

# Homological algebra modulo exact zero-divisors

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**Abstract** We study the homological behavior of modules over local rings modulo exact zero-divisors. We obtain new results which are in some sense “opposite” to those known for modules over local rings modulo regular elements.

## 1. Introduction

Given a local (meaning also commutative and Noetherian) ring  $S$  and an ideal  $I$ , one may ask whether the homological behavior of modules over  $S/I$  is related to that over  $S$ . In general this is hopeless; one needs to restrict the ideal  $I$ . When  $I$  is generated by a regular sequence, there is a well-developed and powerful theory relating the homological properties of modules over these two rings (see for instance [Av2], [AvBu], [Be], [Dao1], [Eis], [Gu1], [Jo1], and [Jo2]). For example, suppose that the ideal  $I$  is generated by a single regular element  $x \in S$ , denote the factor ring  $S/(x)$  by  $R$ , and let  $M$  and  $N$  be  $R$ -modules. Then a primary result is that

$$\mathrm{Tor}_1^R(M, N) = \mathrm{Tor}_2^R(M, N) = \cdots = \mathrm{Tor}_n^R(M, N) = 0,$$

for some  $n \geq 2$ , implies that

$$\mathrm{Tor}_2^S(M, N) = \cdots = \mathrm{Tor}_n^S(M, N) = 0.$$

In other words, the vanishing of homology over  $R$  implies the vanishing of homology over  $S$ . An analogous statement for cohomology also holds.

Another primary result compares the complexity of a finitely generated  $R$ -module with its complexity as an  $S$ -module (see Section 3 for the definition of complexity). Namely, there are inequalities (see [Av2, Remark 3.2(3)])

$$\mathrm{cx}_S(M) \leq \mathrm{cx}_R(M) \leq \mathrm{cx}_S(M) + 1.$$

In this paper we study the case where the element  $x \in S$  is in some sense the “next best thing” to being a regular element. More precisely, we consider the case where the annihilator of  $x$  is a nonzero principal ideal whose annihilator is also principal (and therefore is the ideal  $(x)$ ). In accord with [HeS], the element  $x$  is said to be an *exact zero-divisor* if it is nonzero, it belongs to the maximal

ideal of  $S$ , and there exists another element  $y \in S$  such that  $\text{ann}_S(x) = (y)$  and  $\text{ann}_S(y) = (x)$ . In this case we say that  $(x, y)$  is a *pair of exact zero-divisors* of  $S$ . The ideal  $(x)$  is then an example of a *quasicomplete intersection ideal*, a notion introduced in [AHS]. In that same paper, results relating certain invariants of modules over  $S$  with those over  $S/(x)$  are proved. We continue along similar, but more homological lines, and show that even if the element  $x$  is the next best thing to being regular, namely, an exact zero-divisor, then the homological relationships between  $S/(x)$ -modules over  $S/(x)$  and over  $S$  change dramatically compared to the case where  $x$  is regular. Two of our main results in Section 2 concern the vanishing of (co)homology. In particular, the result for homology takes the following form.

**THEOREM**

Let  $R = S/(x)$  where  $S$  is a local ring and  $(x, y)$  is a pair of exact zero-divisors in  $S$ . Furthermore, let  $M$  and  $N$  be  $R$ -modules such that  $yN = 0$ . If there exists an integer  $n \geq 2$  such that  $\text{Tor}_i^R(M, N) = 0$  for  $1 \leq i \leq n$ , then  $\text{Tor}_i^S(M, N) \cong M \otimes_S N$  for  $1 \leq i \leq n - 1$ .

Compared with the vanishing result for the case where  $x$  is regular, the conclusion of the previous theorem is opposite in the sense that it is a nonvanishing result: the vanishing of homology over  $R$  implies the *nonvanishing* of homology over  $S$  (when the modules involved are nonzero and finitely generated). For cohomology, we obtain the following analogue.

**THEOREM**

Let  $R = S/(x)$  where  $S$  is a local ring and  $(x, y)$  is a pair of exact zero-divisors in  $S$ . Furthermore, let  $M$  and  $N$  be  $R$ -modules such that  $yN = 0$ . If there exists an integer  $n \geq 2$  such that  $\text{Ext}_R^i(M, N) = 0$  for  $1 \leq i \leq n$ , then  $\text{Ext}_S^i(M, N) \cong \text{Hom}_S(M, N)$  for  $1 \leq i \leq n - 1$ .

We also compare the complexities of finitely generated modules over  $R$  and over  $S$ . Similar to our previous results, we show that such a comparison is quite different from the case where  $x$  is regular. The following theorem is the main result of Section 3.

**THEOREM**

Let  $R = S/(x)$  where  $S$  is a local ring and  $x$  is an exact zero-divisor in  $S$ . If  $M$  is a finitely generated  $R$ -module, then for any  $n$  there are inequalities

$$\beta_n^R(M) - \sum_{i=0}^{n-2} \beta_i^R(M) \leq \beta_n^S(M) \leq \sum_{i=0}^n \beta_i^R(M)$$

of Betti numbers. In particular, the inequality  $\text{cx}_S(M) \leq \text{cx}_R(M) + 1$  holds.

In the final section, Section 4, we discuss canonical endomorphisms of complexes of finitely generated free  $R$ -modules, and canonical elements of  $\text{Ext}_R^2(M, M)$ , for finitely generated  $R$ -modules  $M$ , in the case where  $R = S/(x)$  and  $(x, x)$  is a pair of exact zero-divisors of  $S$ . The main result, Theorem 4.2, equates the ability to lift a finitely generated  $R$ -module  $M$  from  $R$  to  $S$  to the triviality of the canonical element in  $\text{Ext}_R^2(M, M)$ . This generalizes classical results (see, e.g., [ADS]) on lifting modules from  $T/(x)$  to  $T/(x^2)$  in the case where  $x$  is a nonzero-divisor of the local ring  $T$  (cf. Example 4.3 below).

**2. Vanishing results**

In this section we prove our vanishing results, starting with the homology version. We fix a local ring  $S$  and a pair of exact zero-divisors  $(x, y)$ , and denote the local ring  $S/(x)$  by  $R$ . It should be mentioned that the modules we consider in this section are not necessarily assumed to be finitely generated.

Since a (deleted) free resolution of  $R$  over  $S$  has the form

$$\dots \rightarrow S \xrightarrow{y} S \xrightarrow{x} S \xrightarrow{y} S \xrightarrow{x} S \rightarrow 0$$

one has for any  $R$ -module  $N$  the following:

$$(\dagger) \quad \text{Tor}_q^S(R, N) \cong \begin{cases} N & \text{for } q = 0, \\ N/yN & \text{for } q > 0 \text{ odd,} \\ \text{ann}_N(y) & \text{for } q > 0 \text{ even,} \end{cases}$$

and

$$(\ddagger) \quad \text{Ext}_S^q(R, N) \cong \begin{cases} N & \text{for } q = 0, \\ \text{ann}_N(y) & \text{for } q > 0 \text{ odd,} \\ N/yN & \text{for } q > 0 \text{ even.} \end{cases}$$

Our main theorem on the vanishing of homology is the following.

