

Lecture 9  
**The coniveau filtration and algebraic cycles**

From now on, all rings will be implicitly assumed noetherian.

**9.1. The coniveau filtration.**

**Construction 1.** Let  $A$  be a (noetherian) ring. For each  $n \in \mathbf{N}$ , let  $G_0(A)^{\geq n}$  denote the subgroup of  $G_0(A)$  generated by classes  $[M]$  where  $M \in \text{Mod}_A^{\text{fg}}$  has  $\text{codim}(\text{Supp}_A(M)) \geq n$ .

**Proposition 2.** *The subgroup  $G_0(A)^{\geq n}$  is generated by classes  $[A/\mathfrak{p}]$ , where  $\mathfrak{p}$  is a prime ideal such that  $V(\mathfrak{p})$  is of codimension  $\geq n$ .*

*Proof.* Let  $M \in \text{Mod}_A^{\text{fg}}$  such that  $\text{codim}(\text{Supp}_A(M)) \geq n$ . Let  $0 = M_0 \subset M_1 \subset \dots \subset M_n = M$  be a filtration whose successive quotients are of the form  $A/\mathfrak{p}_i$ , with  $\mathfrak{p}_i \subset A$  prime ideals. Then we have seen that  $\text{Supp}_A(M) = \bigcup_i V(\mathfrak{p}_i)$ . Thus

$$\text{codim}(V(\mathfrak{p}_i)) \geq \text{codim}(\text{Supp}_A(M)) \geq n.$$

As we have

$$[M] = \sum_i [M_i/M_{i-1}] = \sum_i [A/\mathfrak{p}_i]$$

in  $G_0(A)$ , the claim follows. □

**Proposition 3.** *Let  $A$  be an irreducible ring. Then we have*

$$G_0(A)^{\geq 0} / G_0(A)^{\geq 1} \simeq \mathbf{Z}.$$

*Proof.* Note that  $G_0(A)^{\geq 0} = G_0(A)$ . To define a map from left to right we proceed as usual: given  $M \in \text{Mod}_A^{\text{fg}}$ , choose a filtration where the successive quotients are of the form  $A/\mathfrak{p}$  with  $\mathfrak{p}$  prime. On classes  $[A/\mathfrak{p}]$ , the map is defined as follows. If  $\mathfrak{p}$  is the (unique) minimal prime ideal, then we send it to 1. Otherwise it is of codimension  $\geq 1$  so we are forced to send it to 0. Arguing with the butterfly lemma again we see that this construction is independent of the choice of filtration and gives a well-defined map from left to right. An inverse map is given by sending  $1 \in \mathbf{Z}$  to  $[A/\mathfrak{p}]$ , where  $\mathfrak{p}$  is the minimal prime ideal. □

**Remark 4.** If  $A$  is not irreducible, then a straightforward adaptation of this argument shows that the quotient  $G_0(A)^{\geq 0} / G_0(A)^{\geq 1}$  is isomorphic to a direct sum of copies of  $\mathbf{Z}$  indexed by the irreducible components.

**9.2. Multiplicities of modules.**

**Notation 5.** Let  $A$  be a ring and  $x \in |\text{Spec}(A)|$  a point. We let  $\mathfrak{p}(x)$  denote the corresponding prime ideal, i.e.,

$$\mathfrak{p}(x) := \text{Ker}(A \rightarrow \kappa(x)).$$

**Lemma 6.** Let  $A$  be a ring and  $M$  a f.g.  $A$ -module. Let  $\eta$  be a generic point of  $\text{Supp}_A(M)$  and let  $\mathfrak{p}(\eta)$ . Then the  $A_{\mathfrak{p}(\eta)}$ -module  $M_{\mathfrak{p}(\eta)}$  is of finite length.

*Proof.* Let  $\mathfrak{p} = \mathfrak{p}(\eta)$ . For every non-maximal prime ideal  $\mathfrak{q} \subset A_{\mathfrak{p}}$ , we have  $(M_{\mathfrak{p}})_{\mathfrak{q}} = 0$ . By Sheet 2, Exercise 4 it follows then that  $M_{\mathfrak{p}}$  is of finite length.  $\square$

**Definition 7.** Let  $A$  be a ring and  $M$  a f.g.  $A$ -module. Let  $\eta$  be a generic point of  $\text{Supp}_A(M)$ . The *multiplicity* of  $M$  at  $\eta$  is the integer

$$\text{mult}_{A,\eta}(M) := \ell_{A_{\mathfrak{p}(\eta)}}(M_{\mathfrak{p}(\eta)}).$$

**Remark 8.** Choose any filtration of  $M$  where the successive quotients are of the form  $A/\mathfrak{p}$  with  $\mathfrak{p}$  prime. The number of times the prime ideal  $\mathfrak{p}(\eta)$  appears in this way is exactly the multiplicity  $\text{mult}_{A,\eta}(M)$ .

