HOMOLOGICAL DIMENSION OF ORE-EXTENSIONS

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Let S be a ring with unit element and let $R = S\{x, d\}$ be the Ore-extension of S with respect to a derivation d of S. Our object in this paper is to show that l. gl. dim R = 1 + l. gl. dim S, if S is a commutative Noetherian ring and d is suitably restricted.

It was shown in [3] that l. gl. dim $R \leq 1 + l$. gl. dim S. While equality does not hold in general, we show that it does under suitable conditions (Theorem 2, § 5).

This is achieved in three steps. The first is to show that for any ring S, any R-module M and an S-projective resolution for M, there exists an R-projective resolution of M which "lifts" the given resolution (Theorem 1, § 3). The next step is to use this resolution to prove Theorem 2 in the special case in which S is a local ring (Proposition 1, § 4). The final step consists in deducing Theorem 2 by the method of localisation.

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2. Preliminaries on Ore-extensions. Let S be a ring with unit element (denoted by 1), which is not necessarily commutative, and let d be a derivation of S into itself. Let $S\{x, d\}$ denote the Ore-extension of S with respect to d (see [5]). We recall that $R = S\{x, d\}$ is the ring generated by an indeterminate x over S with the relations xs - sx = dsfor every $s \in S$. We identify S with a subring of R. We collect here some properties of R which will be used in the later sections.

(2.1) For any ring S', a ring homomorphism $\varphi: S \to S'$ and an element $\alpha \in S'$, with the property $\alpha \varphi(s) - \varphi(s)\alpha = \varphi(ds)$, there exists a unique ring homomorphism $\overline{\varphi}: R \to S'$ such that $\overline{\varphi}(x) = \alpha$ and $\overline{\varphi} | S = \varphi$. (In fact R can be characterised by this property).

The proof is straightforward.

(2.2) Let S_1, S_2 be rings with derivations d_1, d_2 respectively and let $\varphi: S_1 \to S_2$ be a ring homomorphism such that $d_2 \circ \varphi = \varphi \circ d_1$. Then there exists a ring homomorphism $\overline{\varphi}: R_1 \to R_2$ such that $\overline{\varphi} | S_1 = \varphi$.

Proof. This follows from (2.1) by taking $S' = R_2$ and $\alpha = x \in R_2$. (2.3) A left S-module M can be converted to a left-R-module if Received January 25, 1965. and only if there exists an $f \in \text{Hom}_{\mathbb{Z}}(M, M)$ such that f(s.m) - s.f(m) = ds.m, for every $s \in S$, $m \in M$.

Proof. If M is an R-module we may take $f \in \text{Hom}_{\mathbb{Z}}(M, M)$ defined by f(m) = x.m. The converse follows from (2.1) by taking

$$S' = \operatorname{Hom}_{\mathbb{Z}}(M, M), \alpha = f \text{ and } \varphi \colon S \to S'$$

to be the mapping which defines the S-module structure on M.

(2.4) If M is a projective left S-module, then M can be converted into a left R-module.

Proof. We first remark that S can be considered as a left R-module. In fact, with the notation of (2.3) we choose $f = d \in \text{Hom}_Z(S, S)$. By a direct sum argument, it is clear that any free left S-module can be regarded as an R-module. Now let M be any projective left S-module and let M be a direct summand of a free S-module F. Since F is a left R-module, there exists an $f \in \text{Hom}_Z(F, F)$ such that f(s.m) $s.f(m) = ds.m; s \in S, m \in F$. Let $p: F \to M$ be an S-projection of F on M. It is easily seen that $g = f \circ p \mid M$ satisfies g(s.m) - s.g(m) = ds.m. Hence M can be regarded as an R-module.

(2.5) R becomes a filtered ring by setting $F_p R = \sum_{0 \le i \le p} S.x^i$. The associated graded ring $E^{\circ}(R)$ of R is isomorphic to S[x], the usual polynomial ring in one variable x over S.

Proof. See [3].

3. Lifting of resolutions. Let M be a left R-module and let

 $\cdots \longrightarrow X_i \xrightarrow{d_i} X_{i-1} \longrightarrow \cdots \longrightarrow X_0 \xrightarrow{\varepsilon} M \longrightarrow 0$

be an S-projective resolution of M. Our aim in this section is to construct an R-projective resolution which "lifts" the above resolution.