**THEOREM 2.1**

Let  $R = S/(x)$  where  $S$  is a local ring and  $(x, y)$  is a pair of exact zero-divisors in  $S$ . Furthermore, let  $M$  and  $N$  be  $R$ -modules. If there exists an integer  $n \geq 2$  such that  $\text{Tor}_i^R(M, N) = \text{Tor}_i^R(M, N/yN) = \text{Tor}_i^R(M, \text{ann}_N(y)) = 0$  for  $1 \leq i \leq n$ , then

$$\text{Tor}_i^S(M, N) \cong \begin{cases} M \otimes_S N & \text{for } i = 0, \\ M \otimes_S N/yN & \text{for } 0 < i < n \text{ and } i \text{ odd,} \\ M \otimes_S \text{ann}_N(y) & \text{for } 0 < i < n \text{ and } i \text{ even.} \end{cases}$$

*Proof*

Consider the first quadrant change of rings spectral sequence (see [Rot, Theorem 10.73])

$$\text{Tor}_p^R(M, \text{Tor}_q^S(R, N)) \implies \text{Tor}_{p+q}^S(M, N).$$

From (†), the term  $E_{p,q}^2$  is given by

$$E_{p,q}^2 \cong \begin{cases} \operatorname{Tor}_p^R(M, N) & \text{for } q = 0, \\ \operatorname{Tor}_p^R(M, N/yN) & \text{for } q > 0 \text{ odd,} \\ \operatorname{Tor}_p^R(M, \operatorname{ann}_N(y)) & \text{for } q > 0 \text{ even.} \end{cases}$$

The vanishing assumptions imply that columns 1 through  $n$  of the  $E^2$ -page of this spectral sequence vanish, that is,  $E_{p,q}^2 = 0$  for all  $q \in \mathbb{Z}$  and  $1 \leq p \leq n$ . Fixing such  $p$  and  $q$ , we see that  $E_{p,q}^\infty$  also vanishes since this term is a subquotient of  $E_{p,q}^2$ . Letting  $H_i$  denote  $\operatorname{Tor}_i^S(M, N)$  for all  $i$ , we have a filtration  $\{\Phi^j H_i\}$  of  $H_i$  satisfying

$$0 = \Phi^{-1} H_i \subseteq \Phi^0 H_i \subseteq \dots \subseteq \Phi^{i-1} H_i \subseteq \Phi^i H_i = H_i,$$

with  $E_{j,i-j}^\infty \cong \Phi^j H_i / \Phi^{j-1} H_i$  for all  $i$  and  $j$ . Thus the vanishing of  $E_{p,q}^\infty$  implies that  $\Phi^p H_{p+q} = \Phi^{p-1} H_{p+q}$ , that is,  $\Phi^p H_q = \Phi^{p-1} H_q$  for all  $q \in \mathbb{Z}$  and  $1 \leq p \leq n$ .

Now consider the zeroth column of the  $E^2$ -page. For a positive  $q$ , the  $E_{0,q}^2$ -term is isomorphic to  $M \otimes_R N/yN$  when  $q$  is odd, and isomorphic to  $M \otimes_R \operatorname{ann}_N(y)$  when  $q$  is even. Since  $E_{p,q}^2 = 0$  for all  $q \in \mathbb{Z}$  and  $1 \leq p \leq n$ , there is an isomorphism  $E_{0,q}^\infty \cong E_{0,q}^2$  for  $q \leq n - 1$ , giving

$$E_{0,q}^\infty \cong \begin{cases} M \otimes_S N & \text{for } q = 0, \\ M \otimes_R N/yN & \text{for } 0 < q < n \text{ and } q \text{ odd,} \\ M \otimes_R \operatorname{ann}_N(y) & \text{for } 0 < q < n \text{ and } q \text{ even.} \end{cases}$$

But it follows from above that the equalities

$$E_{0,q}^\infty \cong \Phi^0 H_q = \Phi^1 H_q = \dots = \Phi^q H_q$$

hold when  $q < n$ . Therefore, since  $\Phi^q H_q = \operatorname{Tor}_q^S(M, N)$ , we are done. □

As an immediate corollary we obtain the result, for the vanishing of homology, stated in the introduction.

**COROLLARY 2.2**

*Let  $R = S/(x)$  where  $S$  is a local ring and  $(x, y)$  is a pair of exact zero-divisors in  $S$ . Furthermore, let  $M$  and  $N$  be  $R$ -modules such that  $yN = 0$ . If there exists an integer  $n \geq 2$  such that  $\operatorname{Tor}_i^R(M, N) = 0$  for  $1 \leq i \leq n$ , then  $\operatorname{Tor}_i^S(M, N) \cong M \otimes_S N$  for  $0 \leq i \leq n - 1$ . Consequently, if  $M$  and  $N$  are nonzero and finitely generated, then  $\operatorname{Tor}_i^S(M, N) \neq 0$  for  $0 \leq i \leq n - 1$ .*

Thus when the modules involved are finitely generated and nonzero, the corollary shows that the vanishing of homology over  $R$  implies the *nonvanishing* of homology over  $S$ . This is in stark contrast to the case when  $x$  is a regular element.

In certain cases we can show that the Tor's over  $S$  cannot vanish irrespective of the vanishing of the Tor's over  $R$ .

PROPOSITION 2.3

Let  $R = S/(x)$  where  $S$  is a local ring and  $(x, y)$  is a pair of exact zero-divisors, both of which are minimal generators of the maximal ideal of  $S$ . Furthermore, let  $M$  and  $N$  be nonzero finitely generated  $R$ -modules such that  $yN = 0$ . Then  $\text{Tor}_i^S(M, N) \neq 0$  for all  $i \geq 0$ .

*Proof*

Consider a minimal free resolution of  $M$  over  $S$ :

$$F : \cdots \rightarrow F_2 \xrightarrow{\partial_2} F_1 \xrightarrow{\partial_1} F_0 \rightarrow 0.$$

Letting  $m$  denote a minimal generator of  $M$ , we can define the homomorphism  $f : S/(x) \rightarrow M$  sending  $\bar{1}$  to  $m$ . Because  $x$  and  $y$  are minimal generators of the maximal ideal of  $S$ , we can lift this homomorphism to a chain map

$$\begin{array}{ccccccccccc} \cdots & \longrightarrow & S & \xrightarrow{y} & S & \xrightarrow{x} & S & \longrightarrow & S/(x) & \longrightarrow & 0 \\ & & \downarrow f_2 & & \downarrow f_1 & & \downarrow f_0 & & \downarrow f & & \\ \cdots & \longrightarrow & F_2 & \xrightarrow{\partial_2} & F_1 & \xrightarrow{\partial_1} & F_0 & \longrightarrow & M & \longrightarrow & 0 \end{array}$$

in such a way that each  $f_i$  is a split injection. Tensoring the entire diagram with  $N$  we get the commutative diagram

$$\begin{array}{ccccccccccc} \cdots & \longrightarrow & N & \xrightarrow{0} & N & \xrightarrow{0} & N & \xrightarrow{=} & N & \longrightarrow & 0 \\ & & \downarrow f_2 \otimes N & & \downarrow f_1 \otimes N & & \downarrow f_0 \otimes N & & \downarrow f \otimes N & & \\ \cdots & \longrightarrow & F_2 \otimes_S N & \xrightarrow{\partial_2 \otimes N} & F_1 \otimes_S N & \xrightarrow{\partial_1 \otimes N} & F_0 \otimes_S N & \longrightarrow & M \otimes_S N & \longrightarrow & 0 \end{array}$$