**9.3. Algebraic cycles.** Algebraic cycles are a convenient way to record multiplicities.

**Definition 9.** Let  $A$  be a ring. The *dimension* of  $A$  is the maximal length  $n$  of a chain

$$\emptyset \subsetneq Y_0 \subsetneq Y_1 \subsetneq \cdots \subsetneq Y_n \subseteq |\text{Spec}(A)|$$

of irreducible closed subsets of  $|\text{Spec}(A)|$ . (The zero ring is of dimension  $-1$  by convention.) For a closed subset  $Y = V(I) \subseteq |\text{Spec}(A)|$ , the dimension of  $Y$  is the dimension of  $A/I$ . (This is well-defined since if  $V(I) = V(J)$  then  $|\text{Spec}(A/I)| \simeq |\text{Spec}(A/J)|$ .) We say  $Y$  is of *pure dimension*  $d$  if all its irreducible components are of dimension  $d$ .

**Example 10.** Any field  $k$  is of dimension 0. More generally, any nonzero artinian ring is of dimension 0.

**Example 11.** For a field  $k$ , the ring  $k[T_1, \dots, T_n]$  is of dimension  $n$ .

**Definition 12.** Let  $A$  be a ring. An *algebraic cycle of dimension*  $k$  on  $A$  (or *k-cycle for short*) is a formal linear combination

$$\alpha = \sum_{\mathfrak{p}} n_{\mathfrak{p}} \cdot [V(\mathfrak{p})]$$

where  $\mathfrak{p}$  ranges over a set of prime ideals of  $A$ , such that each  $V(\mathfrak{p})$  is a  $k$ -dimensional subset of  $|\text{Spec}(A)|$ , and  $n_{\mathfrak{p}}$  are integers. For each  $\mathfrak{p}$ , the integer  $n_{\mathfrak{p}}$  is called the *multiplicity* of the cycle  $\alpha$  at  $\mathfrak{p}$ . We let  $Z_k(A)$  denote the set of algebraic cycles of dimension  $k$ , which is thus a free abelian group. By  $Z_*(A)$  we denote the graded abelian group  $\bigoplus_{k \geq 0} Z_k(A)$ .

**Construction 13** (Cycle associated to a module). Let  $M$  be an  $A$ -module with support of dimension  $d$ . For any integer  $k \leq d$ , we define a  $k$ -cycle  $[M]_k \in Z_k(A)$  as follows. Let  $\eta_{\alpha}$  be the generic points of  $\text{Supp}_A(M)$  for which the integral subset  $V(\mathfrak{p}(\eta_{\alpha}))$  is of dimension  $k$ . Set

$$[M]_k := \sum_{\alpha} \text{mult}_{A,\eta_{\alpha}}(M) \cdot [V(\mathfrak{p}(\eta_{\alpha}))].$$

If  $k > d$ , we set  $[M]_k = 0$ .

**Remark 14.** The noetherian hypothesis implies that there are only finitely many generic points  $\eta_\alpha$ . In particular, the sum appearing in the previous construction is finite.

**Example 15.** Let  $\mathfrak{p}$  be a prime ideal and take  $M = A/\mathfrak{p}$ . Let  $d$  be the dimension of the support  $\text{Supp}_A(M) = V(\mathfrak{p})$ . Then the associated  $d$ -cycle  $[A/\mathfrak{p}]_d$  is the same as the cycle  $[V(\mathfrak{p})] \in Z_d(A)$ . Indeed we have

$$\text{mult}_{A,\eta}(A/\mathfrak{p}) = \ell_{A_{\mathfrak{p}}}((A/\mathfrak{p})_{\mathfrak{p}}) = \ell_{A_{\mathfrak{p}}}(\kappa(\mathfrak{p})) = 1,$$

where  $\eta = [A \rightarrow \kappa(\mathfrak{p})]$  is the generic point of  $V(\mathfrak{p})$ .

