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A STRUCTURE THEOREM OF FORMAL SMOOTH MORPHISMS

IN POSITIVE CHARACTERISTIC

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§ 1. INTRODUCTION

For proving results about local formally smooth morphisms u:A \longrightarrow B, the case dim A=dim B, it is sometimes easier. If dim A dim B the question arises to find a noetherian local A-algebra \tilde{A} and a local A-morphism $\tilde{u}:\tilde{A}\longrightarrow B$ such that

- 1) $\dim \widetilde{A} = \dim B$,
- 2) ~ formally smooth
- 3) A has a "good" structure, for example to be a localization of a polynomia A-algebra.

The purpose of our paper is to prove the following structure theorem:

- (1.1) Theorem. Let $u:A \rightarrow B$ be a local, formally smooth morphism of noetherian local rings and kcK the residue field extension induced by u. Suppose that p:= char k>0 and that one of the following conditions holds:
- i) K has a separate p-basis over k (i.e. a p-basis $x=(x_i)_{i\in I}$ such that K is separable over k(x), see (2.4)), or
 - ii) B is a complete ring.

Then there exist a noetherian local A-algebra \widetilde{A} and a local A-morphism $\widetilde{u}:A\longrightarrow B$ such that

- 1) \tilde{u} is formally smooth,
- 2) $\dim \widetilde{A} = \dim B$,
- 3) \widetilde{A} is a filtered inductive limit of localizations of some polynomial A-

algebras (each of them in a finite number of indeterminates). Moreover in the case i), we can choose A to be simply a localization of a polynomial A-algebra.

If the residue field extension kcK is separable, the construction of \widetilde{A} and \widetilde{u} is well known and not difficult (see Lemma (3.7)). For example, if A=k is a field and B is a local, formally smooth, one dimensional k-algebra, i.e. a discrete valuation ring then if $\sigma:k[T] \to B$ is given by $T \to t$, t being a local parameter of B, we can take $A:=k[T]_{=1}^{-1}(tB)$

In the nonseparable case (but finite type extension case), the proof is difficult enough even when B is a discrete valuation ring (see $[P_1]$). If K/k is not separable, K=k(K^P) and B is complete, the result was already obtained in $[P_3]$ and, in fact, the proof of Theorem (1.1) uses the same methods.

In Section 2 we give some preliminaries about field extensions of positive characteristic, some of them new (as Theorem (2.13)), others already known (Theorem (6.3) from $[P_3]$ plays an important role in our construction and for the sake of completeness we have included its proof in Theorem (2.20). Next section contains the proof of Theorem (1.1). Here we get a different proof of Theorem (22.2.6) from [EGA] (see Corollary (3.6) which was suggested to us by Professor N.Radu to whom we owe thanks). As an application of Theorem (1.1) we obtain in the last section another proof of Theorem (7.3) from $[P_3]$. Throughout this paper, all rings are supposed to be commutative with identity, all fields are of positive characteristic and a local morphism $u:A \longrightarrow B$ is called unramified if the maximal ideal of A generates the maximal ideal of B.

§ 2. THE STRUCTURE OF FIELD EXTENSIONS OF POSITIVE CHARACTERISTIC

(2.1) For the beginning, we list some facts from the homology theory of commutative algebras, which can be found in [A] (see also [M] for the field case). Denote by $H_n(A,B,-)$ the n-th homology functor of an A-algebra B. It is defined on the category of B-modules and has its values in the same category.

- (2.1.2) $H_o(A,B,-)=\Omega_{B/A}\bigotimes_{B}-$ where $\Omega_{B/A}$ denotes the B-module of (absolute) differentials of the A-algebra B.
 - (2.1.3) If $B=A/_1$, where iCA is an ideal, then $H_1(A,B,-)=1/_2\bigotimes_B$
- (2.1.4) All functors $H_n(A,B,-)$ commute in the second variable B with filtered inductive limits, are stable under localisations and, if B is a flat over A, are also stable under base change.
- (2.1.5) If $A \longrightarrow B \longrightarrow C$ are ring morphisms, and WeMod C, there exists a natural long exact sequence of C-modules, called the Jacobi-Zariski sequence:

$$\longrightarrow \Pi_{1}(A,B,W) \longrightarrow H_{1}(A,C,W) \longrightarrow H_{1}(B,C,W) \longrightarrow \Pi_{B/A} \otimes_{B} W \longrightarrow$$

$$\longrightarrow \Omega_{C/A} \otimes_{C} W \longrightarrow \Omega_{C/B} \otimes_{C} W \longrightarrow 0 \longrightarrow$$

which prolongates the classical exact sequence of the modules of differentials.

- (2.1.6) In low dimensions, vanishing of these functors characterises important properties of ring morphisms. For example:
- i) If B is a finitely presented A-algebra, then B is smooth over A, iff $H_1(A,B,-)=0$ (the jacobian criterion of smoothness).
- ii) If $u:A \longrightarrow B$ is a local flat morphism of noetherian local rings, then B is formally smooth over A iff $H_1(A,B,K)=0$, where K denotes the residue field of B (the jacobian criterion of formal smoothness).
- iii) If $u:A\longrightarrow B$ is a flat morphism of noetherian rings, then u is regular, (i.e. all fibers of u are formally smooth) iff $H_1(A,B,-)=0$ (Andre's theorem [A]).
- (2.1.7) If kcK are fields, then $H_n(k,K,-)=0$ for $n\geqslant 2$ and $H_1(k,K,-)=$ = $H_1(k,K,K)\otimes -$. Writing $\Gamma_{K/k}$ instead $H_1(k,K,K)$ as in [M] (39.A), the Jacobi Zariski sequence (2.1.5) associated to kcLcK and W=K becomes:

$$0 \longrightarrow \Gamma_{1/k} \otimes_{\Gamma} \times \longrightarrow \Gamma_{K/k} \longrightarrow \Gamma_{1/k} \otimes_{\Gamma} \times \frac{\alpha_{K/\Gamma/k}}{\gamma_{K/\Gamma}} \otimes_{\Gamma} \times \frac{\alpha_{K/\Gamma/k}}{\gamma_{$$

