated as a K -algebra

(but this wouldn't be true for many other

localizations of R !). Let $m \subset R_a$ be a

maximal ideal; by (1), the ideal $m' = f^{-1}(m)$

in R is maximal, and it does not intersect

the multiplicative set $\{1, a, a^2, \dots\}$, in

particular $a \notin m'$, so a is not in the

Jacobson radical.

The case of \sqrt{I} follows because \sqrt{I} is the

inverse image $\pi^{-1}(\text{nilp. radical})$ for $\pi: R \rightarrow R/I$

The projection, and $\bigcap_{m \supseteq I} m$ is $\pi^{-1}(\text{Jacobson radical})$,
and R/I is again a finitely-generated K -algebra.

□

Corollary ("strong" Nullstellensatz)

Assume K is algebraically closed. Let $n > 1$ and

$I \subset K[x_1, \dots, x_n]$ an ideal. Let

$$V = \{(x_i) \in K^n \mid f(x) = 0 \text{ for all } f \in I\}.$$

If $g \in K[x_1, \dots, x_n]$ satisfies $g(x) = 0$ for all

$x \in V$, Then some g^m , $m \geq 0$, is in I .

(i.e., $g \in \sqrt{I}$)

Proof- In view of the Nullstellensatz, the condition on g is that $g \in \bigcap_{\substack{m \text{ max} \\ m \supseteq I}} m = \sqrt{I}$ by
the proposition.

□

Remark- If $V = \emptyset$, this says $1 \in \sqrt{I}$ so

$1 \in I$, recovering the corollary of the "weak" version.

4 - Height and dimension

We are now able to prove the key properties of height and dimension for f.g. K -algebras.

Theorem - (1) For all $n \geq 0$, we have

$$\dim K[x_1, \dots, x_n] = n.$$

(2) If R is a f.g. K -algebra and is an integral domain, then (ACL 9.3.11)

$$\dim R = \operatorname{trdeg}_K(\operatorname{Frac}(R))$$

(3) If R is a f.g. K -algebra and is an integral domain then $\operatorname{ht}(p) + \dim(R/p) = \dim(R)$ for any prime ideal $p \subset R$.

Proof - Note that (2) implies (1) by taking

$R = K[x_1, \dots, x_n]$: So we prove (2) by induction

on $t = \operatorname{trdeg}_K(\operatorname{Frac}(R))$. If $t = 0$, then $\operatorname{Frac}(R)$ is a finite (algebraic) extension of R , so R is a field and has dimension 0.

Now assume that $t \geq 1$ and the result holds for smaller tr. degree. By Noether's Theorem, we get $K \longrightarrow R$ with $\varphi \uparrow$ integral, so

$$\dim R = \dim K[x_1, \dots, x_n] \geq n.$$

$$\text{tr deg}_K(\text{Frac}(R)) = \text{tr deg}_K(K(x_1, \dots, x_n)) = n.$$

Let $\{0\} = p_0 \subsetneq p_1 \subsetneq \dots \subsetneq p_m$ be a chain in $K[x_1, \dots, x_n]$. Let

$$A = K[x_1, \dots, x_n]/p_1.$$

Then we have a chain of length $m-1$ in A by reducing mod p_1 .

On the other hand, take $f \neq 0$ in p_1 ; then

$f(x_1, \dots, x_n) = 0$ in A , i.e., the classes of x_1, \dots, x_n are algebraically dependent in

$L = \text{Frac}(A)$. Since these classes generate

L over K , we must have $\text{tr deg}_K(L) \leq n-1$.

Hence by induction we have $\dim(R) \leq n-1$

so $m-1 \leq n-1$; from $m \leq n$, we

deduce that $\dim R = \dim K[x_1, \dots, x_n] \leq n$,

hence the result.

(3) We proceed by induction on $\dim(R)$.