#### 9.4. Rational equivalence.

**Exercise 16.** Let  $A$  be an integral domain of dimension  $d$ . For any nonzero element  $f \in A$ , the quotient ring  $A/\langle f \rangle$  is of dimension  $d - 1$ .

**Construction 17.** Let  $A$  be a ring and  $V(\mathfrak{p})$  a  $(k + 1)$ -dimensional integral subset of  $|\text{Spec}(A)|$  (where  $k \geq 0$ ). If  $f \in A$  is an element such that  $f \notin \mathfrak{p}$ , then  $(A/\mathfrak{p})/f(A/\mathfrak{p}) \simeq A/(\mathfrak{p} + \langle f \rangle)$  is of dimension  $k$ . Regarding  $(A/\mathfrak{p})/f(A/\mathfrak{p})$  as an  $A$ -module, there is an associated  $k$ -cycle. This is the *principal divisor* defined by  $f$  in  $V(\mathfrak{p})$ :

$$\text{div}_{V(\mathfrak{p})}(f) := [(A/\mathfrak{p})/f(A/\mathfrak{p})]_k \in Z_k(A).$$

**Definition 18.** Let  $R_k(A)$  denote the subgroup of  $Z_k(A)$  generated by elements of the form  $\text{div}_{V(\mathfrak{p})}(f)$  for all  $(k + 1)$ -dimensional integral subsets  $V(\mathfrak{p})$  and elements  $f \notin \mathfrak{p}$ . We say that two  $k$ -cycles  $\alpha, \beta \in Z_k(A)$  are *rationally equivalent* if their difference belongs to  $R_k(A)$ .

**Construction 19.** The *Chow group* of  $k$ -cycles on  $A$  is the quotient

$$\text{CH}_k(A) := Z_k(A)/R_k(A),$$

for every integer  $k \geq 0$ .

#### 9.5. Direct images.

**Construction 20.** Let  $\phi : A \rightarrow A/I$  be a surjective ring homomorphism. Any closed integral subset  $V_{A/I}(\mathfrak{p}) \subseteq |\text{Spec}(A/I)|$  can be regarded, via the inclusion  $|\text{Spec}(A/I)| \simeq V_A(I) \subseteq |\text{Spec}(A)|$ , as a subset of  $|\text{Spec}(A)|$ . As a subset of  $|\text{Spec}(A)|$ , it is the closed integral subset defined by the prime ideal  $\mathfrak{q} = \phi^{-1}(\mathfrak{p})$ . Thus there is for each  $k \geq 0$  a group homomorphism

$$\phi_* : Z_k(A/I) \rightarrow Z_k(A)$$

given by  $[V_{A/I}(\mathfrak{p})] \mapsto [V_A(\phi^{-1}(\mathfrak{p}))]$ .

**Lemma 21.** With  $\phi : A \rightarrow A/I$  as above, we have

$$\phi_*(R_k(A/I)) \subseteq R_k(A)$$

for every  $k$ .

*Proof.* It suffices to show that for every closed integral subset  $V(\mathfrak{p})$  of dimension  $k+1$  and every element  $f \in A/I$  not contained in  $\mathfrak{p}$ , the cycle  $\phi_*(\text{div}_{V(\mathfrak{p})}(f)) \in Z_k(A)$  is rationally equivalent to 0. The contraction  $\mathfrak{q} = \phi^{-1}(\mathfrak{p})$  is a prime ideal of  $A$ . If  $\tilde{f} \in A$  is an element lifting  $f$ , then  $\tilde{f} \notin \mathfrak{q}$  since  $f \notin \mathfrak{p}$ . Then since  $(A/\mathfrak{q})/\tilde{f}(A/\mathfrak{q}) \simeq ((A/I)/\mathfrak{p})/f((A/I)/\mathfrak{p})$ , it follows from the definitions that

$$\phi_*(\text{div}_{V(\mathfrak{p})}(f)) = \text{div}_{V(\mathfrak{q})}(\tilde{f}),$$

whence the claim.  $\square$

**Construction 22.** Let  $\phi : A \rightarrow A/I$  be a surjective ring homomorphism. By the lemma, the homomorphism  $\phi_* : Z_k(A/I) \rightarrow Z_k(A)$  descends to a canonical homomorphism

$$\phi_* : \text{CH}_k(A/I) \rightarrow \text{CH}_k(A)$$

for every  $k$ . We call this the homomorphism of *direct image* along  $\phi$ .