We first prove the following

LEMMA. There exist $f_i \in \operatorname{Hom}_Z(X_i, X_i)$ such that (i) $f_i(s.\alpha) - s.f_i(\alpha) = ds.\alpha$ for $s \in S$, $\alpha \in X_i$; (ii) $d_i \circ f_i = f_{i-1} \circ d_i$, $i \ge 1$, and $\varepsilon \circ f_0 = f \circ \varepsilon$, where $f \in \operatorname{Hom}_Z(M, M)$ is the mapping given by f(m) = x.m.

Proof. Since X_0 is S-projective, it follows from (2.4) and (2.3) that there exists an $f'_0 \in \operatorname{Hom}_Z(X_0, X_0)$ such that $f'_0(s\alpha) - sf'_0(\alpha) = ds, \alpha$ for $s \in S, \alpha \in X_0$. The map $\varepsilon \circ f'_0 - f \circ \varepsilon : X_0 \to M$ is easily verified to be S-linear. Since X_0 is S-projective there exists an $f''_0 \in \operatorname{Hom}_S(X_0, X_0)$

such that $\varepsilon \circ f'_0 - f \circ \varepsilon = \varepsilon \circ f''_0$. We choose $f_0 = f'_0 - f''_0$. Then (i) and (ii) are verified for i = 0.

Assume inductively that f_j $0 \leq j \leq i-1$ have already been defined satisfying (i) and (ii). Since X_i is S-projective, there exists $f'_i \in \operatorname{Hom}_Z(X_i, X_i)$ such that $f'_i(s\alpha) - sf'_i(\alpha) = ds\alpha$ for $s \in S$, $\alpha \in X_i$. The map $d_i \circ f'_i - f_{i-1} \circ d_i : X_i \to X_{i-1}$ is easily verified to be S-linear. We have, (with the convention $f_1 = f$ and $d_0 = \varepsilon$),

$$egin{aligned} d_{i-1}(d_i \circ f'_i - f_{i-1} \circ d_i) &= -d_{i-1} \circ f_{i-1} \circ d_i \ &= -f_{i-2} \circ d_{i-1} \circ d_i \ &= 0 \ . \end{aligned}$$
 (by induction)

Hence the image of X_i by $d_i \circ f'_i - f_{i-1} \circ d_i$ is contained in the kernel of $d_{i-1} = \text{Im.} d_i$. Since X_i is S-projective, there exists $f''_i \in \text{Hom}_S(X_i, X_i)$ such that $d_i \circ f'_i - f_{i-1} \circ d_i = d_i \circ f''_i$. We may choose $f_i = f'_i - f''_i$ and f_i satisfies (i) and (ii). This completes the proof of the lemma.

We set $X_{-1} = 0$ and define for $i \ge 0$

$$ar{X}=R\bigotimes_{s}X_{i}+Ry\bigotimes_{s}X_{i-1}$$
 ,

where y is a dummy. We set $d_0 = 0$ and define for $i \ge 1$, the *R*-homomorphism $\bar{d}_i: \bar{X}_i \to \bar{X}_{i-1}$ by

$$ar{d}_i(1\otimeslpha')=1\otimes d_ilpha,\,lpha\in X_i$$

and

$$ar{d}_i(y\otimeslpha')=y\otimes d_{i-1}lpha'+(-1)^{i-1}x\otimeslpha'+(-1)^i1\otimes f_{i-1}(lpha'),\,lpha'\in X_{i-1}\,.$$

We define the R-homomorphism $ilde{arepsilon}:ar{X}_{\scriptscriptstyle 0}=R\bigotimes_{\scriptscriptstyle S}X_{\scriptscriptstyle 0}\,{
ightarrow}\,M$ by

$$ar{arepsilon}(1\otimeslpha)=arepsilon(lpha),\,lpha\in X_{\scriptscriptstyle 0}$$
 .