(2.1.8) An extension of fields kcK is separable iff $\Gamma_{K/k} = 0$

- (2.2) Let k \subset K be an arbitrarily given extension of characteristic p>0. Recall that a family $x=(x_i)_{i\in I}$ of elements from K is p-free over k (resp. is a p-basis of K over k) iff the family of differentials $d_{K/k}(x)=U_{k}(x_i)$ is linearly independent in $\Omega_{K/k}(x_i)$ over K (resp. is a basis of $\Omega_{K/k}(x_i)$ over K) cf.[M] Th.86.
- (2.3) <u>Proposition</u>. In the above notations, let $x=(x_i)_{i\in I}$ be a family of elements from K, p-free over k, and L=k(x). The following statements hold:
 - i) x is a p-basis of L over k,
 - ii) the sequence $0 \to \lceil \frac{1}{k} \rceil \times \lceil \frac{1}{$
 - iii) if kck is separable, then Lck is separable,
- .iv) if x is a p-basis of K over k, then K is an unramified extension of L, i.e. $\Omega_{\rm K/L}$ =0 ,
- v) if K is a finite type extension of k and x is a p-basis of K over k then LcK is a finite separable extension.
- Proof i) The family of differentials $d_{L/k}(x)$ generates $\Omega_{L/k}$ over L and K/L/k from (2.1.7) maps it on $d_{K/k}(x)$ which is linearly independent in $\Omega_{K/k}$ over K. Thus $d_{L/k}(x)$ is linearly independent over L.
 - ii) follow from (2.1.7), $\alpha_{\text{K/L/k}}$ being injective, cf.(2.2).
 - iii) is a consequence of ii) and (2.1.8).
 - iv) if x is a p-basis of K over k, then $\alpha_{K/L/k}$ is an isomorphism by (2.2) and then $\Omega_{K/L} = 0$.
 - v) K being a finite type extension of L, $\Omega_{\rm K/L}=0$ means exactly that K is finite and separable over L, cf.[M] Th.59.
 - (2.3.1) Remark . In zero characteristic case, $\Omega_{\rm K/L} = 0$ iff LeK is algebra

If the daracteristic is p>0, then $\Omega_{K/L} = 0$ means only K=L(K^P) and if K is not finitely generated over L, this not involves necessarily the separability of K over L. For example, take L a nonperfect field and K=L^{P-CC}.

- (2.4) <u>Definition.</u> In the notations of (2.3), we say that x is a <u>separate</u> <u>p-basis</u> of K over k if x is a p-basis of K over k and K is separable over L=k(x). K is a <u>separate</u> extension of k if K has a separate p-basis over k (we shall see in Theorem (2.13) that if there exists one then any is separate)
- (2.4.1) Remark. There exist field extensions without separate p-bases. Let k_0 be a perfect field, T a variable, $k=k_0$ (T) and $K:=k_0$ $=k_0$ (T,T $=k_0$). Then $\Omega_{K/k}$ =0 and thus the empty set is the unique p-basis of K over k, but K is not separable over k. Note that rank $\Gamma_{K/k}$ =1.

In the following, we shall consider only field extensions kcK of positive characteristic p, with rank $\Gamma_{K/k}$ <0. Our particular interest in the study of such extensions is motivated by the rest.

(2.5) Proposition [EGA] (Th.22.2.2). Let u:A—B be a local, formally smooth morphism of noetherian local rings and kcK the residue field extension induced by u. Then

(2.6) Lemma. Let LcK , LcE be two field extensions. Suppose that $r:=\operatorname{rank} \Gamma_{K/L} < \infty$. Then

rank
$$\Gamma_{E(K)/F} \leq r$$
.

(2.7) Lemma. Let L \subset K be an unramified extension such that $r:=rank \int_{K/L} <\infty$ and $E \subset L^p$ a field extension of L. Then

rank
$$\Gamma_{E(K)/F} = r$$

Proof. By the above Lemma we have

$$rank \Gamma_{E(K)/E} \leqslant r$$
.

First suppose that LcE is finite. Then there exists a positive integer s such that $\text{Ecl}_{\text{c}} = \text{L}^{p}$. Using again the above Lemma we get

$$\operatorname{rank} \Gamma_{L_{s}}(K)/L_{s} \leq \operatorname{rank} \Gamma_{E(K)/E} \leq r.$$

Since the extensions $L_s = L_s(K)$, $L = L(K^p)$ are isomorphic and $K = L(K^p)$ by hypothesis, it follows

$$\operatorname{rank} \Gamma_{L_{s}(K)/L_{s}} = r,$$

which is enough.

If LCE is not finite then express E as a filtered inductive union of finite field extensions over L and apply (201.4). Classon

(2.8) Lemma. Let kcK be a field extension with r:=rank $\Gamma_{K/k} < \infty$ and $(L_i)_{i \in I}$ a family of subfields of L, all containing k, filtered inductively by inclusion and such that $\bigcup_{i \in I} L_i = L$. Then there exists $i \in I$ such that rank $\Gamma_{L_i/k} = I$ for $i \ge i$.

Proof. By (2.1.7)
$$\Gamma_{L_i/k} \otimes_{L_i} K \to \Gamma_{K/k}$$
 are injective morphisms and by (2.1.4) $\Gamma_{K/k} = \lim_{k \to \infty} \Gamma_{L_i/k} \otimes_{L_i} K$.

(2.9) Lemma. Let kcL be a field extension generated by one of its p-bases x. Then there exist a finite subset x'cx such that x'x' form an algebraically independent system over k(x').

