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**To cite this article:** Marco D'Anna, Carmelo A. Finocchiaro & Marco Fontana (2016) New Algebraic Properties of an Amalgamated Algebra Along an Ideal, Communications in Algebra, 44:5, 1836-1851, DOI: [10.1080/00927872.2015.1033628](https://doi.org/10.1080/00927872.2015.1033628)

**To link to this article:** <http://dx.doi.org/10.1080/00927872.2015.1033628>



Published online: 25 Apr 2016.



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## NEW ALGEBRAIC PROPERTIES OF AN AMALGAMATED ALGEBRA ALONG AN IDEAL

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*Let  $f: A \rightarrow B$  be a ring homomorphism, and let  $J$  be an ideal of  $B$ . In this article, we study the amalgamation of  $A$  with  $B$  along  $J$  with respect to  $f$  (denoted by  $A \bowtie^f J$ ), a construction that provides a general frame for studying the amalgamated duplication of a ring along an ideal, introduced by D'Anna and Fontana in 2007, and other classical constructions (such as the  $A + XB[X]$ , the  $A + XB[[X]]$  and the  $D + M$  constructions). In particular, we completely describe the prime spectrum of the amalgamation  $A \bowtie^f J$  and, when it is a local Noetherian ring, we study its embedding dimension and when it turns to be a Cohen–Macaulay ring or a Gorenstein ring.*

**Key Words:** Cohen–Macaulay;  $D + M$  construction; Embedding dimension; Gorenstein; Idealization; Krull dimension; Pullback; Zariski topology.

**2010 Mathematics Subject Classification:** 13A15; 13B99; 14A05; 13C14; 13H10.

### 1. INTRODUCTION

Let  $A$  and  $B$  be commutative rings with unity, let  $J$  be an ideal of  $B$ , and let  $f: A \rightarrow B$  be a ring homomorphism. In this setting, we can consider the following subring of  $A \times B$ :

$$A \bowtie^f J := \{(a, f(a) + j) \mid a \in A, j \in J\}$$

called the amalgamation of  $A$  with  $B$  along  $J$  with respect to  $f$ . This construction is a generalization of the amalgamated duplication of a ring along an ideal (cf., for instance, [4], [5], [8], [12], [13], [20], and [25]). Moreover, several classical constructions (such as the  $A + XB[X]$ , the  $A + XB[[X]]$  and the  $D + M$  constructions) can be studied as particular cases of the amalgamation [10, Examples 2.5 and 2.6] and other classical constructions, such as the Nagata's idealization (cf. [19, Chapter VI, Section 25], [22, p. 2]), also called Fossum's trivial extension (cf. [18]), and the complete pre-image (CPI) extensions (in the sense of Boisen and Sheldon [6]) are strictly related to it [10, Example 2.7 and Remark 2.8].

Received October 8, 2014. Communicated by S. Bazzoni.

Dedicated to Alberto Facchini on the occasion of his 60th birthday.

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On the other hand, the amalgamation  $A \bowtie^f J$  is related to a construction proposed by D. D. Anderson in [2] and motivated by a classical construction due to Dorroh [14], concerning the embedding of a ring without identity in a ring with identity. An ample introduction on the genesis of the notion of amalgamation is given in [10, Section 2].

One of the key tools for studying  $A \bowtie^f J$  is based on the fact that the amalgamation can be studied in the frame of pullback constructions [10, Section 4] (for a systematic study of this type of constructions, cf. [16], [17], [23]). This point of view allows us to deepen the study initiated in [10] and continued in [11] and to provide an ample description of various properties of  $A \bowtie^f J$ , in connection with the properties of  $A$ ,  $J$ , and  $f$ . More precisely, in [10], we studied the basic properties of this construction (e.g., we provided characterizations for  $A \bowtie^f J$  to be a Noetherian ring, an integral domain, a reduced ring), we characterized those distinguished pullbacks that can be expressed as an amalgamation, and in [11] we investigated the Krull dimension of  $A \bowtie^f J$ . In this article, we study in details its prime spectrum [3] and, when  $A \bowtie^f J$  is a local Noetherian ring, some of its invariants (like the embedding dimension) and relevant properties (like Cohen–Macaulyness and Gorensteinness).

