

§8.37: LOCAL CHARACTERIZATION OF DIMENSION

**PROPOSITION:** Let  $R$  be a Noetherian ring, and  $\mathfrak{p}$  an ideal of height  $h$ . Then there exist  $f_1, \dots, f_h \in R$  such that  $\mathfrak{p}$  is a minimal prime of  $(f_1, \dots, f_h)$ .

**THEOREM:** Let  $(R, \mathfrak{m})$  be a Noetherian local ring. Then

$$\dim(R) = \min \left\{ t \geq 0 \mid \exists f_1, \dots, f_t \in R \text{ such that } \mathfrak{m} = \sqrt{(f_1, \dots, f_t)} \right\}.$$

**(1)** Deduce the Theorem from the Proposition.

The dimension of  $R$  is the height of  $\mathfrak{m}$ . By the Proposition,  $\mathfrak{m}$  is a minimal prime of a  $d$ -generated ideal  $I$ . But, no other prime  $\mathfrak{p}$  can be minimal over  $I$ , since any other prime satisfies  $\mathfrak{p} \subsetneq \mathfrak{m}$ , and  $I \subseteq \mathfrak{p}$  contradicts that  $\mathfrak{m}$  is a minimal prime. Then  $\text{Min}(I) = \{\mathfrak{m}\}$  implies  $\sqrt{I} = \mathfrak{m}$ .

**(2)** Let  $K$  be a field, and  $R = \left( \frac{K[X, Y, Z]}{(XY, XZ)} \right)_{(x, y, z)}$ . Verify that  $\dim(R) = 2$  and  $\sqrt{(y, x+z)} = (x, y, z)$ .

Since  $\text{Min}(R) = \{(x), (y, z)\}$  we have

$$\dim(R) = \max\{\dim(R/(x)), \dim(R/(y, z))\} = \max\{2, 1\} = 2.$$

Note that  $x^2 = x(x+z)$  and  $z^2 = z(x+z)$ , so  $(x, y, z) \subseteq \sqrt{(y, x+z)}$  and equality must hold.

**(3)** Let  $R$  be a Noetherian ring, and  $\mathbf{f} = f_1, \dots, f_t \in R$  be a sequence of elements in  $R$ . For convenience<sup>1</sup>, let us say that  $\mathbf{f}$  is a “*min-avoiding sequence*” if

$$f_1 \notin \bigcup_{\mathfrak{p} \in \text{Min}((0))} \mathfrak{p}, \quad f_2 \notin \bigcup_{\mathfrak{p} \in \text{Min}((f_1))} \mathfrak{p}, \quad f_3 \notin \bigcup_{\mathfrak{p} \in \text{Min}((f_1, f_2))} \mathfrak{p}, \quad \dots, \quad \text{and } f_t \notin \bigcup_{\mathfrak{p} \in \text{Min}((f_1, \dots, f_{t-1}))} \mathfrak{p};$$

and let us say that  $\mathbf{f}$  is a “*height sequence*” if

$$\text{height}((f_1)) = 1, \quad \text{height}((f_1, f_2)) = 2, \quad \dots, \quad \text{and } \text{height}((f_1, f_2, \dots, f_t)) = t.$$

Prove that  $\mathbf{f}$  is a min-avoiding sequence if and only if  $\mathbf{f}$  is a height sequence.

Suppose that  $\mathbf{f}$  is a “min-avoiding sequence”. Then  $f_1$  is not in any minimal prime of  $R$ , so every prime containing  $f_1$  has height at least one, and by PIT, every minimal prime of  $f_1$  has height at most one, so every minimal prime of  $f_1$  has height exactly one. Then, proceeding inductively, assume that  $(f_1, \dots, f_j)$  has height  $j$ . By KHT, every minimal prime of  $(f_1, \dots, f_j)$  then has height  $j$ . By assumption  $f_{j+1}$  is not in any minimal prime of  $(f_1, \dots, f_j)$ . Let  $\mathfrak{q}$  be a minimal prime of  $(f_1, \dots, f_{j+1})$ . Then  $\mathfrak{q}$  contains  $(f_1, \dots, f_j)$ , hence contains some minimal prime  $\mathfrak{p}$  of  $(f_1, \dots, f_j)$ , and since

<sup>1</sup>The terms “min-avoiding sequence” and “height sequence” are not real, and have just been made up here to simplify the discussion.