THEOREM 1. The sequence

$$(*) \qquad \cdots \longrightarrow \bar{X}_i \xrightarrow{\bar{d}_i} \bar{X}_{i-1} \longrightarrow \cdots \longrightarrow \bar{X}_0 \xrightarrow{\bar{\varepsilon}} M \longrightarrow 0$$

is an R-projective resolution of M.

$$\begin{array}{ll} \textit{Proof.} & \text{For } \alpha \in X_{\scriptscriptstyle 1}, \bar{\varepsilon} \circ \bar{d}_{\scriptscriptstyle 1}(1 \otimes \alpha) = \bar{\varepsilon}(1 \otimes d_{\scriptscriptstyle 1}\alpha) = \varepsilon d_{\scriptscriptstyle 1}(\alpha) = 0, \ \text{ and for} \\ & \alpha' \in X_{\scriptscriptstyle 0}, \, \bar{\varepsilon} \circ \bar{d}_{\scriptscriptstyle 1}(y \otimes \alpha') = \bar{\varepsilon}(x \otimes \alpha' - 1 \otimes f_{\scriptscriptstyle 0}(\alpha')) \\ & = f \circ \varepsilon(\alpha') - \varepsilon \circ f_{\scriptscriptstyle 0}(\alpha') = 0 \ . \end{array}$$

For $i \geq 1$, we have

$$\overline{d}_{i-1} \circ \overline{d}_i (1 \otimes lpha) = 1 \otimes d_{i-1} \circ d_i lpha = 0, \, lpha \in X_i$$
 ,

and

Thus (*) is a complex of left *R*-modules. To prove that the complex is acyclic, we define a suitable filtration on the complex whose associated graded is acyclic. By a well-known lemma on filtered complexes the acyclicity of (*) follows immediately. For $i \ge 0$, let

$${F}_{p}ar{X}_{i}={F}_{p}R\bigotimes_{\scriptscriptstyle S}X_{i}+{F}_{\scriptscriptstyle p-1}R.\ y\bigotimes_{\scriptscriptstyle S}X_{i-1}$$
 ,

where $\{F_nR\}$ is the filtration on R defined in (2.5). We define

$$F_{p}M=M$$
 for every p .

It is easily seen that $\{F_p \overline{X}_i\}$ defines a filtration on \overline{X}_i and that $\bar{d}_i(F_p\bar{X}_i) \subset F_p\bar{X}_{i-1}$ for $i \ge 1$ and $\varepsilon(F_pX_0) \subset F_pM$. We thus get for $p \geq 0$ the complex

$$\cdots \longrightarrow E_p^0(\bar{X}_i) \xrightarrow{E_p^0(\bar{d}_i)} E_p^0(\bar{X}_{i-1}) \longrightarrow \cdots \longrightarrow E_p^0(\bar{X}_0) \xrightarrow{E_p^0(\bar{z})} E_p^0(M) \longrightarrow 0 .$$

We note that $E_p^0(M) = 0$ for $p \neq 0$ and $E_0^0(M) = M$.

Let S[x] denote the polynomial ring in one variable x over S. We regard M as an S[x]-module by setting xM = 0. We set $X'_{-1} = 0$ and define X'_i for $i \ge 0$ by

$$X_i' = S_p[x] \bigotimes_S X_i + S_{p-1}[x] \!\cdot\! y \bigotimes_S X_{i-1}$$
 .

We set $d_0'=0$ and for $i\geq 1$ define the left S[x]-homomorphism $d'_i: X'_i \to X'_{i-1}$ by

$$d_i'(1\otimeslpha)=1\otimes d_ilpha,\,lpha\in X_i$$
 , $d_i'(y\otimeslpha')=y\otimes d_{i-1}lpha'+(-1)^{i-1}x\otimeslpha',\,lpha'\in X_{i-1}$.

We define the S[x]-homomorphism $\varepsilon': X'_0 \to M$ by setting

$$\varepsilon'(1\otimes \alpha) = \varepsilon(\alpha)$$
.

It is easily verified [4, p. 210] that (X'_i, d'_i) is a left S[x]-projective resolution for M.

Let $S_{p}[x]$ be the p^{th} homogeneous component of the usual gradation of S[x] given by powers of x. We introduce a gradation on

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 X'_i by setting

$$X_i'^p = S_p[x] \bigotimes_s X_i + S_{p-1}[x] y \bigotimes_s X_{i-1}$$
 .