## 9.6. Inverse images.

**Definition 23.** Let  $\phi : A \rightarrow B$  be a flat ring homomorphism. We say that  $\phi$  is of *relative dimension*  $d \geq 0$  if, for every closed integral subset  $V(\mathfrak{p}) \subseteq |\text{Spec}(A)|$  of dimension  $n$ , the closed subset  $V(\mathfrak{p}B) \subseteq |\text{Spec}(B)|$  is of pure dimension  $n + d$ .

**Remark 24.** Note that  $\phi : A \rightarrow B$  induces a canonical map

$$f : |\text{Spec}(B)| \rightarrow |\text{Spec}(A)|$$

sending a point  $x = [B \rightarrow \kappa]$  to  $f(x) = [A \rightarrow B \rightarrow \kappa]$ . For a closed integral subset  $V(\mathfrak{p}) \subseteq |\text{Spec}(A)|$  we have  $f^{-1}(V(\mathfrak{p})) = V(\mathfrak{p}B) \subseteq |\text{Spec}(B)|$ . Thus we can interpret the previous definition in terms of the fibres of the morphism  $f$ .

**Example 25.** For any element  $f \in A$ , the localization homomorphism  $\phi : A \rightarrow A[f^{-1}]$  is flat of relative dimension 0.

**Example 26.** For every ring  $A$  and every  $n \geq 0$ , the homomorphism  $A \rightarrow A[T_1, \dots, T_n]$  is flat of relative dimension  $n$ .

**Construction 27.** Let  $\phi : A \rightarrow B$  be a flat ring homomorphism of relative dimension  $d$ . Then there are canonical homomorphisms

$$\phi^* : Z_k(A) \rightarrow Z_{k+d}(B)$$

sending  $[V(\mathfrak{p})] \mapsto [B/\mathfrak{p}B]_{k+d}$ .

**Theorem 28.** Let  $\phi : A \rightarrow B$  be as above. Then we have

$$\phi^*(R_k(A)) \subseteq R_{k+d}(B)$$

for every  $k$ .

**Lemma 29.** Let  $A$  be a ring and  $M$  a f.g.  $A$ -module whose support is of dimension  $\leq k + 1$ . Denote by  $\Lambda$  the set of irreducible components  $V(\mathfrak{p}) \subseteq \text{Supp}_A(M)$  of

dimension  $k + 1$ , and let  $f \in A$  be an element with  $f \notin \mathfrak{p}$  for every  $V(\mathfrak{p}) \in \Lambda$ . Then we have

$$[M/fM]_k - [{}_fM]_k = \sum_{V(\mathfrak{p}) \in \Lambda} \ell_{A_{\mathfrak{p}}}(M_{\mathfrak{p}}) \operatorname{div}_{V(\mathfrak{p})}(f)$$

in  $Z_k(A)$ , where  ${}_fM \subseteq M$  is the submodule of  $f$ -torsion elements. In particular if  $f$  is a non-zero-divisor on  $M$ , then  $[M/fM]_k \in Z_k(A)$  is rationally equivalent to zero.

*Proof.* Note that  $f \notin \mathfrak{p}$  implies that  $M/fM$  and  ${}_fM$  both have support of dimension  $\leq k$ .

Assume first that  $M = A/\mathfrak{q}$  where  $\mathfrak{q}$  is a prime ideal. If its support  $V(\mathfrak{q})$  is  $(k + 1)$ -dimensional, then it has only one irreducible component of dimension  $k + 1$  (namely,  $V(\mathfrak{q})$  itself). The assumption is then that  $f \notin \mathfrak{q}$ , so in particular the image of  $f$  in the integral domain  $A/\mathfrak{q}$  is a non-zero-divisor and  ${}_fM = 0$ . Thus the left-hand side is  $[(A/\mathfrak{q})/f(A/\mathfrak{q})]_k$ . Since  $M_{\mathfrak{q}} = A_{\mathfrak{q}}/\mathfrak{q}A_{\mathfrak{q}} = \kappa(\mathfrak{q})$  is of length 1, the right-hand side is  $\operatorname{div}_{V(\mathfrak{q})}(f)$ . Hence the desired equality holds by definition.