<u>Proof.</u> For every finite subset Jcl we put $L_j:=k(x_i)_{i\in J}$. Clearly, $L=UL_j$ and

the union is filtered inductively by inclusion. Lemma (2.8) assures the existence of a finite subset $J_0 \subset I$ such that for $F=L_{J_0}$, rank $\Gamma_{F/k}=rank$ $\Gamma_{L/k}$. In the Jacobi-Zariski sequence:

$$0 \to \Gamma_{F/k} \otimes_{\Gamma^{L}} \to \Gamma_{L/k} \to \Gamma_{L/F} \to \Omega_{F/k} \otimes_{\Gamma^{L}} L \xrightarrow{\alpha' L/F/k} \Omega_{L/k}$$

written for kCFcL, the first map is bijective and the last one is injective. It results $\Gamma_{L/F} = 0$, i.e. L is separable over F. Take $x' = (x_i)_{i \in J_0}$. Since $x'' := x \times x'$ is a p-basis of L over k(x') it follows that x'' is algebraically independent over k(x') (see [M] Th.89).

- (2.10) Proposition. Let kcK be a field extension with rank $\Gamma_{\rm K/k}<\infty$. The following statements are equivalent:
 - i) kc K is separate (see def.(2.4)),
- ii) there exists a finite type extension F of k, contained in K such that K is separable over F,
- iii) there exists a finite type extension F of k, contained in K and generated over k by one of its p-bases, such that K is separable over F.
- Proof ii) \Rightarrow iii). Let kcF' be a finite type field subextension of kcK such that F'c K is separable. Let x be a (finite) p-basis of F' over k and F=k(x). By (2.3) v), FcF' is (finite) separable and thus FcK is separable.
- i) \Rightarrow ii) Let $x=(x_i)_{i\in I}$ be a separate p-basis of K over k and L=k(x). We have rank $\Gamma_{L/k}<\infty$ and $\Gamma_{L/k}<\infty$ K \rightarrow $\Gamma_{K/k}$ is injective. By the above Lemma there exist a finite subset x'cx such that k(x)cL is separable. But L c K is separable and so K is separable over F:=k(x') too.
- iii) \Rightarrow i) Suppose given the field extension kcFcK, the first of finite type, the second separable and y=(y_i)_{i∈1} a (finite) p-basis of F over k such that F=k(y). Let z=(z_j)_{j∈J} be a p-basis of K over F and L=k(y,z).

By (2.3) iii) and iv), LCK is separable and $\Omega_{\rm K/L}=0$. Thus $\Omega_{\rm L/k}\otimes_{\rm L}$ K $\simeq \Omega_{\rm K/k}$ which shows that a p-basis of L over k is a p-basis of K over k, too. From the exact sequence

$$0 \to \Omega_{F/k} \otimes_{F} L \to \Omega_{L/k} \to \Omega_{L/F} \to 0$$

we deduce that yez is a p-basis of L over k. []

- (2.11) Lemma. Let kcl be a field extension generated by one of its p-bases x. Then there exist a finite extension k' of k, k' and a subset x such that:
 - i) \tilde{x} is algebraically independent over k',
 - ii) k'(%)ck'(L) is finite separable.

Proof. By Lemma (2.9) there exists a finite subset x'ax such that x'':=x\x' form an algebraically independent system over F:=k(x'). Using [N](39.10) there exists a finite field extension k' of k, k'ckp^{-\infty} such that k'(F) is separable over k'. We can choose a subset \tilde{x} 'ax' which form a p-basis in k'(F) over k'. Then k'(\tilde{x} ')ck'(F) is finite separable by (2.3) v) and so we get ii) for \tilde{x} := \tilde{x} ' \cup x''. By [M]Th.89 the system \tilde{x} ' is algebraically independent over k and thus i) holds from above. \Box

(2 , 12) Proposition. Let kcK be a field extension such that rank $\Gamma_{K/k} < \infty$, $K_i := k(K^p)$ and n a positive integer such that t:=rank $\Gamma_{K_i/k}$ is constant for i > n. Then every p-basis x of K over k holds

rank
$$\int_{K/k(x)}^{x} (x)^{-t}$$
.

Proof. Fix a p-basis x. By Lemma (2.11) there exist a finite field extension $k \subset k'$, $k' \subset k^{p-\infty}$ and a subset $\widetilde{x} \subset x$ such that

- 1) $\tilde{\mathbf{x}}$ is algebraically independent over k',
- 2) $k'(\tilde{x}) \subset k'(x)$ is finite separable.

Choose a positive integer s>n such that $k \ge k_s := k^p$. By 2) and (2.3) iv) the extensions $k_s(\widetilde{x}) \le k_s(x)$, $k_s(x) \le k_s(K)$ are unramified and so $k_s(\widetilde{x}) \le k_s(K)$ is too. Thus \widetilde{x} is a p-base of $k_s(K)$ over k_s and it follows

$$\operatorname{rank} \Gamma_{k_s(K)/k_s(\widetilde{x})} = \operatorname{rank} \Gamma_{k_s(K)/k_s} = \operatorname{rank} \Gamma_{K_s/k} = t_s$$

by (2.3) ii), the extensions $k_s \in k_s(K)$, $k \in K_s$ - being isomorphic. Using the following exact sequence

$$0 \!\to\! \Gamma_{\mathsf{k}_{_{\mathbf{S}}}(\mathsf{x})/\mathsf{k}_{_{\mathbf{S}}}(\widetilde{\mathsf{x}})} \!\stackrel{\otimes}{\times}\! \mathsf{k}_{_{\mathbf{S}}}(\mathsf{K}) \!\to\! \Gamma_{\!\mathsf{k}_{_{\mathbf{S}}}(\mathsf{K})/\mathsf{k}_{_{\mathbf{S}}}(\widetilde{\mathsf{x}})} \to \Gamma_{\!\mathsf{k}_{_{\mathbf{S}}}(\mathsf{K})/\mathsf{k}_{_{\mathbf{S}}}(\mathsf{x})} \to 0$$

we get:

$$rank \int_{k_s(K)/k_s(x)}^{n} = t$$

- by 2). Since L:= $k(x) \subset K$ is an unramified extension the result is a consequence of Lemma (2.7) applied for E:= $k_s(x) \cdot \square$
- (2.13) Theorem. Let kcK be a field extension with rank $\Gamma_{K/k}$. The following statements are equivalent:
 - i) there exists a separate p-basis of K over k (i.e. kcK is separate),
- ii) there exists a finite type field extension F of k, contained in K such that K is separable over F,
- iii) there exists a finite field extension E of k, Eck^p such that EcE(K) is separable,
- iv) there exists a positive integer s such that $k^p = k^p$ (K) is separable.
 - v) every p-basis of K over k is separate.