Now let  $n$  be a minimal generator of  $N$ . Then  $f_i(1) \otimes_S n$  is a minimal generator of  $F_i \otimes_S N$  and, by commutativity, is in  $\ker(\partial_i \otimes_S N)$  for all  $i \geq 1$ . This element is not a boundary, however, since  $\partial_{i+1} \subseteq \mathfrak{m} F_i$ , and no element in the image of  $\partial_{i+1} \otimes_S N$  is a minimal generator of  $F_i \otimes_S N$ . It follows that  $\text{Tor}_i^S(M, N) \neq 0$  for all  $i \geq 0$ . □

We next state the cohomological versions of Theorem 2.1 and Corollary 2.2; they are proved dually.

THEOREM 2.4

Let  $R = S/(x)$  where  $S$  is a local ring and  $(x, y)$  is a pair of exact zero-divisors in  $S$ . Furthermore, let  $M$  and  $N$  be  $R$ -modules. If there exists an integer  $n \geq 2$  such that  $\text{Ext}_R^i(M, N) = \text{Ext}_R^i(M, N/yN) = \text{Ext}_R^i(M, \text{ann}_N(y)) = 0$  for  $1 \leq i \leq n$ , then

$$\text{Ext}_S^i(M, N) \cong \begin{cases} \text{Hom}_S(M, N) & \text{for } i = 0, \\ \text{Hom}_S(M, \text{ann}_N(y)) & \text{for } 0 < i < n \text{ and } i \text{ odd,} \\ \text{Hom}_S(M, N/yN) & \text{for } 0 < i < n \text{ and } i \text{ even.} \end{cases}$$

## COROLLARY 2.5

Let  $R = S/(x)$  where  $S$  is a local ring and  $(x, y)$  is a pair of exact zero-divisors in  $S$ . Furthermore, let  $M$  and  $N$  be  $R$ -modules with  $yN = 0$ . If there exists an integer  $n \geq 2$  such that  $\text{Ext}_R^i(M, N) = 0$  for  $1 \leq i \leq n$ , then  $\text{Ext}_S^i(M, N) \cong \text{Hom}_S(M, N)$  for  $0 \leq i < n$ . Consequently, if  $N = M \neq 0$ , then  $\text{Ext}_S^i(M, M) \neq 0$  for  $0 < i < n$ .

### 3. Complexity

As in the previous section, we fix a local ring  $S$  and a pair of exact zero-divisors  $(x, y)$ , and denote the local ring  $S/(x)$  by  $R$ . In this section all modules are assumed to be finitely generated. Our aim is to compare free resolutions of modules over  $R$  with those over  $S$  and determine relationships involving complexities.

Given a local ring  $A$  and an  $A$ -module  $M$ , there exists a (deleted) free resolution of  $M$

$$\cdots \rightarrow F_2 \rightarrow F_1 \rightarrow F_0 \rightarrow 0,$$

which is minimal, that is, it appears as a direct summand of every free resolution of  $M$ . The cokernel of the map  $F_{n+1} \rightarrow F_n$  is the  $n$ th syzygy module of  $M$  and is denoted by  $\Omega_A^n(M)$ . Minimal free resolutions are unique up to isomorphism and hence the syzygies are uniquely determined up to isomorphism. Moreover, for every nonnegative integer  $n$ , the  $n$ th Betti number  $\beta_n^A(M) \stackrel{\text{def}}{=} \text{rank } F_n$  is a well-defined invariant of  $M$ . It is well known that  $\dim_k \text{Ext}_A^n(M, k) = \beta_n^A(M) = \dim_k \text{Tor}_n^A(M, k)$  for every integer  $n$  where  $k$  is the residue field of  $A$ . It is also clear that the projective dimension of  $M$  is finite if and only if the Betti numbers of  $M$  eventually vanish. Thus the asymptotic behavior of the Betti sequence  $\beta_0^A(M), \beta_1^A(M), \beta_2^A(M), \dots$  determines an important homological property of  $M$ . Following ideas from modular representation theory (see [Alp]), an invariant measuring how “fast” the Betti sequence grows was introduced by Avramov [Av2] (see also [Av1]). The *complexity* of  $M$ , denoted by  $\text{cx}_A(M)$ , is defined as

$$\text{cx}_A(M) \stackrel{\text{def}}{=} \inf \{ t \in \mathbb{N} \cup \{0\} \mid \exists a \in \mathbb{R} \text{ such that } \beta_n^A(M) \leq an^{t-1} \text{ for all } n \},$$

and measures the polynomial rate of growth of the Betti sequence of  $M$ . It follows from the definition that  $M$  has finite projective dimension if and only if  $\text{cx}_A(M) = 0$ , whereas  $\text{cx}_A(M) = 1$  if and only if the Betti sequence of  $M$  is bounded. For an arbitrary local ring, the complexity of a module is not necessarily finite (see [Av3, Example 4.2.2]). In fact, by [Gu2, Theorem 2.3], the finiteness of the complexity for all finitely generated  $A$ -modules is equivalent to  $A$  being a complete intersection.

We now return to our previous setting of exact zero-divisors. We first remark that every nonzero  $R$ -module has infinite projective dimension over  $S$ , that is, every such module has positive complexity over  $S$ . Indeed,  $(\dagger)$  from the second paragraph of Section 2 shows that if  $\text{Tor}_i^S(R, M) = 0$  for all  $i \gg 0$ , then  $M/yM = 0$ . Thus  $M = 0$  by Nakayama’s lemma.

Over a local ring  $A$ , the complexity of a module equals the complexity of any of its syzygies: their minimal free resolutions are the same except at the beginning. Moreover, given a short exact sequence

$$0 \rightarrow M_1 \rightarrow M_2 \rightarrow M_3 \rightarrow 0$$

of  $A$ -modules, the inequality

$$(*) \quad \text{cx}_A(M_u) \leq \max\{\text{cx}_A(M_v), \text{cx}_A(M_w)\}$$

holds for  $\{u, v, w\} = \{1, 2, 3\}$ . This follows simply by comparing the  $k$ -vector space dimensions of the Tor modules in the long exact sequence

$$\cdots \rightarrow \text{Tor}_n^A(M_1, k) \rightarrow \text{Tor}_n^A(M_2, k) \rightarrow \text{Tor}_n^A(M_3, k) \rightarrow \text{Tor}_{n-1}^A(M_1, k) \rightarrow \cdots,$$

where  $k$  is the residue field of  $A$ .

