

When are the endomorphism rings of ideals Gorenstein?

Naoki Endo

Tokyo University of Science

based on the recent works jointly with

S. Goto, S.-i. Iai, and N. Matsuoka

Commutative Algebra and Algebraic Geometry Seminar at CUNY

March 18, 2022

1. Introduction

This talk is based on the recent research below.

- *When are the rings $I : I$ Gorenstein?*, arXiv:2111.13338
(with S. Goto, S.-i. Iai, and N. Matsuoka)

Let (R, \mathfrak{m}) be a Noetherian local ring with depth $R > 0$.

Problem 1.1

When is $\text{End}_R(\mathfrak{m}) = \mathfrak{m} : \mathfrak{m}$ Gorenstein?

- If $\dim R = 1$, then

$\mathfrak{m} : \mathfrak{m}$ is a Gorenstein ring $\iff R$ is almost Gorenstein ring and $v(R) = e(R)$

- If $\dim R \geq 2$, then $\text{depth } R \geq 2$ if and only if $\mathfrak{m} : \mathfrak{m} = R$.

Hence, provided $\text{depth } R \geq 2$,

$\mathfrak{m} : \mathfrak{m}$ is a Gorenstein ring $\iff R$ is a Gorenstein ring.

How about the case where $\dim R \geq 2$ and $\text{depth } R = 1$?

Key ideas

- (S_2) -ifications
- trace ideals

- If $\dim R = 1$, then

$\mathfrak{m} : \mathfrak{m}$ is a Gorenstein ring $\iff R$ is almost Gorenstein ring and $v(R) = e(R)$

- If $\dim R \geq 2$, then $\text{depth } R \geq 2$ if and only if $\mathfrak{m} : \mathfrak{m} = R$.

Hence, provided $\text{depth } R \geq 2$,

$\mathfrak{m} : \mathfrak{m}$ is a Gorenstein ring $\iff R$ is a Gorenstein ring.

How about the case where $\dim R \geq 2$ and $\text{depth } R = 1$?

Key ideas

- (S_2) -ifications
- trace ideals

2. Basic results on (S_2) -ifications

Throughout this talk, let

- R an arbitrary commutative Noetherian ring
- $Q(R)$ the total ring of fractions of R
- $\text{Ht}_{\geq 2}(R) = \{I \mid I \text{ is an ideal of } R, \text{ht}_R I \geq 2\}$
- $W(R) = \{a \in R \mid a \text{ is a non-zero-divisor on } R\}$

We fix a $Q(R)$ -module V and an R -submodule M of V .

Define

$$M \subseteq \tilde{M} = \{f \in V \mid If \subseteq M \text{ for some } I \in \text{Ht}_{\geq 2}(R)\} \subseteq V.$$

- If L is an R -submodule of V and $M \subseteq L$, then $\tilde{M} \subseteq \tilde{L}$.
- \tilde{R} considered inside $Q(R)$ is an intermediate ring $R \subseteq \tilde{R} \subseteq Q(R)$.
- \tilde{M} is an \tilde{R} -submodule of V .

Let $a, b \in R$ and N an R -module. The pair a, b is called N -sequence, if
 a is a N -NZD and b is a N/aN -NZD.

Here, we don't require $N/(a, b)N \neq (0)$.

Lemma 2.1

Let $a, b \in W(R)$. If $\text{ht}_R(a, b) \geq 2$, then the pair a, b is \tilde{M} -sequence.

(Proof) Let $f \in \tilde{M}$ and assume $bf = ag$ for some $g \in \tilde{M}$. Set $x = \frac{f}{a} = \frac{g}{b}$, and choose $I, J \in \text{Ht}_{\geq 2}(R)$ so that $If + Jg \subseteq M$. Then

$$(Ia + Jb)x \subseteq M$$

whence $x \in \tilde{M}$ because $Ia + Jb \in \text{Ht}_{\geq 2}(R)$. □

Proposition 2.2

Suppose that one of the following conditions is satisfied.

- (1) $Q(R)M = V$.
- (2) $\text{ht}_R \mathfrak{p} \leq 1$ for $\forall \mathfrak{p} \in \text{Ass } R$.