Proof i) ⇒ ii) follows from Proposition (2.10). ii) ⇒ iii) By [N] (39.10) there exists a finite field extension E of k, Eck^{p} such that EccE(F) is separable. Since $F\subset K$ is separable we get $E\subset E(K)$ separable too.

 $iii) \Rightarrow iv)$ and $v) \Rightarrow i)$ are trivial.

for all i≥s (see Lemma (2.6)).□

- (2.14) Proposition. Let k \subset K be a field extension, with rank $\Gamma_{K/k} < \infty$. Then there exist some subfields E<Fck such that
 - 1) ECK is a separable extension,
 - 2) EcF is a finite type and purely transcedental extension,
 - 3) Fck is an etale extension, i.e. is separable and $\Omega_{\vec{k}/_F} = 0$.

Proof. Let (e_i) be a p-basis of k over its prime subfield k_o and

$$0 \rightarrow \Gamma_{K/k} \rightarrow \Omega \otimes K \xrightarrow{\alpha K/k} \Omega_K \rightarrow 0$$

the Jacobi-Zariski sequence written for k-k-K, where Ω_k , Ω_K and $\alpha_{K/k}$ stand for $\Omega_{k/k}$, $\Omega_{K/k}$ and $\alpha_{K/k/k}$ respectively.

Since rank $\bigcap_{K/k}$ is finite, there exists a finite subset Jcl such that the image of $\bigcap_{K/k}$ in $\bigcap_{k} \bigotimes_{k}$ K is contained in the subspace generated by $(d_k(e_i)\otimes 1)_{i\in J}$. We put $E=k_o(e_i)_{i\in I-J}$ and $F=k_o(e_i)_{i\in I}$.

Since $k \in \mathbb{C}$ is separable, $(e_i)_{i \in I}$ is algebraically free over k_o , cf. [M], Th.89 and thus, $F = E(e_i)_{i \in J}$ is of finite type and purely transcedental over E. In the Jacobi-Zariski sequence:

$$0 \rightarrow \Gamma_{K/E} \rightarrow \Omega_{E} \otimes_{E} K \xrightarrow{\alpha K/E} \Omega_{K}$$

written for koEcK, $\alpha_{K/E}$ is injective by construction and then $\Gamma_{K/E}=0$, i.e. K is separable over E. Finally, 3) is a consequence of (2.3) iii) and iv). \square

(2.15) The last part of the section is devoted to those extensions kcK which are not separate, (see Remark (2.4.1)). As we shall see in the following, such an

extension contains a field F such that:

- 1) K/F is separable,
- 2) F is a filtered inductive limit of finite type extensions of k, each of them being generated over k by one of its p-bases (compare with (2.10)).

We need some preparations.

Let p>1 be an integer and I an arbitrarily given set . For every integer r>0 let $\Lambda_r(I)$ be the set of those multiindexes $\lambda=(\lambda_1)_{i\in I}\in IN^1$ with finite support such that $0\leqslant\lambda_i\leqslant p^r$, iel. If r=1 we put $\Lambda(I)$ instead $\Lambda_2(I)$. The addition of multiindexes and the multiplication of a multiindex with a nonnegative integer are defined componentwise.

Let $x = (x_i)_{i \in I}$ be a family of elements from a ring and $\lambda \in \Lambda_r(I)$. We put:

$$x = \prod_{i \in I} x_i$$

x is well-defined, because λ has finite support.

Let k be a field of characteristic p>0. For every extension K of k and all integers r>0, we put $K_r=k(K^p^r)$. Clearly: $kc...cK_rcK_{r-1}c...cK_rcK$

- (2.16) Lemma. Suppose given a field extension kcK of positive characteristic p>0, with t=rank $\Gamma_{K/k}^{<\infty}$ and x=(x_i) a family of elements from k. Then:
 - i) if x (viewed in K) remains p-free over K^p and it is a maximal family in k with this property, then there exist $y=(y_1,\ldots,y_t)$ from k such that xvy is a p-basis of k over k^p (i.e. over its prime subfield).
- ii) conversely, if x remains p-free in K over K^p and there exist $y=(y_1, \ldots, y_t)$ from k such that xvy is a p-basis of k over k^p then x is a maximal family in k with the above property.
 - (2.17) <u>Lemma.</u> Let kcEcK be fields of characteristic p>0, with t=rank $\Gamma_{K/k} < \infty$ and x=(x_i)_{i∈I}, y = (y₁,...,y_t) be some elements from k such that:

- 1) x is p-free over K^p
- 2) xuy is a p-basis of k over k^p .

Then, for every integer r>0, the following statements are equivalent:

i) rank
$$\Gamma_{E_{1}/k} = t \quad 0 \le i < \tau \quad (E_{1}:=k(E^{p}))$$
 see (2.9)).

ii) there exists an unique family $z=(z_{u\lambda})$, laust, $\lambda \in \Lambda(1)$ of elements from E, with finite support, such that

$$(2.17.1)y_{u} = \sum_{\lambda \in \Lambda_{r}(1)} z_{u\lambda}^{p} x^{\lambda} \qquad 1 \le u \le t.$$

Proof. i) \Rightarrow ii) The hypotheses and the lemma (2.16) with E instead K show that x is maximal among the families from k which remain p-free over E_{r-1}^p ; relatively $y_u \in E_{r-1}^p(x)$, $1 \le u \le t$. But $k = k^p$ (x,y) and so we get $E_{r-1}^p(x) = E_{r-1}^p(y^p,x)$. Then $y_u \in E_{r-1}^p(y^p,x)$ $1 \le u \le t$ and step by step it results that $y_u \in E_{r-1}^p(x)$, $1 \le u \le t$