If $\dim(R) = 0$, then R is a field, so $\rho = (0)$ is the only prime ideal, and $\text{ht}(\rho) = \dim(R/\rho) = 0$.

Suppose now that $\dim(R) \geq 1$ and the statement holds for K -algebras of dimension $< \dim(R)$.

We apply Noether's Theorem to get

$$\begin{array}{ccc} K & \longrightarrow & R \\ & \searrow & \nearrow \varphi \\ & K[x_1, \dots, x_n] & \end{array} \quad \begin{array}{l} \text{with } \varphi \\ \text{integral} \end{array}$$

(so $n = \dim(K[x_1, \dots, x_n]) = \dim(R)$).

By the "going-down" theorem, we also have

$$\text{ht}_R(\rho) = \text{ht}_A(\varphi^{-1}(\rho)), \text{ where } A = K[x_1, \dots, x_n].$$

Moreover, since $A/\varphi^{-1}(\rho) \hookrightarrow R/\rho$ is also

integral, we have $\dim(R/\rho) = \dim(\mathbb{A}/\varphi^{-1}(\rho))$,

and altogether, this means that we can reduce to

the case $R = A = K[x_1, \dots, x_n]$.

Case 1 - If $p \subset A$ is zero, then $\text{ht}(p) = 0$

and the equality holds

Case 2 - If $p \neq \{0\}$, then we find $f \in p$ irreducible (some $a \neq 0$, $a \notin \mathbb{A}^*$ is in p , so some irreducible factor of a is in p). The principal ideal fA has height 1 (because A is a UFD).

Define $B = A/fA$, $p' = p/fA \subset B$,

so that p' is a prime ideal in B .

By the lemma below we have also

$$\text{trdeg}_K B = \text{trdeg}_K A - 1 = n - 1;$$

moreover $B/p' = A/fA/p/fA \simeq A/p$ so

$$\dim(B/p') = \dim(A/p);$$

and finally

$$ht_B(p') \leq ht_A(p) - 1.$$

Using the induction hypothesis, we know that

$$ht_B(p') + \dim(B/p') = \dim(B)$$

so

$$\begin{aligned} ht_A(p) + \dim(A/p) &\geq 1 + ht_B(p') + \dim(B/p') \\ &= 1 + \dim(B) \\ &= 1 + \text{trdeg}_K(B) \\ &= 1 + n - 1 = \dim(A), \end{aligned}$$

concluding the proof.

□

We used the following lemma:

Lemma - Let $n \geq 1$ and f irreducible in $K[x_1, \dots, x_n]$.

[Then $\text{trdeg}_K(\text{Frac}(K(x_1, \dots, x_n)/(f))) = n - 1$.]

Proof - Since f is irreducible, it is not constant, so (by permuting the variables if necessary) we can assume that x_n occurs in f with degree ≥ 1 .

We then claim that the classes y_1, \dots, y_{n-1} of the variables x_1, \dots, x_{n-1} in $K[x_1, \dots, x_n]/(f)$ form a transcendence basis of the fraction field L , this proves the lemma.

Indeed, the equation $f(y_1, \dots, y_n) = 0$ shows that the $(y_i)_{1 \leq i \leq n}$ are algebraically dependent; since y_1, \dots, y_n generate $K[x_1, \dots, x_n]/(f)$ as a K -algebra, this implies that L is algebraic over $K(y_1, \dots, y_{n-1})$. Moreover, we claim that

$$\text{the morphism } \begin{cases} K[x_1, \dots, x_{n-1}] \longrightarrow L \\ x_i \longmapsto y_i \end{cases}$$

is injective: if g is in the kernel then

$g(y_1, \dots, y_{n-1}) = 0$ means that $g \in K[x_1, \dots, x_{n-1}]$ is a multiple of f . But since $\deg_{x_n} f \geq 1$, this is only possible if $g = 0$.

So (y_1, \dots, y_{n-1}) are algebraically independent over K ; it is therefore a transcendence basis. \square