In the next proposition we use the inequality  $(*)$  and prove that if  $M$  is an  $R$ -module with  $\text{cx}_S(M) \neq 1$ , then  $\text{cx}_S(M) = \text{cx}_S(\Omega_R^n(M))$  for all  $n$ . Here the assumption  $\text{cx}_S(M) \neq 1$  is necessary: the  $S$ -module  $R$  has a minimal free resolution

$$\cdots \rightarrow S \xrightarrow{y} S \xrightarrow{x} S \xrightarrow{y} S \xrightarrow{x} S \rightarrow 0$$

and hence has complexity one over  $S$ . However its syzygies  $\Omega_R^n(R)$  are all zero for  $n > 0$ .

**PROPOSITION 3.1**

*Let  $R = S/(x)$  where  $S$  is a local ring and  $x$  is an exact zero-divisor in  $S$ . Then, for every finitely generated  $R$ -module  $M$  with  $\text{cx}_S(M) \neq 1$ , the equality  $\text{cx}_S(M) = \text{cx}_S(\Omega_R^n(M))$  holds for all  $n$ .*

*Proof*

If  $\text{cx}_S(M) = 0$ , then  $M = 0$  (see the third paragraph of Section 3). Thus the result is trivial in this case. Next suppose that  $\text{cx}_S(M) > 1$ . Consider the short exact sequence

$$0 \rightarrow \Omega_R^1(M) \rightarrow F \rightarrow M \rightarrow 0,$$

where  $F$  is a free  $R$ -module. Since the  $S$ -module  $R$  has complexity one so does  $F$ . Hence the result follows from the inequality  $(*)$  and the short exact sequence considered above. □

Next we will compare the Betti numbers and complexities of modules over  $R$  with those over  $S$ . For that we first set some notations that generalize the notion of the Betti number and the complexity of a module.

Let  $(A, \mathfrak{m})$  be a local ring with residue field  $k$ , and let  $M$  and  $N$  be  $A$ -modules with the property that  $M \otimes_A N$  has finite length. Then, for every nonnegative integer  $n$ , the length of  $\text{Tor}_n^A(M, N)$  is finite. We define this length to be the  $n$ th Betti number  $\beta_n^A(M, N)$  of the pair  $(M, N)$ , that is,  $\beta_n^A(M, N) \stackrel{\text{def}}{=} \ell(\text{Tor}_n^A(M, N))$ . The *length complexity of the pair  $(M, N)$* , denoted by  $\ell \text{cx}_A(M, N)$ , is then defined

as (see [Dao2, the discussion preceding Definition 2.1])

$$\ell \operatorname{cx}_A(M, N) \stackrel{\text{def}}{=} \inf \{t \in \mathbb{N} \cup \{0\} \mid \exists a \in \mathbb{R} \text{ such that } \beta_n^A(M, N) \leq an^{t-1} \text{ for all } n\}.$$

Although, letting  $N = k$ , we recover the Betti number and the ordinary complexity of  $M$ , that is,

$$\beta_n^A(M) = \beta_n^A(M, k) \quad \text{and} \quad \operatorname{cx}_A(M) = \ell \operatorname{cx}_A(M, k),$$

our definition for  $\ell \operatorname{cx}_A(M, N)$  of the pair  $(M, N)$  is different than the one originally given by Avramov and Buchweitz [AvBu, p. 286, para 2], where the minimal number of generators of the cohomology modules  $\operatorname{Ext}_A^n(M, N)$  is used. In general there is no comparison between these two definitions of Betti numbers of the pair  $(M, N)$  (see also [Dao2, Theorem 5.4]).

**THEOREM 3.2**

Let  $R = S/(x)$  where  $S$  is a local ring and  $(x, y)$  is a pair of exact zero-divisors in  $S$ . Furthermore, let  $M$  and  $N$  be finitely generated  $R$ -modules such that  $yN = 0$  and  $M \otimes_R N$  has finite length. Then, for all  $n$ ,

$$(3.2) \quad \beta_n^R(M, N) - \sum_{i=0}^{n-2} \beta_i^R(M, N) \leq \beta_n^S(M, N) \leq \sum_{i=0}^n \beta_i^R(M, N).$$

**REMARK**

We have used the convention that negative Betti numbers are zero.

*Proof*

As in the proof of Theorem 2.1, we consider the first quadrant change of rings spectral sequence:

$$\operatorname{Tor}_p^R(M, \operatorname{Tor}_q^S(R, N)) \xrightarrow{p} \operatorname{Tor}_{p+q}^S(M, N).$$

Since  $yN = 0$ , we see from (†) that the  $E^2$ -page entries are given by  $E_{p,q}^2 = \operatorname{Tor}_p^R(M, N)$ .

We first prove the left-hand inequality of (3.2). Fix an integer  $n$ , and consider the short exact sequence

$$0 \rightarrow \Phi^{n-1}H_n \rightarrow \operatorname{Tor}_n^S(M, N) \rightarrow E_{n,0}^\infty \rightarrow 0,$$

where  $\Phi^i H_n$  is the filtration of  $H_n$  from the proof of Theorem 2.1. Since  $E_{n,0}^\infty = \operatorname{Ker} d_{n,0}^n$ , we obtain the inequality  $\ell(\operatorname{Tor}_n^S(M, N)) \geq \ell(\operatorname{Ker} d_{n,0}^n)$ . Now for all  $2 \leq p \leq n$ , there is an exact sequence

$$0 \rightarrow \operatorname{Ker} d_{n,0}^p \rightarrow \operatorname{Ker} d_{n,0}^{p-1} \rightarrow \operatorname{Im} d_{n,0}^p \rightarrow 0,$$

which implies that

$$\begin{aligned} \ell(\operatorname{Ker} d_{n,0}^n) &= \ell(\operatorname{Ker} d_{n,0}^{n-1}) - \ell(\operatorname{Im} d_{n,0}^n) \\ &= \ell(\operatorname{Ker} d_{n,0}^{n-2}) - (\ell(\operatorname{Im} d_{n,0}^{n-1}) + \ell(\operatorname{Im} d_{n,0}^n)) \end{aligned}$$

$$\begin{aligned} & \vdots \\ & = \ell(\text{Ker } d_{n,0}^1) - \sum_{i=2}^n \ell(\text{Im } d_{n,0}^i). \end{aligned}$$

For  $2 \leq i \leq n$ , the image of  $d_{n,0}^i$  is a submodule of  $E_{n-i,i-1}^i$ , and the latter is a subquotient of  $E_{n-i,i-1}^2$ . Then since  $E_{n-i,i-1}^2 = \text{Tor}_{n-i}^R(M, N)$ , there is an inequality  $\ell(\text{Im } d_{n,0}^i) \leq \ell(\text{Tor}_{n-i}^R(M, N))$ . Moreover, the module  $E_{n,0}^2$  is a subquotient of  $\text{Ker } d_{n,0}^1$ . Thus, since  $E_{n,0}^2 = \text{Tor}_n^R(M, N)$ , we have that  $\ell(\text{Ker } d_{n,0}^1) \geq \ell(\text{Tor}_n^R(M, N))$ . This gives

$$\begin{aligned} \ell(\text{Tor}_n^S(M, N)) & \geq \ell(\text{Ker } d_{n,0}^1) \\ & = \ell(\text{Ker } d_{n,0}^1) - \sum_{i=2}^n \ell(\text{Im } d_{n,0}^i) \\ & \geq \ell(\text{Tor}_n^R(M, N)) - \sum_{i=0}^{n-2} \ell(\text{Tor}_i^R(M, N)), \end{aligned}$$

proving the left-hand inequality.