 $ii) \Rightarrow i)$ For every i we have the exact sequence

$$0 \rightarrow \lceil \frac{1}{k} \rceil_{k} \otimes E_{i} \rightarrow \Omega_{E_{i}} \rightarrow 0$$

By hypothesis $d_k(x) \cup d_k(y)$ is a basis of Ω_k over k, and $d_{E_i}(x)$ is linearly independent in Ω_E . The relations (2.17.1) show that $d_{E_i}(y)$ depends linearly on $d_{E_i}(x)$ for every 0 si<r. Now it is easy to see that rank $\Gamma_{E_i}(x) = 0$ for all $0 \le i < r$. \square

(2.18) Corollary. If i) from the above lemma holds and in addition rank E_r = t, then in (2.17.1) we have: $z_{u\lambda} \in E_k(x)$ for all u, λ

<u>Proof.</u> The hypotheses implies the existence of an unique family $(z_{u\lambda'})$, laws $\lambda' \epsilon \wedge_{r+1} (1)$ of elements from E such that

$$y_{u} = \sum_{\lambda' \in \Lambda} (1) p^{r+1} \lambda'$$

$$1 \le u \le t$$

But every $\lambda' \in \Lambda_{r+1}(I)$ can be expressed in an unique way as $\lambda' = p^r \in +\lambda$ where $\varepsilon \in \Lambda(I)$ and $\lambda \in \Lambda_r(I)$. So, the above relations can be written in the following form

$$y_{n} = \sum_{\lambda \in \Lambda_{r}(1)} \left(\sum_{\epsilon \in \Lambda; \lambda' = p \in +\lambda} z_{u\lambda}^{p}, x^{\epsilon} \right) p_{x}^{r} \lambda$$

We deduce

$$z_{u\lambda} = \sum_{\varepsilon \in \Lambda; \lambda' = p'\varepsilon + \lambda} z_{u\lambda'}^{p} \times \xi_{\varepsilon} e^{p}(x)$$

by the uniqueness of $(z_{u\lambda})$. \square

- (2.19) Lemma. Let kcK be fields of characteristic p>0 with t=rank $\Gamma_{K/k}$ and r>0 an integer. Suppose rank $\Gamma_{K/k}$ = t, 0<i<r. Then there exists a subfield FcK, finite type extension of k such that:
 - i) if ECK is an extension of k, then rank Γ_{E_i} =t,0<i<r iff FcE $\frac{1}{k}$
 - ii) every p-basis of F over k generates F over k.

Proof. Let $x=(x_i)_{i\in I}$ be a maximal family from k which remains p-free over K^p . Using (2.16.)i) there exist $y=(y_1,\ldots,y_t)$ from k such that xuy is a p-basis of k over k^p . By (2.17) there exist $z=(z_{u_\lambda})$, $x\in \Lambda_r(I)$ in K with finite support such that (2.17.1) holds. We put F:=k(z). Then i) is a consequence of the same lemma (2.17).

Now let $w=(w_j)_{j\in J}$ a (finite) p-basis of F over k and L=k(w). Since F is a finite type extension of k, LCF is finite and separable by (2.3)v). Moreover $F_i := k(F^p)$ is finite and separable over $L_i := k(L^p)$ for every i and so rank $f_i := k(F^p)$ and thus F=L.

- (2.19.1) Remark. It could be interesting to study the structure of an extension kcF satisfying ii).
- (2.20) Theorem $[P_3]$. Let kcK be a field extension of characteristic p>0 with $t=rank \Gamma$.

where $K_n = k(K^p)$. Then there exists an ascending chain of subfields of K, all containing k:

$$F_1 \subset F_2 \subset \dots \subset F_n \subset \dots$$

such that for every positive integer n:

- 1) F_n is a finite type field extension of k and rank $\Gamma_{F_n/k} = t$
 - 2) every p-basis of F_n over k, generates F_n over k
 - 3) $F_n \subset k(F_{n+1}^p)$

Moreover, if $F = \bigcup_{n \in \mathbb{N}} F_n$, then:

- i) $F = k(F^p)$ and rank $\Gamma_{F/k} = t$
- ii) K is a separable extension of F.

Proof. For every $n \in \mathbb{N}$ let F_n be the field defined in (2.19) for r=n. Then F_n satisfies 1) and 2). Corollary (2.18) implies 3). $F=k(F^p)$ is a consequence of 3) and $F_k \simeq \lim_{k \to \infty} F_{n/k} = 1$. In the Jacobi-Zariski sequence written for kcFcK

$$0 \to \Gamma_{F/k} \otimes_{F} K \longrightarrow \Gamma_{K/k} \to \Gamma_{K/F} \to \Omega_{F/k} \otimes_{F} K$$

the first morphism is an isomorphism and $\Omega_{F/k}=0$ because $F=k(F^p)$. Then $\Gamma_{K/F}=0$ i.e. FCK is separable. Ω

(2.20.1) Remark. The hypothesis of the above Theorem are fulfilled, for example, in the case K=k(K^p) i.e. when $\Omega_{K/k} = 0$.

§ 3 . CONSTRUCTIONS OF SOME FORMALLY SMOOTH ALGEBRAS

The following Lemma is an easy extension of $[P_3]$ Lemma (7.1).

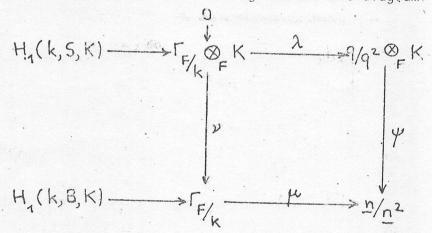
- (3.1) Lemma. Let $A \xrightarrow{V} S \xrightarrow{W} B$ be two local morphisms of noetherian local rings, kcFcK the residue field extensions induced by v,w and $\underline{m},\underline{q},\underline{n}$ the maximal ideals of A,S,B respectively. Assume that:
 - 1) the composed map wv is formally smooth,
 - 2) S/mS is regular,
- 3) dim S = dim A + rank $\Gamma_{F/k}$ (the rank is finite, because rank $\Gamma_{K/k} \le \dim B \dim A$ by (2.5)).