Then

$M = \tilde{M} \iff$ every pair $a, b \in W(R)$ with $\text{ht}_R(a, b) \geq 2$ is M -sequence.

(Proof) Assume $M \neq \tilde{M}$ and consider $Z = \tilde{M}/M$. Let $\mathfrak{p} \in \text{Ass}_R Z$ and write $\mathfrak{p} = M :_R f$ for some $f \in \tilde{M} \setminus M$. Choose $I \in \text{Ht}_{\geq 2}(R)$ s.t. $If \subseteq M$. Then $I \subseteq \mathfrak{p}$. Notice that

$$af \in M \text{ for some } a \in W(R).$$

Therefore, $\text{ht}_R(a, b) \geq 2$ for some $b \in W(R) \cap \mathfrak{p}$, whence a, b is M -sequence. So

$$0 \rightarrow (0) :_Z a \xrightarrow{\sigma} M/aM \rightarrow \tilde{M}/a\tilde{M} \rightarrow Z/aZ \rightarrow 0$$

where $b\sigma(\bar{f}) = \sigma(\overline{bf}) = 0$, because $bf \in M$. Thus $\sigma(\bar{f}) = 0$, so that $f \in M$. This is impossible.

Corollary 2.3

Suppose that one of the following conditions is satisfied.

- (1) $Q(R)M = V$.
- (2) $\text{ht}_R \mathfrak{p} \leq 1$ for $\forall \mathfrak{p} \in \text{Ass } R$.

Then the following assertions hold true.

- (a) $\widetilde{\widetilde{M}} = \widetilde{M}$.
- (b) Let $M \subseteq L \subseteq V$ be an R -submodule of V . If every pair $a, b \in W(R)$ with $\text{ht}_R(a, b) \geq 2$ is L -sequence, then $\widetilde{M} \subseteq \widetilde{L} = L$.

Recall that a finitely generated R -module N satisfies (S_n) , if

$$\text{depth}_{R_{\mathfrak{p}}} N_{\mathfrak{p}} \geq \min\{n, \dim R_{\mathfrak{p}}\} \text{ for } \forall \mathfrak{p} \in \text{Supp}_R N.$$

Theorem 2.4

Suppose R satisfies (S_1) . If \tilde{M} is a finitely generated R -module, then \tilde{M} is the smallest R -submodule of V which contains M and satisfies (S_2) .

Corollary 2.5

Suppose R satisfies (S_1) . If \tilde{R} is a finitely generated R -module, then \tilde{R} is the smallest module-finite birational extension of R satisfying (S_2) .

Corollary 2.6

If R satisfies (S_2) , then $R = \tilde{R}$.

In the rest of this section, we assume

- M is a finitely generated R -module,
- $Q(R)M = V$, and
- $(0) :_{Q(R)} V = (0)$.

Note that, every $f \in V$ has the form $f = \frac{m}{a}$ with $a \in W(R)$ and $m \in M$.

Let $a \in W(R)$ and let

$$aM = \bigcap_{\mathfrak{p} \in \text{Ass}_R M/aM} Q(\mathfrak{p})$$

be a primary decomposition of aM in M . Set

$$U(aM) = \begin{cases} M & \text{if } aM = M, \\ \bigcap_{\mathfrak{p} \in \text{Min}_R M/aM} Q(\mathfrak{p}) & \text{if } aM \neq M. \end{cases}$$

Theorem 2.7

Let $a \in W(R)$ and $m \in M$. Then $\frac{m}{a} \in \tilde{M}$ if and only if $m \in U(aM)$.

(Proof) May assume $aM \neq M$. Suppose $\frac{m}{a} \in \tilde{M}$ and choose $I \in \text{Ht}_{\geq 2}(R)$ so that $I \subseteq aM :_R m$. Let $\mathfrak{p} \in \text{Min}_R M/aM$. Since $\text{ht}_R \mathfrak{p} = 1$, $aM :_R m \not\subseteq \mathfrak{p}$, whence

$$m \in [aM]_{\mathfrak{p}} \cap M = Q(\mathfrak{p}).$$

Hence, $m \in U(aM)$.