In particular, after recalling (in Section 2) some basic properties proved in [10], needed in the present article, we provide a complete description of the prime spectrum of  $A \bowtie^f J$  (Corollary 2.5), and we characterize when  $A \bowtie^f J$  is a local ring (Corollary 2.7). In Section 3, we prove some results on the extensions in  $A \bowtie^f J$  of ideals of  $A$  (Proposition 3.1 and Lemma 3.2) that we will need in the sequel of the article. In Sections 4 and 5, we concentrate our attention on the case when  $A \bowtie^f J$  is local; in particular, we give bounds for its embedding dimension (Proposition 4.1), and we produce classes of rings  $A \bowtie^f J$  satisfying the upper or the lower bound (Proposition 4.3 and Theorem 4.4). In the last section, we study when  $A \bowtie^f J$  is a Cohen–Macaulay or a Gorenstein ring (Remarks 5.1 and 5.4 and Proposition 5.5). Moreover, when  $A \bowtie^f J$  is Cohen–Macaulay, we determine its multiplicity (Proposition 5.8).

## 2. THE PRIME SPECTRUM

Before beginning a systematic study of the ring  $A \bowtie^f J$ , we recall from our introductory article to the subject [10] the notation that we will use in the present article and some basic properties of this construction.

**Proposition 2.1** ([10, Proposition 5.1]). *Let  $f : A \rightarrow B$  be a ring homomorphism and  $J$  an ideal of  $B$ , and set  $A \bowtie^f J := \{(a, f(a) + j) \mid a \in A, j \in J\}$ .*

- (1) *Let  $\iota := \iota_{A,f,J} : A \rightarrow A \bowtie^f J$  be the natural ring homomorphism defined by  $\iota(a) := (a, f(a))$ , for all  $a \in A$ . The map  $\iota$  is an embedding, making  $A \bowtie^f J$  a ring extension of  $A$ .*
- (2) *Let  $I$  be an ideal of  $A$ , and set  $I \bowtie^f J := \{(i, f(i) + j) \mid i \in I, j \in J\}$ . Then,  $I \bowtie^f J$  is an ideal of  $A \bowtie^f J$ , the composition of canonical homomorphisms  $A \xhookrightarrow{\iota} A \bowtie^f J \twoheadrightarrow (A \bowtie^f J)/(I \bowtie^f J)$  is a surjective ring homomorphism and its kernel coincides with  $I$ .*

- (3) Let  $p_A : A \bowtie^f J \rightarrow A$  and  $p_B : A \bowtie^f J \rightarrow B$  be the natural projections of  $A \bowtie^f J \subseteq A \times B$  into  $A$  and  $B$ , respectively. Then,  $p_A$  is surjective and  $\text{Ker}(p_A) = \{0\} \times J$ . Moreover,  $p_B(A \bowtie^f J) = f(A) + J$  and  $\text{Ker}(p_B) = f^{-1}(J) \times \{0\}$ .
- (4) Let  $\gamma : A \bowtie^f J \rightarrow (f(A) + J)/J$  be the natural ring homomorphism, defined by  $(a, f(a) + j) \mapsto f(a) + J$ . Then,  $\gamma$  is surjective and  $\text{Ker}(\gamma) = f^{-1}(J) \times J$ .

Let  $f : A \rightarrow B$  be a ring homomorphism and  $J$  an ideal of  $B$ . In the present article, we intend to further investigate the algebraic properties of the ring  $A \bowtie^f J$ , in relation with those of  $A$ ,  $B$ ,  $J$ , and  $f$ . Recall that, in [10], we have shown that the ring  $A \bowtie^f J$  can be represented as a pullback of natural ring homomorphisms and, using the notion of ring retraction, we have characterized which type of pullbacks are exactly of the form  $A \bowtie^f J$ . In this article, we will make an extensive use of that idea for deepening the study of the ring  $A \bowtie^f J$ .