We take the trivial gradation on M i.e., $M^p = 0$ for p > 0 and $M^0 = M$. It is easily seen that $d'_i(X'^p_i) \subset X'^p_{i-1}$ and $\varepsilon'(X'^p_0) \subset M^p$ for every p. We thus get for every p an exact sequence

$$(**) \qquad \cdots \longrightarrow X'^{p}_{i} \xrightarrow{d'^{p}_{i}} X'^{p}_{i-1} \longrightarrow \cdots \longrightarrow X'^{p}_{0} \xrightarrow{\varepsilon'^{p}} M^{p} \longrightarrow 0.$$

Clearly $E_p^{\circ}(\bar{X}_i) \approx X_i'^p$ and $E_p^{\circ}(M) \approx M^p$ for every p. Since for any $r \in F_{p-1}R$ and $\alpha' \in X_{i-1}$, we have $r \otimes f_{i-1}(\alpha') \in F_{p-1}\bar{X}_{i-1}$, it follows that $E_p^{\circ}(\bar{d}_i) = d_i'^p$. Since (**) is exact, it follows that $(E_p^{\circ}(\bar{X}_i), E_p^{\circ}(\bar{d}_i))$ is exact and hence (*) is exact. Since \bar{X}_i is clearly R-projective, the theorem is proved.

4. The case of local rings. Our aim in this section is to prove the following.

PROPOSITION 1. Let S be a (commutative, Noetherian) local ring and let \mathfrak{M} denote its unique maximal ideal. Let d be a derivation of S such that $d(S) \subset \mathfrak{M}$ and let $R = S\{x, d\}$. Then

l.gl. dim
$$R=1+$$
 gl. dim S .

For proving this proposition, we need the following.

LEMMA. Let S be a commutative ring and let M be an R-module. Suppose

$$0 \longrightarrow X_n \xrightarrow{d_n} X_{n-1} \xrightarrow{d_{n-1}} \cdots \longrightarrow X_0 \longrightarrow M \longrightarrow 0$$

is an S-projective resolution of M. Assume that the following conditions hold.

(1) X_n is S-free of rank 1.

(2) There exists an S-module N with xN = 0 and $\operatorname{Ext}^n_s(M, N) \neq (0)$.

Then $hd_{R}M = n + 1$.

Proof. Using the complex (*) of Theorem 1, we find that $hd_R M \leq n+1$. We now compute $\operatorname{Ext}_R^{n+1}(M, N')$ for any *R*-module N'. We have

$$\operatorname{Ext}_{R}^{n+1}(M, N') = \operatorname{Hom}_{S}(X_{n}, N')/B^{n}$$

where B^n is the set of all $g \in \operatorname{Hom}_{S}(X_n, N')$ such that there exist $g_1 \in \operatorname{Hom}_{S}(X_n, N')$ and $g_2 \in \operatorname{Hom}_{S}(X_{n-1}, N')$ with

$$g(\alpha) = g_2(d_n\alpha) + (-1)^{n-1}xg_1(\alpha) + (-1)^ng_1(f_n(\alpha))$$

for any $\alpha \in X_n$.

Let β be a free generator of X_n as an S-module and let $f_n(\beta) = s\beta$; $s \in S$. If $g \in B^n$, we have

$$g(eta) = g_{_2}\!(d_{_n}\!eta) + (-1)^{n-1}\!(x-s)g_{_1}(eta)$$
 .

Let θ be the automorphism of R such that $\theta(x) = x + s$ and $\theta | S =$ identity. (This exists in view of (2.1)). If we choose $N' = {}_{\theta}N$ (i.e., N considered as an R-module through θ), we find $g(\beta) = g_2(d_n\beta)$ and hence $g(\alpha) = g_2(d_n\alpha)$ for any $\alpha \in X_n$. Thus, $B^n = B_1^n =$ $\{g \in \operatorname{Hom}_S(X_n, N') | g(\alpha) = g_2(d_n\alpha)$ for some $g_2 \in \operatorname{Hom}_S(X_{n-1}N')$ for every $\alpha \in X_{n-1}\}$. However, using the resolution (X_i, d_i) for M to compute Ext, we find $\operatorname{Ext}^n_S(M, N') \approx \operatorname{Hom}_S(X_n, N')/B_1^n$. Hence

$$\mathrm{Ext}^{n+1}_{R}(M,\,N')pprox\mathrm{Ext}^{n}_{S}(M,\,N')\ pprox\mathrm{Ext}^{n}_{S}(M,\,N)
eq(0) \;,$$

since N and N' are isomorphic as S-modules. This proves the lemma.