Conversely, suppose $m \in U(aM)$. If $aM = U(aM)$, then $m \in aM$, so $\frac{m}{a} \in \tilde{M}$. May assume $aM \neq U(aM)$. Consider $\mathcal{F} = (\text{Ass}_R M/aM) \setminus (\text{Min}_R M/aM)$. Then, $\mathcal{F} \neq \emptyset$ and for each $\mathfrak{p} \in \mathcal{F}$,

$$\exists \ell = \ell(\mathfrak{p}) \gg 0 \text{ s.t. } \mathfrak{p}^{\ell} M \subseteq Q(\mathfrak{p}).$$

By setting $\alpha = \prod_{\mathfrak{p} \in \mathcal{F}} \mathfrak{p}^{\ell(\mathfrak{p})} \in \text{Ht}_{\geq 2}(R)$, we have

$$\alpha U(aM) \subseteq \bigcap_{\mathfrak{p} \in \mathcal{F}} Q(\mathfrak{p}) \cap U(aM) = aM.$$

Hence $\frac{U(aM)}{a} \subseteq \tilde{M}$, as desired. □

Therefore, if $\tilde{M} \subseteq \frac{M}{a}$ for some $a \in W(R)$, then $\tilde{M} = \frac{U(aM)}{a}$.

3. Trace ideals

Let M, X be R -modules. Consider the homomorphism

$$\tau : \text{Hom}_R(M, X) \otimes_R M \rightarrow X, f \otimes m \mapsto f(m)$$

where $f \in \text{Hom}_R(M, X)$ and $m \in M$.

We set $\text{Tr}_X(M) = \text{Im } \tau$ and call it **the trace module of M in X** .

Proposition 3.1 (Lindo)

Let I be an ideal of R . Then TFAE.

- (1) *I is a trace ideal in R , i.e., $I = \text{Tr}_R(M)$ for some R -module M .*
- (2) *$I = \text{Tr}_R(I)$.*
- (3) *The embedding $\iota : I \rightarrow R$ induces $\text{Hom}_R(I, I) \cong \text{Hom}_R(I, R)$.*

When I contains a non-zerodivisor on R , one can add the following.

- (4) *$I : I = R : I$.*

4. Main results

For a Noetherian local ring (A, \mathfrak{m}) , we set

$$\text{Assh } A := \{ \mathfrak{p} \in \text{Spec } A \mid \dim A/\mathfrak{p} = \dim A \} \subseteq \text{Min } A \subseteq \text{Ass } A.$$

Recall that A is *unmixed* (*quasi-unmixed*), if $\text{Ass } \hat{A} = \text{Assh } \hat{A}$ ($\text{Min } \hat{A} = \text{Assh } \hat{A}$).

Lemma 4.1

Let A be a Noetherian ring. Let $A \subseteq B \subseteq Q(A)$ be a subring of $Q(A)$ s.t. B is a finitely generated A -module. Let I be an ideal of B s.t. $I \subseteq A$ and $\text{ht}_A I \geq 2$. If A is locally quasi-unmixed and B satisfies (S_2) , then I is a trace ideal in A and $B = I : I$.

(Proof) Since A is locally quasi-unmixed, $\text{ht}_B P = \text{ht}_A(P \cap A)$ for $\forall P \in \text{Spec } B$, so that $\text{ht}_B I \geq 2$, whence $\text{grade}_B I \geq 2$ because B satisfies (S_2) . Therefore, $B = I : I$, so that

$$A : I \subseteq B : I = B = I : I \subseteq A : I.$$

This implies $I : I = A : I$. Hence I is a trace ideal in A . \square

Proposition 4.2

Let A be a Noetherian local ring and $I (\neq A)$ an ideal of A with $\text{ht}_A I \geq 2$. Assume that $\exists K_A$ and there exists an exact sequence

$$0 \rightarrow A \rightarrow K_A \rightarrow C \rightarrow 0 \quad \text{s.t. } IC = (0).$$

Then the following assertions hold true.