## Remark 2.2.

- (a) Recall that, if  $\alpha : A \rightarrow C$ ,  $\beta : B \rightarrow C$  are ring homomorphisms, the subring  $D := \alpha \times_C \beta := \{(a, b) \in A \times B \mid \alpha(a) = \beta(b)\}$  of  $A \times B$  is called the *pullback* (or *fiber product*) of  $\alpha$  and  $\beta$ . We denote by  $p_A$  (respectively,  $p_B$ ) the restriction to  $\alpha \times_C \beta$  of the projection of  $A \times B$  onto  $A$  (respectively,  $B$ ).

The following statement is a straightforward consequence of the definitions: Let  $f : A \rightarrow B$  be a ring homomorphism and  $J$  be an ideal of  $B$ . If  $\pi : B \rightarrow B/J$  is the canonical projection and  $\tilde{f} := \pi \circ f$ , then  $A \bowtie^f J = \tilde{f} \times_{B/J} \pi$ .

- (b) Recall that a ring homomorphism  $r : B \rightarrow A$  is called a *ring retraction* if there exists an (injective) ring homomorphism  $i : A \rightarrow B$  such that  $r \circ i = id_A$ . In this case, we say also that  $A$  is a *retract* of  $B$ . By [10, Remark 4.6], with the previous notation, we have that  $A$  is a retract of  $A \bowtie^f J$  and the map  $p_A : A \bowtie^f J \rightarrow A$ , defined in Proposition 2.1(3), is a ring retraction. In fact, we have  $p_A \circ \iota = id_A$ , where  $\iota$  is the ring embedding of  $A$  into  $A \bowtie^f J$  (Proposition 2.1(1)).
- (c) The pullbacks of the form  $A \bowtie^f J$  form a distinguished subclass of the class of pullbacks of ring homomorphisms, as described in [10, Proposition 4.7]. Let  $A, B, C, \alpha, \beta, p_A, p_B$  be as in (a). Then,  $p_A : D (= \alpha \times_C \beta) \rightarrow A$  is a ring retraction if and only if there exists an ideal  $J$  of  $B$  and a ring homomorphism  $f : A \rightarrow B$  such that  $D \cong A \bowtie^f J$ .
- (d) Note that, using the notation in (a), we are not making any assumption on the ring homomorphism  $\alpha : A \rightarrow C$  nor on the homomorphism  $\tilde{f} := \pi \circ f : A \rightarrow B/J$ . In [1] the authors consider a new construction, called *connected sum of local rings*, obtained by taking a quotient of a pullback for which both homomorphisms  $\alpha$  and  $\beta$  are surjective. A particular case of this type of pullback is the *amalgamated duplication*  $A \bowtie I$ , where  $A$  is a local ring and  $I$  an ideal of  $A$  (see [12] and [13]).
- (e) Note that the amalgamation  $A \bowtie^f J$ , even in the local case, may not be fully reconducted to a pullback for which both the homomorphisms  $\alpha$  and  $\beta$  are surjective. However, changing the data, and considering  $B' := f(A) + J$ ,  $J$  as an ideal of  $B'$ , and  $f' : A \rightarrow B'$  acting as  $f$ , it is easy to see that  $A \bowtie^f J = A \bowtie^{f'} J$  and  $A \bowtie^{f'} J$  is a pullback of  $\pi' : B' \rightarrow B'/J$  and  $\tilde{f}' := \pi' \circ f' : A \rightarrow B'/J$  (i.e.,  $A \bowtie^{f'} J = \tilde{f}' \times_{B'/J} \pi'$ ), which are now both surjective. But, this is only apparently a simplification of the given construction, since the problem of studying  $A \bowtie^f J$

from the data  $A, B, J, f$  is transformed into the problem of studying  $A \rtimes^{f'} J$  and the ring inclusion  $f(A) + J \hookrightarrow B$ , and the last problem presents the same level of complexity of a direct investigation of the given construction (see for instance [10, Section 5] and [11, Section 4]).

Let  $f: A \rightarrow B$  be a ring homomorphism, and set  $X := \text{Spec}(A)$ ,  $Y := \text{Spec}(B)$ . Recall that  $f^*: Y \rightarrow X$  denotes the continuous map (with respect to the Zariski topologies) naturally associated to  $f$  (i.e.,  $f^*(Q) := f^{-1}(Q)$  for all  $Q \in Y$ ). Let  $S$  be a subset of  $A$ . Then, as usual,  $V_X(S)$ , or simply  $V(S)$ , if no confusion can arise, denotes the closed subspace of  $X$ , consisting of all prime ideals of  $A$  containing  $S$ .