For the right-hand inequality, we fix an integer  $n$  and consider the short exact sequence

$$0 \rightarrow \Phi^{p-1}H_n \rightarrow \Phi^p H_n \rightarrow E_{p,n-p}^\infty \rightarrow 0$$

for  $0 \leq p \leq n$ . Counting the lengths, we obtain the equalities

$$\begin{aligned} \ell(\Phi^n H_n) & = \ell(\Phi^{n-1}H_n) + \ell(E_{n,0}^\infty) \\ & = \ell(\Phi^{n-2}H_n) + \ell(E_{n-1,1}^\infty) + \ell(E_{n,0}^\infty) \\ & \vdots \\ & = \sum_{i=0}^n \ell(E_{i,n-i}^\infty). \end{aligned}$$

Each  $E_{i,n-i}^\infty$  is a subquotient of  $E_{i,n-i}^2$ , and so since  $E_{i,n-i}^2 = \text{Tor}_i^R(M, N)$ , we obtain the inequality  $\ell(E_{i,n-i}^\infty) \leq \ell(\text{Tor}_i^R(M, N))$ . Then since  $\Phi^n H_n = \text{Tor}_n^S(M, N)$ , we obtain

$$\begin{aligned} \ell(\text{Tor}_n^S(M, N)) & = \ell(\Phi^n H_n) \\ & = \sum_{i=0}^n \ell(E_{i,n-i}^\infty) \\ & \leq \sum_{i=0}^n \ell(\text{Tor}_i^R(M, N)), \end{aligned}$$

proving the right-hand inequality. □

As a consequence, using the right-hand side of the inequality (3.2), we obtain an upper bound for  $\ell_{\text{cx}_S}(M, N)$  in terms of the complexity of  $(M, N)$  over  $R$ .

**COROLLARY 3.3**

Let  $R = S/(x)$  where  $S$  is a local ring and  $(x, y)$  is a pair of exact zero-divisors in  $S$ . Furthermore, let  $M$  and  $N$  be finitely generated  $R$ -modules such that  $yN = 0$  and  $M \otimes_R N$  has finite length. Then  $\ell_{\text{cx}_S}(M, N) \leq \ell_{\text{cx}_R}(M, N) + 1$ .

*Proof*

If  $\ell_{\text{cx}_R}(M, N) = \infty$ , then there is nothing to prove. So suppose that  $\ell_{\text{cx}_R}(M, N) = c < \infty$ . Then, by the definition, there exists a real number  $a$  such that  $\beta_n^R(M, N) \leq an^{c-1}$  for all  $n$ . By Theorem 3.2, the inequality

$$\beta_n^S(M, N) \leq \sum_{i=0}^n \beta_i^R(M, N) \leq \sum_{i=0}^n ai^{c-1} \leq (n+1)an^{c-1}$$

holds for all  $n$ . Therefore there is a real number  $b$  such that  $\beta_n^S(M, N) \leq bn^c$  for all  $n$ . This shows that  $\ell_{\text{cx}_S}(M, N) \leq c + 1$ .  $\square$

We are unaware of an example of a pair of  $R$ -modules for which equality holds on the left-hand side of (3.2). On the other hand, equality may occur on the right-hand side. Indeed, when the exact zero-divisors  $x$  and  $y$  are minimal generators of the maximal ideal of  $S$ , Henriques and Şega [HeŞ, Theorem 1.7] proved that the equality

$$\sum_{n=0}^{\infty} \beta_n^S(M)t^n = \frac{1}{1-t} \sum_{n=0}^{\infty} \beta_n^R(M)t^n$$

of Poincaré series holds for every finitely generated  $R$ -module  $M$ . This gives that

$$\beta_n^S(M) = \sum_{i=0}^n \beta_i^R(M).$$

However, when  $x$  and  $y$  are arbitrary, the equality of the Poincaré series stated above may fail.

**EXAMPLE 3.4**

Let  $S = k[[x]]/(x^3)$  where  $k$  is a field. Then  $x^2$  is an exact zero divisor in  $S$ . Set  $R = S/(x^2) \cong k[[x]]/(x^2)$ . It can be seen that

$$\sum_{n=0}^{\infty} \beta_n^S(k)t^n = \frac{1}{1-t} = \sum_{n=0}^{\infty} \beta_n^R(k)t^n.$$

This example also shows that the inequality of Corollary 3.3 can be strict.

We now give an example illustrating the fact that the left-hand inequality of (3.2) does give useful lower bounds in some cases.

EXAMPLE 3.5

Let  $R = k[x_1, \dots, x_e]/(x_1, \dots, x_e)^2$ , and let  $M$  be a finitely generated  $R$ -module. Then  $\Omega_R^1(M)$  is a finite-dimensional vector space over  $k$  of dimension  $\beta_1^R(M)$ . It is easy to see that the Betti numbers of  $k$  are  $\beta_n^R(k) = e^n$ . It follows that  $\beta_n^R(M) = \beta_1^R(M)e^{n-1}$  for all  $n \geq 1$ . From the left-hand inequality of (3.2) we have

$$\begin{aligned} \beta_n^S(M) &\geq \beta_n^R(M) - \sum_{i=0}^{n-2} \beta_i^R(M) \\ &= \beta_1^R(M)e^{n-1} - \left( \sum_{i=1}^{n-2} \beta_1^R(M)e^{i-1} \right) - \beta_0^R(M) \\ &= \beta_1^R(M) \left( e^{n-1} - \frac{e^{n-2} - 1}{e - 1} \right) - \beta_0^R(M) \\ &= \beta_1^R(M) \left( \frac{e^n - e^{n-1} - e^{n-2} + 1}{e - 1} \right) - \beta_0^R(M) \\ &\geq \frac{\beta_1^R(M)}{2} e^{n-1} - \beta_0^R(M) \end{aligned}$$

for  $e \geq 2$  and for any ring  $S$  such that there exists an exact zero-divisor  $x$  with  $R \cong S/(x)$ . Note that the last inequality follows since for  $e \geq 2$  we have  $e^2 - e - 2 \geq 0$ . Then  $e^{n-2}(e^2 - e - 2) \geq 0$ , which implies that  $e^n - e^{n-1} - 2e^{n-2} + 2 \geq 0$ . Thus  $2(e^n - e^{n-1} - e^{n-2} + 1) \geq e^{n-1}(e - 1)$ , and the desired inequality follows. In particular,  $R$ -modules must have exponential growth over  $S$  as well. As a specific example, let  $S = k[x, y, z]/(x^2, y^2, z^2, yz)$ . Then  $x$  is an exact zero-divisor in  $S$ , and  $R = S/(x) \cong k[y, z]/(y, z)^2$  has the form above.