- (1) $\tilde{A} \cong K_A$ as an A -module.
- (2) $\text{Hom}_A(\tilde{A}, K_A) \cong \tilde{A}$ as an \tilde{A} -module.
- (3) If K_A is a CM A -module, then \tilde{A} is a Gorenstein ring.
- (4) If I is a trace ideal in A , then $\tilde{A} = I : I$.

Corollary 4.3

Let (A, \mathfrak{m}) be a Noetherian local ring with $d = \dim A$. Let $A \subseteq B \subseteq Q(A)$ be a subring of $Q(A)$ s.t. B is a finitely generated A -module. We set $\mathfrak{a} = A : B$ and assume the following.

- (1) A is a quasi-unmixed ring.
- (2) $\text{ht}_A \mathfrak{a} \geq 2$.
- (3) B is a Gorenstein ring.

Then the following assertions hold true.

- (a) $B = \tilde{A}$, $\text{depth}_A B = d$, \mathfrak{a} is a trace ideal in A , and $B = \mathfrak{a} : \mathfrak{a}$.
- (b) $\exists K_A$ and $K_A \cong B$ as an A -module.
- (c) $A = B$ if and only if A is a CM local ring.

(Proof) We have $B = \mathfrak{a} : \mathfrak{a}$ and \mathfrak{a} is a trace ideal in A . Since $\text{ht}_B M = \text{ht}_A \mathfrak{m} = d$ for $\forall M \in \text{Max } B$, every sop of A forms a regular sequence on B_M , so that it forms a regular sequence on B . Hence, $\text{depth}_A B = d$.

Let $C = B/A$. Then $\dim_A C \leq d - 2$ since $\mathfrak{a}C = (0)$, so that

$$H_{\mathfrak{m}}^d(A) \cong H_{\mathfrak{m}}^d(B).$$

Therefore, $K_{\hat{A}} \cong \hat{A} \otimes_A B$ as an \hat{A} -module, whence

$$\exists K_A \text{ and } K_A \cong B \text{ as an } A\text{-module.}$$

We have $B \subseteq \tilde{A}$ since $\text{ht}_A \mathfrak{a} \geq 2$, while $\tilde{A} \subseteq \tilde{B} = B$. Hence, $B = \tilde{A}$.

Suppose A is a CM ring. Then $\text{depth}_A C \geq d - 1$, which forces $C = (0)$ because $\dim_A C \leq d - 2$. Hence, $A = B$. \square

Theorem 4.4 (Main theorem)

Let A be a Noetherian local ring with $d = \dim A \geq 2$. Suppose that A is quasi-unmixed. Let $I (\neq A)$ be an ideal of A with $\text{ht}_A I \geq 2$ and $I \cap W(A) \neq \emptyset$. Set $B = I : I$. Then TFAE.

- (1) B is a Gorenstein ring.
- (2) $\exists K_A$ and I is a trace ideal in A s.t. (i) K_A is a CM A -module and (ii) there exists an exact sequence

$$0 \rightarrow A \rightarrow K_A \rightarrow C \rightarrow 0 \quad \text{s.t. } IC = (0).$$

- (3) $\text{depth}_A B = d$, $\exists K_A$, and $B \cong K_A$ as an A -module.

When this is the case, A is unmixed, $B = \tilde{A}$, and $\alpha = A : B$ is a trace ideal in A with $B = \alpha : \alpha$.

Corollary 4.5

Let A be a Noetherian local ring with $d = \dim A \geq 2$. Let $I (\neq A)$ be an ideal of A with $\text{ht}_A I \geq 2$ and $I \cap W(A) \neq \emptyset$. Set $B = I : I$. Then TFAE.

- (1) B is a Gorenstein ring, A is a homomorphic image of a CM ring, and $\text{Min } A = \text{Assh } A$.
- (2) $\exists K_A$ and I is a trace ideal in A s.t. (i) K_A is a CM A -module and (ii) there exists an exact sequence

$$0 \rightarrow A \rightarrow K_A \rightarrow C \rightarrow 0 \quad \text{s.t. } IC = (0).$$

- (3) $\text{depth}_A B = d$, $\exists K_A$, and $B \cong K_A$ as an A -module.