In the next lemma we recall the notation and some basic properties of pullback constructions that we will use in the present article. We refer to the article by Fontana [17], since the subsequent work on pullbacks by Facchini [16] and, in the Noetherian setting, those by Ogoma [23] is not relevant to our study.

**Lemma 2.3** ([17, Theorem 1.4]). *With the notation of Remark 2.2 (a), set  $X := \text{Spec}(A)$ ,  $Y := \text{Spec}(B)$ ,  $Z := \text{Spec}(C)$ , and  $W := \text{Spec}(D)$ . Assume that  $\beta$  is surjective. Then, the following statements hold:*

- (1) *If  $H \in W \setminus V(\text{Ker}(p_A))$ , then there is a unique prime ideal  $Q$  of  $B$  such that  $p_B^{-1}(Q) = H$ . Moreover,  $Q \in Y \setminus V(\text{Ker}(\beta))$  and  $D_H \cong B_Q$ , under the canonical homomorphism induced by  $p_B$ .*
- (2) *The continuous map  $p_A^*$  is a closed embedding of  $X$  into  $W$ . Thus  $X$  is homeomorphic to its image,  $V(\text{Ker}(p_A))$ , under  $p_A^*$ .*
- (3) *The restriction of the continuous map  $p_B^*$  to  $Y \setminus V(\text{Ker}(\beta))$  is an homeomorphism of  $Y \setminus V(\text{Ker}(\beta))$  with  $W \setminus V(\text{Ker}(p_A))$  (hence, a fortiori, it is an isomorphism of partially ordered sets).*

*In particular, the prime ideals of  $D$  are of the type  $p_A^{-1}(P)$  or  $p_B^{-1}(Q)$ , where  $P$  is any prime ideal of  $A$  and  $Q$  is a prime ideal of  $B$ , with  $Q \not\subseteq \text{Ker}(\beta)$ .*

The following corollary is a direct consequence of Lemma 2.3.

**Corollary 2.4.** *With the notation of Remark 2.2 (a), assume that  $\beta$  is surjective. Let  $H$  be a prime ideal of  $D$  ( $= \alpha \times_c \beta$ ).*

- (1) *Assume that  $H$  contains  $\text{Ker}(p_A)$ . Let  $P$  be the only prime ideal of  $A$  such that  $H = p_A^*(P)$  (Lemma 2.3(2)). Then,  $H$  is a maximal ideal of  $D$  if and only if  $P$  is a maximal ideal of  $A$ .*
- (2) *Assume that  $H$  does not contain  $\text{Ker}(p_A)$ . Let  $Q$  be the only prime ideal of  $B$  ( $Q \notin V(\text{Ker}(\beta))$ ) such that  $p_B^*(Q) = H$  (Lemma 2.3(1)). Then,  $H$  is a maximal ideal of  $D$  if and only if  $Q$  is a maximal ideal of  $B$ .*
- (3)  *$D$  ( $= \alpha \times_c \beta$ ) is a local ring if and only if  $A$  is a local ring and  $\text{Ker}(\beta)$  is contained in the Jacobson radical  $\text{Jac}(B)$ . In particular, if  $A$  and  $B$  are local rings, then  $D$  is a local ring. Moreover, if  $D$  is a local ring and  $M$  is the only maximal ideal of  $A$ , then  $\{p_A^{-1}(M)\} = \text{Max}(D)$ .*

As a consequence of the previous results, we can now easily describe the structure of the prime spectrum of the ring  $A \bowtie^f J$ . The details of the proof are omitted.