Then w is a flat morphism and B/w(q)B is a regular ring.

<u>Proof.</u> By [M] (20.G) it is sufficient to prove that the morphism $\overline{w}: S/mS \rightarrow B/mB$ obtained by base change is flat. Consequently we can suppose A=k and so both rings B and S are regular. By [EGA] (17.3.3) it is enough to show that the canonical map

$$\psi: q/q^2 \otimes_F K \longrightarrow n/n^2$$

is injective. We consider the following commutative diagram:



The upper (resp.bottom) row is a part of the Jacobi-Zariski sequence written for kCS \rightarrow F (resp.k \rightarrow B \rightarrow K). By jacobian criterion of formal smoothness we have H₁(k,B,K)=0 and so μ is injective. Further $\mu \nu$ is injective hence λ is injective too. Moreover λ is an isomorphism because rank q/q^2 =dim S=rank f/f. So ψ is injective. \Box

(3.2) Theorem. Let (A,m) be a noetherian local ring, k its residue field

and kcK, KeE two field extensions, the first one being separate with r:= - = rank $(\widetilde{A}, \widetilde{M})$ and a local morphism $v:A \longrightarrow \widetilde{A}$ such that:

- i) the residue field extension kcK induced by v is a subextension of kck,
- ii) KcK is separable,
- iii) $\dim \widetilde{A} = \dim A + r$
- iv) \widetilde{A} is a localization of a polynomial A-algebra in a finite number of variables. Moreover, if (B,n) is a noetherian local ring and $u:A \rightarrow B$ is a formally smooth, local morphism inducing the composed extension $k \subset E$ as residue field extension then, there exists a local flat morphism $\widetilde{u}:\widetilde{A} \rightarrow B$ such that $B/\widetilde{u}(\widetilde{m})B$ is a regular ring and $u=\widetilde{u}v$.

Proof. Let \widetilde{K}/k be a finite type field subextension of K/k which is generated by one of its p-basis $\widetilde{x}=(\widetilde{x}_1,\ldots,\widetilde{x}_n)$ and such that K/\widetilde{K} is separable (see Proposition (2.10)). From the following exact sequence

$$0 \to \Gamma_{\widetilde{K}/k} \otimes K \longrightarrow \Gamma_{K/k} \longrightarrow \Gamma_{K/\widetilde{K}} = 0$$

we get r=rank $\bigcap_{K/K}$. Denote R=A[X], X= (X₁,...,X_r) and let w:R \rightarrow K be the unique morphism lifting the composed morphism A \rightarrow k \rightarrow K and maps X_r to \overline{x} . Denote p:=Ker w, \widetilde{A} :=R_p, \widetilde{m} :=p \widetilde{A} and let w': \widetilde{A} \rightarrow K be the morphism induced by w under localization. Clearly \widetilde{A} is a noetherian local ring with residue field \widetilde{K} , and \widetilde{A} / \widetilde{m} is a localization of a polynomial algebra over k thus regular.

By dimension formula ([M] Th.23) we get

$$\dim A = \operatorname{ht} p = \dim A + |J| - \operatorname{trdeg}_k K$$

where |J| denotes the cardinal of J. On the other hand, by (2.3) i), |J| = rank $\Omega_{K/k}^{\infty}$. The Cartier equality ([M] Th.92) gives:

$$trdeg_{k}\widetilde{K} = rank \Omega_{\widetilde{K}/k} - rank \Gamma_{\widetilde{K}/k} = |J| - r$$

 $\dim A = \dim A + r$.

Given (B,\underline{n}) , u, let $x=(x_1,\ldots,x_n)$ be a lifting of \overline{x} in B. Let $\widetilde{u}:\widetilde{A}\longrightarrow B$ be the lifting of w given by $X \rightsquigarrow x$. By Lemma (3.1) w is flat and $B/\widehat{u}(\widetilde{m})B$ is regular.

- (3.3) Corollary. Let (A,m) be a noetherian local ring, k its residue field and kcK, KcE two field extensions. Suppose rank $\Gamma_{K/k} < \infty$. Then there exists a noetherian local ring (S,q) and a local morphism $v:A \longrightarrow S$ such that:
 - i) the residue field extension kcL induced by v is a subextension of kcK,
 - ii) K/L is unramified
 - iii) dim $S = \dim A + \operatorname{rank} \Gamma_{L/k}$
 - iv) S is a filtered inductive limit of localizations of polynomial A-algebras. Moreover, if (B,\underline{n}) is a noetherian local ring and $u:A \longrightarrow B$ is a formally smooth, local morphism inducing the composed extension keE as residue field extension then, there exists a local flat morphism $u':S \longrightarrow B$ such that B/u' (q)B is a regular ring and u=u'v.

Proof. Let \overline{z} be a p-basis of K/k and L=k(\overline{z}). Then L<K is unramified and r:=rank $\lceil L/k \rceil < \infty$ (see 2.3 iv), ii)). Applying the above Theorem for k<L<K there exist a noetherian local ring $(\widetilde{S},\widetilde{q})$ and a local morphism $\widetilde{V}:A \longrightarrow \widetilde{S}$ such that

- 1) the residue field extension kcL, induced by v, is a subextension of kcL,
- 2) ~ = L is separable
- 3) $\dim S = \dim A + r$
- 4) \tilde{S} is a localization of a polynomial A-algebra in a finite number of variables
- 5) given u,B there exists a flat local morphism $w: \widetilde{S} \to B$ such that $B/w(\widetilde{q})B$ is regular ring and $u=w\widetilde{v}$.

Let $\overline{x}=(\overline{x}_i)_{i\in I}$ be a p-basis of L/\widetilde{L} , $X=(X_i)_{i\in I}$ some variables, $S:=\widetilde{S}[X]_{\widetilde{q}}\widetilde{S}[X]$ and $q:=\widetilde{q}S$. Then S is the filtered inductive limit of localizations of

 $\left\{ \widetilde{S}[X_{J}] \middle| X_{J} = (X_{j})_{j \in J} \right\}, J \subset I \text{ finite subset}.$

Clearly dim S = dim S.