When  $N = k$ , the assumptions that  $M \otimes N$  has finite length and  $yN = 0$  hold automatically. Therefore, in this situation, Theorem 3.2 and Corollary 3.3 can be summarized as follows.

COROLLARY 3.6

Let  $R = S/(x)$  where  $S$  is a local ring and  $x$  is an exact zero-divisor in  $S$ . Then, for every finitely generated  $R$ -module  $M$ , the inequalities

$$\beta_n^R(M) - \sum_{i=0}^{n-2} \beta_i^R(M) \leq \beta_n^S(M) \leq \sum_{i=0}^n \beta_i^R(M)$$

hold for all  $n$ . Consequently  $\text{cx}_S(M) \leq \text{cx}_R(M) + 1$  holds.

REMARK

It follows from [AHS, Remark 4.4] that  $R$  is a complete intersection if and only if  $S$  is a complete intersection. The complexity inequality obtained in Corollary 3.6 gives a different proof for the ‘only if’ direction of this result: if  $\text{cx}_R(k) < \infty$ , where  $k$  is the residue field of  $R$ , then it follows from Corollary 3.6 that  $\text{cx}_S(k) < \infty$  and hence, by [Gu2, Corollary 2.5],  $S$  is a complete intersection.

Another observation related to the result stated above concerns commutative local Cohen–Macaulay Golod rings (see [Av3, Section 5.2]). Assume that  $S$  is such a ring. Since a finitely generated module has infinite complexity over  $S$  in the case in which it has infinite projective dimension over  $S$  and  $\text{codepth}(S) \geq 2$  (see [Av3, Theorem 5.3.3(2)]), we conclude that  $\text{codepth}(S) \leq 1$ . (Recall that  $\text{cx}_S(R) = 1$ .) Moreover, as  $x$  is not regular,  $\text{codepth}(S) = 1$ . This implies that  $S$  is a hypersurface and hence  $R$  is a complete intersection.

As discussed in the introduction, when  $x$  is regular the complexity inequality is quite different than the one obtained in Corollary 3.6. More precisely, in that case the inequalities  $\text{cx}_S(M) \leq \text{cx}_R(M) \leq \text{cx}_S(M) + 1$  hold. In particular, the complexity of  $M$  over  $R$  is finite if and only if it is finite over  $S$ . However, in our situation, when  $x$  is an exact zero-divisor, we are unable to deduce any further inequalities, such as  $\text{cx}_R(M) \leq \text{cx}_S(M)$ , from Theorem 3.2. In fact we do not know whether there exists an  $R$ -module  $M$  with  $\text{cx}_S(M) < \infty$  and  $\text{cx}_R(M) = \infty$ . We record this in the next question.

#### QUESTION

Let  $R = S/(x)$  where  $S$  is a local ring and  $x$  is an exact zero-divisor in  $S$ . Is  $\text{cx}_R(M) \leq \text{cx}_S(M)$  for all finitely generated  $R$ -modules  $M$ ?

#### 4. Canonical elements of $\text{Ext}_R^2(M, M)$ and lifting

In this section we restrict our attention to the case where  $(x, x)$  is a pair of exact zero-divisors in the local ring  $S$ , and  $R = S/(x)$ . We discuss natural chain endomorphisms of complexes over  $R$ , following the construction in [Eis, Section 1], and show that whether or not they are null-homotopic dictates the liftability of  $R$ -modules to  $S$ . These results generalize classical results (see, e.g., [ADS]) for lifting modules modulo a regular element to modulo the square of the regular element.

##### 4.1. Canonical endomorphisms of complexes

Let

$$(1) \quad F : \cdots \rightarrow F_{i+1} \xrightarrow{\partial_{i+1}} F_i \xrightarrow{\partial_i} F_{i-1} \rightarrow \cdots$$

be a complex of finitely generated free  $R$ -modules. We let

$$(2) \quad \tilde{F} : \cdots \rightarrow \tilde{F}_{i+1} \xrightarrow{\tilde{\partial}_{i+1}} \tilde{F}_i \xrightarrow{\tilde{\partial}_i} \tilde{F}_{i-1} \rightarrow \cdots$$

denote a preimage over  $S$  of the complex  $F$ , that is, a sequence of homomorphisms  $\tilde{\partial}_i : \tilde{F}_i \rightarrow \tilde{F}_{i-1}$  of free  $S$ -modules such that  $F$  and  $\tilde{F} \otimes_S R$  are isomorphic  $R$ -complexes. From the fact that  $\tilde{\partial}_{i-1}\tilde{\partial}_i(\tilde{F}_i) \subseteq x\tilde{F}_{i-2}$  for all  $i$ , we can write that

$$(3) \quad \tilde{\partial}_{i-1}\tilde{\partial}_i = x\tilde{s}_i$$

for some homomorphism  $\tilde{s}_i : \tilde{F}_i \rightarrow \tilde{F}_{i-2}$ . Now we define the homomorphisms  $s_i : F_i \rightarrow F_{i-2}$  by

$$(4) \quad s_i = \tilde{s}_i \otimes_S R$$

for all  $i$ .

There are several properties of the  $s_i$ 's which we should like to mention. See [Eis, Section 1] for the proofs. (Note that in our case  $(x)/(x)^2 = (x) \cong S/(x)$  is a free  $S/(x)$ -module.)

- (a) The definition of  $s_i$  is independent of the factorization in (3).
- (b) The family  $s = \{s_i\}$  is a chain endomorphism of  $F$  of degree  $-2$ .
- (c) Let

$$G : \cdots \rightarrow G_{i+1} \xrightarrow{\delta_{i+1}} G_i \xrightarrow{\delta_i} G_{i-1} \rightarrow \cdots$$

be another complex of finitely generated free  $R$ -modules, and assume that there exists a chain map  $f : F \rightarrow G$ . Let  $t = \{t_i = \tilde{t}_i \otimes_S R : G_i \rightarrow G_{i-2}\}$  be the chain map defined by the factorizations  $\tilde{\delta}_{i-1} \tilde{\delta}_i = x t_i$  for all  $i$ , where  $\tilde{G}$  is a preimage over  $S$  of  $G$ . Then the chain maps  $fs$  and  $tf$  are homotopic.

(d) From (c) it follows that the definition of the  $s_i$ 's is independent, up to homotopy, of the preimage  $\tilde{F}$  of  $F$  chosen in (2).