Otherwise,  $V(\mathfrak{q})$  is of dimension  $\leq k$ . In that case  $\Lambda$  is empty and the right-hand side vanishes trivially. If  $f \in \mathfrak{q}$ , then  $M/fM = (A/\mathfrak{q})/f(A/\mathfrak{q}) = A/\mathfrak{q}$  and similarly  ${}_fM = {}_f(A/\mathfrak{q}) = A/\mathfrak{q}$ , so the left-hand side also vanishes. If  $f \notin \mathfrak{q}$ , then since  $V(\mathfrak{q})$  is of dimension  $\leq k$ , both  $M/fM$  and  ${}_fM$  have supports of dimension  $\leq k - 1$ , hence again the left-hand side vanishes.

This shows the case where  $M = A/\mathfrak{q}$ . In general, one reduces to this case as follows. Fix an element  $f \in A$  and say a f.g.  $A$ -module  $M$  is *f-good* if its support is of dimension  $\leq k + 1$  and  $f \notin \mathfrak{p}$  for every prime  $\mathfrak{p}$  corresponding to an  $(k + 1)$ -dimensional irreducible component of  $\operatorname{Supp}_A(M)$ . One shows that both sides of the formula are additive in short exact sequences of *f-good* modules (details omitted). Then the claim follows for any *f-good*  $M$  by choosing a filtration of  $M$  whose successive quotients are of the form  $A/\mathfrak{q}$  with  $\mathfrak{q}$  prime.  $\square$

*Proof of Theorem.* It suffices to show that, for every  $(k + 1)$ -dimensional  $V(\mathfrak{p}) \subseteq |\operatorname{Spec}(A)|$ , we have

$$\phi^*(\operatorname{div}_{V(\mathfrak{p})}(f)) \in R_{k+d}(B).$$

By definition,  $\operatorname{div}_{V(\mathfrak{p})}(f) = [M]_k$  where  $M = (A/\mathfrak{p})/f(A/\mathfrak{p})$ . We first show that  $\phi^*(\operatorname{div}_{V(\mathfrak{p})}(f)) = [N]_{k+d}$ , where  $N = (B/\mathfrak{p}B)/f(B/\mathfrak{p}B)$ . Choose a filtration of  $M$  where the successive quotients are  $A/\mathfrak{q}_i$  for prime ideals  $\mathfrak{q}_i \subset A$ . Then  $[M]_n = \sum [V(\mathfrak{q}_i)]$  where the sum is taken over  $i$  such that  $V(\mathfrak{q}_i)$  is  $n$ -dimensional. Tensoring with the flat  $A$ -module  $B$  produces a filtration of  $N$  where the successive quotients are  $B/\mathfrak{q}_iB$ . By definition,  $\phi^*[V(\mathfrak{q}_i)] = [B/\mathfrak{q}_iB]_{k+d}$  for each  $i$ . When  $V(\mathfrak{q}_i)$  is of dimension  $< k$  then the irreducible components of  $V(\mathfrak{q}_iB)$  have dimension  $< k + d$  (since  $\phi$  is flat of relative dimension  $d$ ). Therefore we get

$$[N]_{k+d} = \sum [B/\mathfrak{q}_iB]_{k+d} = \sum \phi^*[V(\mathfrak{q}_i)] = \phi^*[M]_k$$

where the sums are taken over  $i$  such that  $V(\mathfrak{q}_i)$  is  $k$ -dimensional.

Since  $V(\mathfrak{p})$  is of dimension  $k + 1$  and  $\phi$  is flat of relative dimension  $d$ ,  $V(\mathfrak{p}B)$  is of pure dimension  $k + d + 1$ . Since  $A/\mathfrak{p}$  is an integral domain,  $f$  is a non-zero-divisor (as it is nonzero). Since  $\phi : A \rightarrow B$  is flat, its image in  $B$  is still a non-zero-divisor (e.g.,  $\text{Kosz}_B(f) \simeq \text{Kosz}_A(f) \otimes_A B$  is still acyclic in positive degrees). Thus the previous lemma shows that  $[N]_{k+d} = [(B/\mathfrak{p}B)/f(B/\mathfrak{p}B)]$  is rationally equivalent to zero.  $\square$

**Construction 30.** Let  $\phi : A \rightarrow B$  be a flat ring homomorphism of relative dimension  $d$ . Then for every  $k$ , the homomorphism  $\phi^* : Z_k(A) \rightarrow Z_{k+d}(B)$  descends to a canonical homomorphism

$$\phi^* : \text{CH}_k(A) \rightarrow \text{CH}_{k+d}(B)$$

which we call the homomorphism of *inverse image* along  $f$ .