Given (B,n), u, let x be a lifting of \overline{x} in B. The map $u':S \longrightarrow B$, $X \longrightarrow x$ induced by w is well defined because \bar{x} is algebraically independent over L (see [M] Th.89). By [M] (20.G) u' is flat (w was already flat). Since q:=qS we are ready by 5). [

The following Lemma is inspired from $[P_3]$ Lemma (7.2).

- (3.4) Lemma Let (A,m) be a noetherian local ring, k its residue field and K/k an unramified field extension such that r:=rank $\Gamma_{\rm K/k} < \infty$. Then there exists a noetherian local ring $(\widetilde{A},\widetilde{m})$ and a local morphism $v:A \to \widetilde{A}$ such that:
 - i) the residue field extension kcK induced by v is a subextension of kcK,
 - ii) KcK is separable,
 - iii) $\dim A = \dim A + r$,
- iv) Avis a filtered inductive limit of localizations of some polynomial Aalgebras.

Proof. Let

kcf,c...cf.c...

be the chain of subfields of K given by Theorem (2.20) (see also (2.20.1). Thus for every n EN we have:

- 1) F_n is a finite type field extension of k and rank $F_n/k = r$
- 2) every p-basis of F_n over k generates F_n over k,
- 3) $F_{n} \subset k(F_{n+1}^{p})$.

- Moreover $\widetilde{K}:=\bigcup_{\substack{n\in N\\ \text{Y}}}F_n\text{ satisfies}$ 4) rank $\widetilde{\Gamma_{K/k}}=r$ and $\widetilde{K}=k(\widetilde{K}^p)$,
 - 5) KCK is separable.

Applying Corollary (3.3) to $k \in F_n$ (we get some noetherian local rings (S_n,q_n) , $n\in\mathbb{N}$ and some local morphisms $v_n:A\longrightarrow S_n$, $n\in\mathbb{N}$ such that for every new:

- 6) theoresidue field extension $k \in F_n$ induced by v_n is a subextension of $k \in F_n$,
 - 7) $\hat{F}_n \subset F_n$ is unramified,
 - 8) dim $S_n = \dim A + \operatorname{rank} \left(\frac{2}{F_n} \right) / k$,
 - 9) S_n is a localization of a polynomial A-algebra.
- 10) given a noetherian local ring C_{n+1} and a formally smooth, local morphism $u_{n+1}:A\to C_{n+1}$ inducing the extension $k\in F_{n+1}$ as residue field extension then, there exists a flat local morphism $u_{n+1}':S_n\to C_{n+1}$ such that

C/u'_{n+1} (q_n)C is regular and u_{n+1}=u'_{n+1}v_n. Since keF_n is of finite type we get F_n F_n finite separable from 7), see (2.3) v). Then every p-basis of F_n over k is still a p-basis in F_n over k and by 2) we get F_n = F_n. Clearly (v_n) are formally smooth by 9). Applying 10) for $C_{n+1}:=S_{n+1}, u_{n+1}:=v_{n+1}$ we get a flat local morphism $w_n:S_n \longrightarrow S_{n+1}$ such that $S_{n+1}/w_n(q_n)S_{n+1}$ regular and $v_{n+1}=w_nv_n$. Then $w_n(q_n)S_{n+1}$ is a prime ideal of height dim S_n . Since

$$\dim S_n = \dim A + r = constant$$

we get

$$q_{n+1} = w_n(q_n) s_{n+1}$$

Then the filtered inductive limit (v, A) of (v_n, S_n, w_n) is a noetherian local ring of dimension dim A+r and $m := q_n A$ is its maximal ideal. \square

- (3.5) Theorem. Let (A,m) be a noetherian local ring, k its residue field and K/k a field extension such that r:=rank $\bigcap_{K/k} \langle \omega \rangle$. Then there exists a noetherian local ring $(\widetilde{A},\widetilde{m})$ and a local morphism $v:A \to \widetilde{A}$ such that:
 - i) the residue field extension $k \subset K$ induced by v is a subextension $k \subset K$,
 - ii) K̃cK is separable,
 - iii) $\dim \widetilde{A} = \dim A + r$

iv) \tilde{A} is a filtered inductive limit of localizations of some polynomial A-algebras. Moreover, if (B,n) is a noetherian complete local ring and $u:A \to B$

is a formally smooth, local morphism inducing kcK as residue field extension then, there exists a flat local morphism $\tilde{u}: \tilde{A} \to B$ such that $B/\tilde{u}(\tilde{m})B$ is a regular ring and $u=\tilde{u}v$.

Proof. Let (S,q), $v':A \rightarrow S$ be given by Corollary (3.3). Then we have

- 1)(S,q) noetherian local
- 2) the residue field extension kcl induced by v' is a subextension of kcK,
- 3) LcK is unramified,
- 4) dim S = dim A + rank $\Gamma_{L/k}$
- 5) S is a filtered inductive limit of localizations of polynomial A-algebras Now applying the above Lemma for the case (S,q), K/L there exist a noetheriar local ring $(\widetilde{A},\widetilde{m})$ and a local morphism $\widetilde{V}:S \rightarrow \widetilde{A}$ such that:
 - 6) the residue field extension LCK induced by vais a subextension of LCK,
 - 7) KcK is separable,
 - 8) $\dim \widehat{A} = \dim S + \operatorname{rank} \Gamma_{K/L}$
- 9) A is a filtered inductive limit of localizations of some polynomial A-algebras.