Proof of proposition. By [2, p. 74, Prop. 2], it follows that gl. dim $R \ge$ gl. dim S. Thus, if gl. dim $S = \infty$, we have gl. dim $R = \infty$ and the proposition is proved. We therefore assume that gl. dim $S = n < \infty$. If $M = S/\mathfrak{M}$, we have $hd_sM = n$. Let

$$0 \longrightarrow X_n \xrightarrow{d_n} X_{n-1} \longrightarrow \cdots \longrightarrow X_0 \longrightarrow M \longrightarrow 0$$

be the "Koszul resolution" for M [1, p. 151]. Since $X_n = E_n^s(y_1, \dots, y_n)$, where $E_n^s(y_1, \dots, y_n)$ is the *n*th component of the exterior algebra on y_1, \dots, y_n over S, condition (i) of the above lemma is satisfied. Since $d(S) \subset \mathfrak{M}$, it is clear that M can be regarded as an R-module satisfying xM = 0 (See (2.3)). Since $\operatorname{Ext}_S^n(M, M) \neq (0)$, [1, p. 153], condition (2) of the lemma is satisfied with N = M. Thus, by the above lemma, we have $hd_R M = n + 1$. Hence gl. dim $R \geq n + 1$. Since gl. dim $R \leq$ n + 1 [6, Th. 1 or 3], the proposition is proved.

5. The case of Noetherian rings. In this section, we prove the following

THEOREM 2. Let S be a commutative Noetherian ring and let d be a derivation of S such that any one of the following two conditions is satisfied:

(1) $d(S) \subset Radical of S$,

(2) d(S) generates a proper ideal of S and Krull dim $S_{\mathfrak{M}}$ is the same for all the maximal ideals \mathfrak{M} of S.

If $R = S\{x, d\}$, we have

l. gl.
$$dim \ R = 1 + gl. \ dim \ S$$
 .

Proof. As in the proof of Proposition 1, we need only prove that l. gl. dim $R \ge 1 + \text{gl.} \dim S$ assuming gl. dim $S < \infty$. Since gl. dim $S = \sup_{\mathfrak{M}} \text{gl.} \dim S_{\mathfrak{M}}$ where \mathfrak{M} runs over all the maximal ideals of S, it is clear that under either of the conditions of the theorem, there exists a maximal ideal \mathfrak{M} such that gl. dim $S = \text{gl.} \dim S_{\mathfrak{M}}$ and $d(S) \subset \mathfrak{M}$. The derivation d of S induces a derivation \overline{d} of $S_{\mathfrak{M}}$ if we set

$$ar{d}\Bigl(rac{s}{s'}\Bigr)=rac{ds.\ s'-s.\ ds'}{s'^2}$$
 ; $s,\,s'\in S,\,s'\in \mathfrak{M}$.

It is clear that $\overline{d}(S_{\mathfrak{M}}) \subset \mathfrak{M}S_{\mathfrak{M}}$. Hence by Proposition 1, § 4, we have

l. gl. dim
$$S_{\mathfrak{M}}\{x, \overline{d}\} = 1 + \operatorname{gl.} \operatorname{dim} S_{\mathfrak{M}}$$

= 1 + gl. dim S.

Thus, the theorem will be proved if we prove the following

LEMMA. If M is any maximal ideal of S, we have

l. gl. dim $S\{x, d\} \ge l.$ gl. dim $S_{m}\{x, \overline{d}\}$.

Proof of the lemma. Let us set $R = S\{x, d\}$ and $\overline{R} = S_m\{x, \overline{d}\}$. Let $\eta: S \to S_{\mathfrak{M}}$ denote the ring homomorphism defined by $\eta(s) = \text{class}$ of s/1. Since $\overline{d} \circ \eta = \eta \circ d$, η induces (see (2.2)) a ring homomorphism $\overline{\eta}: R \to \overline{R}$ such that $\overline{\eta} \mid S = \eta$.

We first prove the following two statements:

(1) \overline{R} is R-flat as a right R-module (through $\overline{\eta}$).