When this is the case, A is unmixed, $B = \tilde{A}$, and $\alpha = A : B$ is a trace ideal in A with $B = \alpha : \alpha$.

5. Gorenstein Rees algebras

Let (A, \mathfrak{m}) be a Noetherian local ring with $d = \dim A \geq 2$ and $t = \text{depth } A \geq 1$.
For each ideal I of A , we set

$$\mathcal{R}_A(I) = A[t] = \sum_{n \geq 0} I^n t^n \subseteq A[t]$$

and call it the Rees algebra of I .

Example 5.1 (Hochster-Roberts)

Let $A = k[[x^2, y, x^3, xy]] \subseteq k[[x, y]]$ and $Q = (x^2, y)$. Then A is not CM, but

$$\mathcal{R}_A(Q^2) = A[Q^2 t] = A[x^4 t, x^2 y t, y^2 t] \subseteq A[t]$$

is a Gorenstein ring.

Theorem 5.2 (Shimoda)

Suppose $\dim A = 2$ and $\text{depth } A = 1$. Let $Q = (a, b)$ be a parameter ideal of A . Then TFAE.

- (1) $\mathcal{R}_A(Q^2)$ is a Gorenstein ring.
- (2)
 - (a) $a, b \in W(A)$,
 - (b) $[(a) : b] \cap [(b) : a] = (a) \cap (b)$, and
 - (c) $A/[(ab) + a[(a) : b] + b[(b) : a]]$ is a Gorenstein ring.

Question 5.3

Let Q be a parameter ideal of A . When is $\mathcal{R}_A(Q^d)$ a Gorenstein ring?

- If A is a CM local ring, then $\mathcal{R}_A(Q^d)$ is **NOT** a Gorenstein ring.
(Goto-Nishida, Goto-Shimoda, Ikeda)

Theorem 5.4 (Goto-Iai)

Suppose $H_m^i(A) = (0)$ for $\forall i \notin \{1, d\}$ and $H_m^1(A)$ is a finitely generated A -module. Let $Q = (a_1, a_2, \dots, a_d)$ be a parameter ideal of A . Then TFAE.

(1) $\mathcal{R}_A(Q^d)$ is a Gorenstein ring.

(2) $H_m^1(A) \neq (0)$, $r_A(H_m^1(A)) = 1$, and $(0) :_A H_m^1(A) = \sum_{i=1}^d U(a_i A)$.

When this is the case, \tilde{A} is a Gorenstein ring.

Theorem 5.5

Let (A, \mathfrak{m}) be a Noetherian complete local ring s.t. $d = \dim A \geq 2$, $\text{depth } A = 1$, and $\text{Min } A = \text{Assh } A$. Let I be an \mathfrak{m} -primary ideal of A . We set $B = I : I$ and $\mathfrak{a} = A : B$, and assume the following conditions.

- (1) B is a Gorenstein ring.
- (2) $A \neq B$ and $r_A(B/A) = 1$
- (3) $\mathfrak{a} = (a_1, a_2, \dots, a_d)B$ for some $a_1, a_2, \dots, a_d \in \mathfrak{m}$.

Then, $B = \mathfrak{a} : \mathfrak{a}$ and $\mathcal{R}_A(Q^d)$ is a Gorenstein ring, where $Q = (a_1, a_2, \dots, a_d)$.

(Proof) We have $B = \mathfrak{a} : \mathfrak{a}$. As $I \cdot (B/A) = (0)$, applying $H_m^i(*)$ to the sequence

$$0 \rightarrow A \rightarrow B \rightarrow B/A \rightarrow 0$$

we get $H_m^1(A) \cong B/A$ and $H_m^i(A) = (0)$ for $\forall i \notin \{1, d\}$. Hence

$$(0) :_A H_m^1(A) = \mathfrak{a} \quad \text{and} \quad r_A(H_m^1(A)) = 1.$$

Since $\text{depth}_A B = d$ and a_1, a_2, \dots, a_d forms a system of parameters in A , the sequence a_1, a_2, \dots, a_d is B -regular. Hence