**4.2. The group  $\text{Ext}_A^n(M, M)$**

Let  $A$  be an associative ring, and let  $M$  be an  $A$ -module. Suppose that  $F$  is a projective resolution of  $M$ . Then  $H^n(\text{Hom}_A(F, F))$  is the group of homotopy equivalence classes of chain endomorphisms of  $F$  of degree  $n$ . For a chain endomorphism  $s$  of  $F$  of degree  $n$ , we let  $[s]$  denote the class of  $s$  in  $H^n(\text{Hom}_A(F, F))$ . Let  $G$  be another projective resolution of  $M$  over  $A$ . Then the comparison maps  $f : F \rightarrow G$  and  $g : G \rightarrow F$  lifting the identity map on  $M$  are homotopically equivalent. That is,  $fg$  is homotopic to the identity map on  $G$  and  $gf$  is homotopic to the identity map on  $F$ . It follows that the map

$$(5) \quad \theta_G^F : H^n(\text{Hom}_A(F, F)) \rightarrow H^n(\text{Hom}_A(G, G))$$

given by  $[s] \mapsto [fsg]$  is an isomorphism, with inverse  $\theta_F^G : [s] \mapsto [gsf]$ . It is well known that this group is  $\text{Ext}_A^n(M, M)$  (see, e.g., [AV]).

**4.3. Canonical elements of  $\text{Ext}_R^2(M, M)$**

Returning to the situation where  $R = S/(x)$  for the pair  $(x, x)$  of exact zero-divisors, let  $F$  be a free resolution of  $M$  over  $R$ , and let  $s$  be the endomorphism of  $F$  defined by (4). Thus we have the element  $[s] \in H^2(\text{Hom}_R(F, F))$ . That we call  $[s]$  a canonical element of  $\text{Ext}_R^2(M, M)$  is reinforced by the following lemma.

**LEMMA 4.1**

*Let  $R = S/(x)$  where  $S$  is a local ring and  $(x, x)$  is a pair of exact zero-divisors in  $S$ . Suppose that  $F$  and  $G$  are free resolutions of a finitely generated module  $M$  over  $R$ , that  $s$  is the canonical endomorphism of  $F$  as defined in (4), and that  $t$*

is the canonical endomorphism of  $G$  as defined in (4). Then we have that

$$\theta_F^G([t]) = [s],$$

where  $\theta_F^G$  is the isomorphism defined in (5).

*Proof*

First assume that  $F$  is a minimal free resolution of  $M$ . Then the comparison map  $f : F \rightarrow G$  lifting the identity map on  $M$  can be chosen to be a split injection, with splitting  $g : G \rightarrow F$  also lifting the identity map on  $M$ . In particular, we have  $gf = \text{id}_F$ , the identity map on  $F$ .

Denote the differential on  $F$  by  $\partial$ , and denote that on  $G$  by  $\delta$ . Let  $(\tilde{F}, \tilde{\partial})$  be a preimage over  $S$  of  $(F, \partial)$ , and let  $(\tilde{G}, \tilde{\delta})$  be a preimage over  $S$  of  $(G, \delta)$ . We choose preimages  $\tilde{f}$  of  $f$  and  $\tilde{g}$  of  $g$  over  $S$  such that  $\tilde{g}\tilde{f} = \text{id}_{\tilde{F}}$ .

As  $g_{i-1}\delta_i = \partial_i g_i$  for all  $i$ , there exists  $u_i : \tilde{G}_i \rightarrow \tilde{F}_{i-1}$  such that  $\tilde{g}_{i-1}\tilde{\delta}_i = \tilde{\partial}_i\tilde{g}_i + xu_i$  for all  $i$ . Similarly, there exists  $v_i : \tilde{F}_i \rightarrow \tilde{G}_{i-1}$  such that  $\tilde{\delta}_i\tilde{f}_i = \tilde{f}_{i-1}\tilde{\partial}_i + xv_i$  for all  $i$ . Thus we have

$$\begin{aligned} x(\tilde{g}_{i-2}\tilde{t}_i\tilde{f}_i - \tilde{s}_i) &= \tilde{g}_{i-2}\tilde{\delta}_{i-1}\tilde{\delta}_i\tilde{f}_i - \tilde{\partial}_{i-1}\tilde{\partial}_i \\ &= (\tilde{\partial}_{i-1}\tilde{g}_{i-1} + xu_{i-1})(\tilde{f}_{i-1}\tilde{\partial}_i + xv_i) - \tilde{\partial}_{i-1}\tilde{\partial}_i \\ &= x(\tilde{\partial}_{i-1}\tilde{g}_{i-1}v_i + u_{i-1}\tilde{f}_{i-1}\tilde{\partial}_i). \end{aligned}$$

It follows that  $g_{i-2}t_i f_i - s_i = \partial_{i-1}(g_{i-1}\bar{v}_i) + (\bar{u}_{i-1}f_{i-1})\partial_i$  for all  $i$ , where  $\bar{u}_i = u_i \otimes_S R$  and  $\bar{v}_i = v_i \otimes_S R$ . We will have shown that  $gtf$  is homotopic to  $s$  with homotopy  $h_i = \bar{u}_i f_i$  once we know that  $\bar{u}_i f_i = g_{i-1}\bar{v}_i$  for all  $i$ . But this is easy:

$$\begin{aligned} x(u_i\tilde{f}_i - \tilde{g}_{i-1}v_i) &= (\tilde{g}_{i-1}\tilde{\delta}_i - \tilde{\partial}_i\tilde{g}_i)\tilde{f}_i - \tilde{g}_{i-1}(\tilde{\delta}_i\tilde{f}_i - \tilde{f}_{i-1}\tilde{\partial}_i) \\ &= -\tilde{\partial}_i\tilde{g}_i\tilde{f}_i + \tilde{g}_{i-1}\tilde{f}_{i-1}\tilde{\partial}_i \\ &= 0, \end{aligned}$$

hence the claim follows.

Notice that we also have  $\theta_G^F([s]) = [t]$  when  $F$  is minimal. Therefore, for two arbitrary free resolutions  $F$  and  $G$  of  $M$ ,  $\theta_F^G([t]) = [s]$  follows from composing  $\theta_F^G = \theta_L^G \theta_F^L$  where  $L$  is a minimal free resolution of  $M$ . □

#### 4.4. Lifting

Let  $B$  be an associative ring, let  $I$  be an ideal of  $B$ , and let  $A = B/I$ . Recall that a finitely generated  $A$ -module  $M$  is said to *lift* to  $B$  with *lifting*  $M'$  if there exists a finitely generated  $B$ -module  $M'$  such that  $M \cong M' \otimes_B A$  and  $\text{Tor}_i^B(M', A) = 0$  for all  $i \geq 1$ . Similarly, a complex of finitely generated free  $A$ -modules

$$F : \dots \rightarrow F_{i+1} \xrightarrow{\partial_{i+1}} F_i \xrightarrow{\partial_i} F_{i-1} \rightarrow \dots$$

is said to *lift* to  $B$  with *lifting*  $\tilde{F}$  if there exists a preimage  $\tilde{F}$  of  $F$

$$\tilde{F} : \dots \rightarrow \tilde{F}_{i+1} \xrightarrow{\tilde{\partial}_{i+1}} \tilde{F}_i \xrightarrow{\tilde{\partial}_i} \tilde{F}_{i-1} \rightarrow \dots$$

such that  $\tilde{\partial}_{i-1}\tilde{\partial}_i = 0$  for all  $i$ . A close connection between these two notions of lifting will be explained in the next theorem. We also want to show that, when  $R = S/(x)$  for  $(x, x)$  a pair of exact zero-divisors, the triviality of the canonical element  $[s]$  determines whether the module  $M$  lifts to  $S$ .