(2) If M is any left \overline{R} -module, there exists a left R-module M' and a left \overline{R} -isomorphism $M \approx \overline{R} \bigotimes_{R} M'$.

The left $S_{\mathfrak{M}}$ -isomorphism $\varphi: S_{\mathfrak{M}} \otimes_s R \to \overline{R}$ given by $\varphi(1 \otimes x^i) = x^i \in \overline{R}$ satisfies $\varphi(1 \otimes f) = \overline{\eta}(f)$ for any $f \in R$. We have

$$arphi(1 \otimes fg) = ar\eta(fg) = ar\eta(f)ar\eta(g) = arphi(1 \otimes f)ar\eta(g)$$
 .

Thus, φ is an isomorphism of right *R*-modules. Since $S_{\mathfrak{M}} \bigotimes_{s} R$ is right *R*-flat, (1) is proved. Let

$$\overline{F}_1 \xrightarrow{\lambda} \overline{F} \xrightarrow{\mu} M \longrightarrow 0$$

be an exact sequence where \overline{F}_1 and \overline{F} are \overline{R} -free with bases $\{e_{\alpha}\}$ and $\{f_{\beta}\}$ respectively. We then have

$$\lambda(e_{lpha}) = \eta \Big(rac{1}{s_{lpha}} \Big) \sum\limits_eta rac{1}{\eta} (a_{lphaeta}) f_eta; a_{lphaeta} \in R, \, s_{lpha} \in S - \mathfrak{M} \; .$$

Let θ be the \overline{R} -automorphism of \overline{F}_1 defined by $\theta(e_{\alpha}) = \eta(s_{\alpha})e_{\alpha}$. Let

 $\lambda' = \lambda \circ \theta$. We then have

$$\lambda'(e_{lpha}) = \sum_{eta} rac{1}{\eta} (a_{lphaeta}) f_{eta}$$
 ,

and the sequence

$$\bar{F}_1 \xrightarrow{\lambda'} \bar{F} \xrightarrow{\mu} M \longrightarrow 0$$

is exact. Let F_1 (resp. F) be the free *R*-module generated by $\{e_{\alpha}\}$ (resp. $\{f_{\beta}\}$) and let $\lambda'': F_1 \to F$ be the *R*-homomorphism defined by

$$\lambda''(e_{lpha}) = \sum_{eta} a_{lphaeta} f_{eta}$$
 .

It is easily seen that if we take $M' = c \circ \ker \lambda''$, we have $M \approx \overline{R} \bigotimes_{R} M'$. This proves(2). We now complete the proof of the lemma.

Let M be any left \overline{R} -module and let M' be a left R-module such that (2) is satisfied. Let

$$\cdots \longrightarrow X_n \xrightarrow{d_n} X_{n-1} \longrightarrow \cdots \longrightarrow X_0 \longrightarrow M' \longrightarrow 0$$

be a resolution of M' as a left R-module. Then

$$\bar{R}\bigotimes_{R} X_{n} \xrightarrow{I \otimes d_{n}} \bar{R} \bigotimes_{R} X_{n-1} \longrightarrow \cdots \longrightarrow \bar{R} \bigotimes_{R} X_{0} \longrightarrow M \longrightarrow 0$$

is exact in view of (1). Since $\overline{R} \bigotimes_{R} X_i$ is \overline{R} -projective, it follows that $(\overline{R} \bigotimes_{R} X_i, 1 \otimes d_i)$ is an \overline{R} -projective resolution of M. In particular, we have $hd_{\overline{R}}M \leq hd_{R}M' \leq gl. \dim R$. Since M is arbitrary, it follows that gl. dim $\overline{R} \leq gl. \dim R$. This proves the lemma and hence the theorem.

REMARK. Let $S = K[x_1, \dots, x_n]$ be the polynomial ring in n variables over a field K. It is well-known [7, Chap. III Cor. 4 to Th. 5] that Krull dim $S_{\mathfrak{M}}$ is the same for all maximal ideals \mathfrak{M} of S. Let d be a K-derivation of S given by $d(x_i) = f_i$. Then the derivation d satisfies condition (2) of Theorem 2 if and only if $f_i, 1 \leq i \leq n$ are not coprime and in this case we may apply the theorem and we have gl. dim R = n + 1. This includes the special case of Theorem 1 of [6] in which K is a field.

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