$$a_i \in W(A) \text{ and } a_i B \subseteq A \text{ for } 1 \leq \forall i \leq d$$

so that $B = \tilde{A} \subseteq \frac{A}{a_i}$, whence $B = \frac{U(a_i A)}{a_i}$. Hence

$$\mathfrak{a} = \sum_{i=1}^d a_i B = \sum_{i=1}^d U(a_i A).$$

Consequently, $\mathcal{R}_A(Q^d)$ is a Gorenstein ring. □

6. Examples

Let

- (S, \mathfrak{n}) a Gorenstein complete local ring with $d = \dim S \geq 2$
- S contains a field k
- $\mathfrak{q} = (a_1, a_2, \dots, a_d)$ a parameter ideal of S s.t. $\mathfrak{q} \neq \mathfrak{n}$
- $A = k + \mathfrak{q}$

Then, A is a subring of S , and \mathfrak{q} is a maximal ideal in A . We have

$$\ell_A(S/A) = \ell_A(S/\mathfrak{q}) - 1 < \infty.$$

Therefore, S is a finitely generated A -module, so that

A is a Noetherian complete local ring with $\dim A = d$ and $\text{depth } A = 1$.

Theorem 6.1

If $\ell_S(S/\mathfrak{q}) = 2$, then $\mathcal{R}_A(Q^d)$ is a Gorenstein ring, where $Q = (a_1, a_2, \dots, a_d)A$.

Example 6.2

Let $S = k[[X_1, X_2, \dots, X_d]]$ ($d \geq 2$) and $\mathfrak{q} = (X_1^2, X_2, \dots, X_d)S$. Then

$\mathcal{R}_A(Q^d)$ is a Gorenstein ring

where $A = k + \mathfrak{q}$ and $Q = (X_1^2, X_2, \dots, X_d)A$.

Let

- $B = k[[t, s]]$ the formal power series ring over a field k
- $P = k[[H]] \subsetneq V = k[[t]]$, where H is a **symmetric** numerical semigroup
- $\mathfrak{c} = P : V = t^c V$, $0 < c \in H$
- $A = P + sB \subseteq B$
- $\mathfrak{a} = A : B = \mathfrak{c} + sB = (t^c, s)B$

Then

A is a Noetherian complete local ring with $\dim A = 2$ and $\text{depth } A = 1$.

We set $Q = (t^c, s)$. Then, Q is a parameter ideal of A .

Theorem 6.3

The Rees algebra $\mathcal{R}_A(Q^2)$ is a Gorenstein ring.

Let

- S a Gorenstein complete local ring with $d = \dim S \geq 2$
- $\mathfrak{q} = (a_1, a_2, \dots, a_d)$ a parameter ideal of S
- $A = S \times_{S/\mathfrak{q}} S = \{(x, y) \in S \times S \mid x \equiv y \pmod{\mathfrak{q}}\}$

Then

A is a Noetherian complete local ring with $\dim A = d$ and $\text{depth } A = 1$

Let $\alpha_i = (a_i, a_i) \in A$ for each $1 \leq i \leq d$ and set $Q = (\alpha_1, \alpha_2, \dots, \alpha_d)$. Then, Q is a parameter ideal of A .

Theorem 6.4

The Rees algebra $\mathcal{R}_A(Q^d)$ is a Gorenstein ring.

Example 6.5

Let $U = k[[X_1, X_2, \dots, X_d, Y_1, Y_2, \dots, Y_d]]$ ($d \geq 2$) and set

$$A = U/[(X_1, X_2, \dots, X_d) \cap (Y_1, Y_2, \dots, Y_d)] \cong S \times_k S$$

where $S = k[[X_1, X_2, \dots, X_d]]$.

For each $1 \leq i \leq d$, let z_i denote the image of $X_i + Y_i$ in A . Then

$\mathcal{R}_A(Q^d)$ is a Gorenstein ring

where $Q = (z_1, z_2, \dots, z_d)$.

Thank you for your attention.