**THEOREM 4.2**

Let  $R = S/(x)$  where  $S$  is a local ring and  $(x, x)$  is a pair of exact zero-divisors in  $S$ . Then for every finitely generated  $R$ -module  $M$ , the following are equivalent.

- (a)  $M$  lifts to  $S$ .
- (b) The canonical element  $[s]$  in  $\text{Ext}_R^2(M, M)$  is trivial.
- (c) Every free resolution of  $M$  by finitely generated free  $R$ -modules lifts to  $S$ .
- (d) Some free resolution of  $M$  by finitely generated free  $R$ -modules lifts to  $S$ .

*Proof*

(a)  $\implies$  (b). Suppose that  $M'$  is a lifting of  $M$  to  $S$ . Let

$$\tilde{F} : \dots \rightarrow \tilde{F}_2 \xrightarrow{\tilde{\partial}_2} \tilde{F}_1 \xrightarrow{\tilde{\partial}_1} \tilde{F}_0 \rightarrow 0$$

be a resolution of  $M'$  by finitely generated free  $S$ -modules. Since  $\text{Tor}_i^S(M', R) = 0$  for all  $i > 0$ ,  $F = \tilde{F} \otimes_S R$  is a resolution of  $M \cong M' \otimes_S R$  by finitely generated free  $R$ -modules. Computing the endomorphism  $s$  from the preimage  $\tilde{F}$  of  $F$ , which is exact, we see that  $s$  is actually the zero endomorphism, and is therefore certainly trivial in  $\text{Ext}_R^2(M, M)$ .

(b)  $\implies$  (c). By Lemma 4.1 the canonical element of  $\text{Ext}_R^2(M, M)$  is trivial regardless of which resolution by finitely generated free  $R$ -modules  $F$  of  $M$  we choose to define it. Therefore let  $F$  be an arbitrary such resolution of  $M$ , and let  $s$  be the canonical chain endomorphism defined as in (4) of the section above on canonical endomorphisms of complexes. By assumption,  $s$  is homotopic to zero. Therefore there exists a homotopy  $h = \{h_i\}$  with  $h_i : F_i \rightarrow F_{i-1}$  such that  $s_i = \partial_{i-1}h_i + h_{i-1}\partial_i$  for all  $i$ . Let  $\tilde{F}$  be an arbitrary preimage of  $F$ , with maps  $\tilde{\partial}$ . Let  $\tilde{h}_i : \tilde{F}_i \rightarrow \tilde{F}_{i-1}$  be a preimage of  $h_i$  for all  $i$ . There exists  $u_i : \tilde{F}_i \rightarrow \tilde{F}_{i-2}$  such that  $\tilde{s}_i = \tilde{\partial}_{i-1}\tilde{h}_i + \tilde{h}_{i-1}\tilde{\partial}_i + xu_i$  for all  $i$ . Now consider the preimage  $F^\sharp$  of  $F$  where we take  $F_i^\sharp = \tilde{F}_i$  for all  $i$ , but we take the maps  $\partial_i^\sharp = \tilde{\partial}_i - x\tilde{h}_i$  instead. We have

$$\begin{aligned} \partial_{i-1}^\sharp \partial_i^\sharp &= (\tilde{\partial}_{i-1} - x\tilde{h}_{i-1})(\tilde{\partial}_i - x\tilde{h}_i) \\ &= \tilde{\partial}_{i-1}\tilde{\partial}_i - x(\tilde{\partial}_{i-1}\tilde{h}_i + \tilde{h}_{i-1}\tilde{\partial}_i) \\ &= x(\tilde{s}_i - \tilde{\partial}_{i-1}\tilde{h}_i - \tilde{h}_{i-1}\tilde{\partial}_i) \\ &= 0. \end{aligned}$$

Thus  $F^\sharp$  is a lifting of  $F$  to  $S$ .

(c)  $\implies$  (d). This is trivial. To show that (d)  $\implies$  (a), assume that  $F$  is a free resolution of  $M$  by finitely generated free  $R$ -modules which lifts to the complex

$\tilde{F}$  over  $S$ . We claim that  $H_i(\tilde{F}) = 0$  for  $i \neq 0$ . Indeed, if  $\tilde{\partial}_i(a) = 0$  for some  $a \in \tilde{F}_i$ , then  $a = \tilde{\partial}_{i+1}(b) + xc$  for some  $b \in \tilde{F}_{i+1}$  and  $c \in \tilde{F}_i$  by the exactness of  $F$ . Since  $x\tilde{\partial}_i(c) = 0$ , we have that  $\tilde{\partial}_i(c) \in x\tilde{F}_{i-1}$ . Again by the exactness of  $F$  we have that  $c = \tilde{\partial}_{i+1}(d) + xe$  for some  $d \in \tilde{F}_{i+1}$  and  $e \in \tilde{F}_i$ . Therefore  $a = \tilde{\partial}_{i+1}(b + xd)$ . It follows that  $\tilde{F}$  is a resolution of  $M' = H_0(\tilde{F})$  by finitely generated free  $S$ -modules, and thus  $M'$  is a lifting of  $M$  to  $S$ .  $\square$

We end with an example showing that there are local rings  $S$  admitting a pair of exact zero-divisors  $(x, x)$ , but no local ring  $T$  with regular element  $\tilde{x}$  such that  $S = T/(\tilde{x}^2)$  and  $x = \tilde{x} + (\tilde{x}^2)$ . Therefore the notion of lifting modulo an exact zero-divisor is a more general notion than lifting from modulo a regular element to modulo the square of the regular element.

#### EXAMPLE 4.3

Let  $k$  be field, let  $S = k[V, X, Y, Z]/I$  where  $I$  is the ideal

$$(V^2, Z^2, XY, VX + XZ, VY + YZ, VX + Y^2, VY - X^2),$$

and set  $v = V + I$ . Then  $(v, v)$  is a pair of exact zero-divisors. Moreover, it is shown in [AGP] that  $S$  does not have an embedded deformation. As a consequence there is no local ring  $T$  and nonzero-divisor  $\tilde{V}$  of  $T$  such that  $S \cong T/(\tilde{V}^2)$ .

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