Clearly $(\widetilde{A},\widetilde{m})$, $v:=\widetilde{v}v'$ satisfy $i) \neq iv$) from above. The map v is formally smooth because it is a filtered inductive limit of formally smooth maps (v_n) . As B is a complete local ring, the inclusion $\widetilde{K} \subseteq K$ can be lifted to a local morphism $\widetilde{u}:\widetilde{A} \to B$ such that $u=\widetilde{u}v$. Note that $\widetilde{A}/m\widetilde{A}$ is regular because v is formally smooth and so $k \otimes_A v$ is too. Applying Lemma (3.1) for v,\widetilde{u} we get \widetilde{u} flat and $B/\widetilde{u}(\widetilde{m})B$ regular. \square

- (3.6) Corollary (EGA (22.2.6)) . Let (A,m) be a noetherian local ring, k its residue field and K/k a field extension such that r:=rank range K/k range C . Then there exists a formally smooth noetherian complete local A-algebra (B,n) such that
 - i) namB and $B/n \simeq K$ over k,
 - ii) $\dim B = \dim A + r$.

Proof. By Theorem (3.5) there exists a formally smooth noetherian local A-al

gebra $(\widetilde{A},\widetilde{m})$ such that

- 1) $\widetilde{m} > m\widetilde{A}$ and the residue field extension kcK induced by $A \to \widetilde{A}$ is a subextension of kcK,
 - 2) KcK is separable,
 - 3) $\dim \widetilde{A} = \dim A + r$.

Let (B,n) be the the Cohen \widetilde{A} -algebra of residue field K, i.e. the unique (up to an \widetilde{A} -isomorphism formally smooth noetherian complete local \widetilde{A} -algebra (B,n) satisfying dim $B = \dim \widetilde{A}$ and $B/n \cong K$ as \widetilde{K} -algebras. Clearly (B,n) works.17

- (3.7) Lemma. Let $u:A \to B$ be a flat local morphism of noetherian local rings. Let $\underline{m},\underline{n}$ be the maximal ideals and k,K the residue fields of A,B respectively. Assume that $B/\underline{m}B$ is regular. Then there exist a noetherian local A-algebra $(\widetilde{A},\widetilde{m})$ and a local A-morphism $\widetilde{u}:\widetilde{A} \to B$ such that:
 - 1) \widetilde{A} is a localization of a polynomial A-algebra,
 - 2) $\widetilde{m}_{>}m\widetilde{A}$, \widetilde{u} is flat and unramified (in particular dim \widetilde{A} =dim B).
 - If K is separable over k then \widetilde{u} is formally smooth.

Proof. Let $x=(x_1,\ldots,x_n)$ be some elements from n which form modulo mB a regular system of parameters on B/mB. Denote R:=A[X], $X=(X_1,\ldots,X_n)$ and let $\sigma:R\to B$ be the A-morphism given by $X\leadsto x$. Put $p:=\bar{\sigma}^1(n)$, $A:=R_p$, m=pA and let $u:A\to B$ the map induced by localization from σ . Note that p:A=m and so p:A=m and so p:A=m and a:A=m is exactly the ideal generated in a:A=m. Then a:A=m and a:A=m is unramified. Flatness of a:A=m is now a consequence of a:A=m and a:A=m and a:A=m is unramified. Flatness of a:A=m is now a consequence of a:A=m and a:

- (3.8) Proof of Theorem (1.1) When kcK is separate we apply Theorem (3.2) and so we find a noetherian local ring (A',\underline{m}') and two local morphisms $v':A\to A'$, $u':A'\to B$ such that:
 - W) the residue field extension k K induced by u' is separable,
 - 2) dim A'=dim A + rank r_{K/k}
 - 3) A' is a localization of a polynomial A-algebra

4) u' is flat, u=u'v' and B/u'(m')B is a regular ring.

Applying Lemma (3.7) for $u':A' \rightarrow B$ we finish this case.

Now suppose B complete. By Theorem (3.5) there exist a noetherian local ring (A',m') and two local morphisms $v':A\to A'$, $u':A'\to B$ such that:

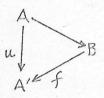
- 5) A' is a filtered inductive limit of polynomial A-algebras,
- 6) it holds 1), 2) and 1).

Applying Lemma (3.7) like above for u', we are ready. D

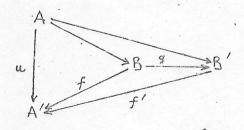
§ 4. AN APPLICATION

Trying to extend Néron desingularization for arbitrary regular morphisms we see ($[P_3], \S 8$) that is enough to prove the following:

(4.1) Theorem. Let u:A→A' be a local, formally smooth morphism of noetherian local rings. Suppose given the commutative diagram

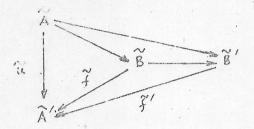


where B is a finite type A-algebra. Let $b \subset B$ be the ideal defining the singular locus of B over A (i.e. B is smooth over A in $q \in Spec$ B iff $q \not > b$). Suppose that $f(\underline{b})A$ is a \underline{m} -primary ideal, where \underline{m} denotes the maximal ideal of A'. Then the above diagram can be embedded into a larger one:



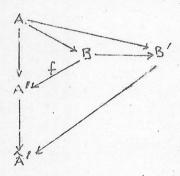
in which B' is a standard smooth A-algebra.

Proof. When dim A = dim A' then the residue field extension induced by uses separable and the above theorem is a consequence of $\{P_2\}$ Th. (5.2). Otherwise, by theorem (1.1) there exist a noetherian local A-algebra \widehat{A} with the same dimension as A', which is a filtered inductive limit of localizations of polynomial A-algebras, and a formally smooth A-morphism $\widehat{u}:\widehat{A} \longrightarrow \widehat{A}$ where \widehat{A} denotes the completion of A'. Then there exist a standard smooth \widehat{A} algebra \widehat{B} and a commutative diagram:



where B = B = A and A = A is given canonically by A = A and the composed morphism A = A = A.

Since \widetilde{A} is a filtered inductive limit of standard smooth A-algebras we can find a standard smooth A-algebra B' and a commutative diagram:



This end our proof using $[P_3]$ Lemma (7.3.2).

(4.2) Remark. The above proof lead to an easier proof for the $[P_3]$ Desingularization Theorem which does not need Lemma (7.4) and Proposition (9.4) (and so $[P_4]$) 9-10).

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