$f_{j+1} \notin \mathfrak{p}$ , we must have  $\mathfrak{q} \not\subseteq \mathfrak{p}$ . Thus  $\text{height}(\mathfrak{q}) > \text{height}(\mathfrak{p}) = j$ . But by KHT,  $\text{height}(\mathfrak{q}) \leq j + 1$ , so equality must hold. Thus,  $\mathbf{f}$  is a “height sequence”.

Now suppose that  $\mathbf{f}$  is a “height sequence”. Then  $f_1$  is not in any minimal prime of  $R$ , by definition of height. Suppose for some  $j$  that  $f_{j+1}$  is some minimal prime  $\mathfrak{p}$  of  $(f_1, \dots, f_j)$ . Since the height of  $(f_1, \dots, f_j)$  is  $j$ ,  $\mathfrak{p}$  has height at least  $j$ , but also at most  $j$  by KHT, so  $\text{height}(\mathfrak{p}) = j$ . But  $f_{j+1} \in \mathfrak{p}$  implies  $(f_1, \dots, f_{j+1}) \subseteq \mathfrak{p}$ , and thus  $\text{height}((f_1, \dots, f_{j+1})) \leq \text{height}(\mathfrak{p}) = j$ , contradicting that we have a height sequence. We conclude that  $f_{j+1}$  is not in any minimal prime of  $(f_1, \dots, f_j)$ ; i.e., that  $\mathbf{f}$  is a “min-avoiding sequence”.

- (4) Let  $R$  be a Noetherian ring and  $\mathfrak{p}$  a prime of height  $h$ . Prove that there exists a min-avoiding sequence of  $h$  elements in  $\mathfrak{p}$ , and deduce the Proposition.

If  $\mathfrak{p}$  has height 0, then the empty sequence vacuously works. Otherwise, to construct such a sequence inductively, for  $j < h$ , we choose  $f_{j+1} \in \mathfrak{p}$  but not in any minimal prime of  $(f_1, \dots, f_j)$ . To see that this is possible, note that  $f_1, \dots, f_j \in \mathfrak{p}$  so  $(f_1, \dots, f_j) \subseteq \mathfrak{p}$ , and the minimal primes of  $(f_1, \dots, f_j)$  are primes contained in  $\mathfrak{p}$  of height  $j < h$ , so are properly contained in  $\mathfrak{p}$ . Since there are finitely many such minimal primes, by prime avoidance, we know that  $\mathfrak{p}$  is not contained in the union of these primes. Thus, we can pick  $f_{j+1}$  as required.

Now, every minimal prime of  $(f_1, \dots, f_h)$  has height  $h$ , and  $(f_1, \dots, f_h) \subseteq \mathfrak{p}$ . Thus, there is a minimal prime of  $(f_1, \dots, f_h)$  contained in  $\mathfrak{p}$  of height  $h$ , but for height reasons, these must be equal. That is,  $\mathfrak{p}$  is a minimal prime of  $(f_1, \dots, f_h)$ .

- (5) Let  $R$  be a Noetherian ring of dimension  $d$  and  $I$  an arbitrary ideal.
- Show that if  $R$  is local, then there exist  $f_1, \dots, f_d \in R$  such that  $\sqrt{(f_1, \dots, f_d)} = \sqrt{I}$ .
  - Show that, in general, there exist  $f_1, \dots, f_{d+1} \in R$  such that  $\sqrt{(f_1, \dots, f_{d+1})} = \sqrt{I}$ .