**Corollary 2.5.** *With the notation of Proposition 2.1, set  $X := \text{Spec}(A)$ ,  $Y := \text{Spec}(B)$ , and  $W := \text{Spec}(A \bowtie^f J)$ ,  $J_0 := \{0\} \times J \subseteq A \bowtie^f J$ , and  $J_1 := f^{-1}(J) \times \{0\}$ . For all  $P \in X$  and  $Q \in Y$ , set*

$$P^f := P \bowtie^f J := \{(p, f(p) + j) \mid p \in P, j \in J\},$$

$$\overline{Q}^f := \{(a, f(a) + j) \mid a \in A, j \in J, f(a) + j \in Q\}.$$

Then, the following statements hold:

- (1) The map  $P \mapsto P^f$  establishes a closed embedding of  $X$  into  $W$ , so its image, which coincides with  $V(J_0)$ , is homeomorphic to  $X$ .
- (2) The map  $Q \mapsto \overline{Q}^f$  is a homeomorphism of  $Y \setminus V(J)$  onto  $W \setminus V(J_0)$ .
- (3) The prime ideals of  $A \bowtie^f J$  are of the type  $P^f$  or  $\overline{Q}^f$ , for  $P$  varying in  $X$  and  $Q$  in  $Y \setminus V(J)$ .
- (4)  $W = V(J_0) \cup V(J_1)$  and the set  $V(J_0) \cap V(J_1)$  is homeomorphic to  $\text{Spec}((f(A) + J)/J)$ , via the continuous map associated to the natural ring homomorphism  $\gamma : A \bowtie^f J \rightarrow (f(A) + J)/J$ ,  $(a, f(a) + j) \mapsto f(a) + J$ . In particular, we have that the closed subspace  $V(J_0) \cap V(J_1)$  of  $W$  is homeomorphic to the closed subspace  $V(J)$  of  $Y (= \text{Spec}(B))$ , when  $f$  is surjective.

The following example provides a geometrical illustration of some of the material presented above.

**Example 2.6.** Let  $K$  be an algebraically closed field and  $X, Y$  two indeterminates over  $K$ . Set  $A := K[X, Y]$ ,  $B := K[X]$ , and  $f : K[X, Y] \rightarrow K[X]$  defined by  $Y \mapsto 0$  and  $X \mapsto X$ . Let  $J := XK[X]$ . We want to study the ring  $K[X, Y] \bowtie^f J$  (note that, from a geometrical point of view,  $f^*$  determines the inclusion of the line defined by the equation  $Y = 0$  into the affine space  $\mathbb{A}_K^2$ .)

According to the notation of Corollary 2.5, we have  $V(J_1) \cong \text{Spec}(K[Y])$ . Moreover, the projection  $p_b$  of  $A \bowtie^f J$  into  $B$  is surjective, since  $f$  is surjective, and its kernel is  $J_1$  (see Proposition 2.1). Thus  $\text{Spec}(A \bowtie^f J/J_1) \cong V(J_1) \cong \text{Spec}(B) = \text{Spec}(K[X])$ . We have also  $V(J_1) \cap V(J_2) \cong \text{Spec}(B/J) = \text{Spec}(K)$ , by Corollary 2.5(4). Then,  $A \bowtie^f J$  is the coordinate ring of the union of a plane (i.e.,  $\text{Spec}(K[X, Y])$ ) and a line (i.e.,  $\text{Spec}(K[X])$ ) with one common point (i.e.,  $\text{Spec}(K)$ ). Note that, in this case, the ring  $A \bowtie^f J$  can be also presented by a quotient of a polynomial ring. Indeed, since  $f$  is surjective and  $B/J \cong K$ , by a standard argument we easily obtain that  $A \bowtie^f J$  is isomorphic to  $K[X, Y, Z]/(ZX, YZ)$ .

If we specialize Corollary 2.4 to the case of the construction  $A \bowtie^f J$ , then we obtain the following corollary.

**Corollary 2.7.** *We preserve the notation of Corollary 2.5.*

- (1) Let  $P \in X = \text{Spec}(A)$ . Then,  $P^f$  is a maximal ideal of  $A \bowtie^f J$  if and only if  $P$  is a maximal ideal of  $A$ .

- (2) Let  $Q$  be a prime ideal of  $B$  not containing  $J$ . Then,  $\overline{Q}^f$  is a maximal ideal of  $A \bowtie^f J$  if and only if  $Q$  is a maximal ideal of  $B$ . In particular,  $\text{Max}(A \bowtie^f J) = \{P'^f \mid P \in \text{Max}(A)\} \cup \{\overline{Q}^f \mid Q \in \text{Max}(B) \setminus V(J)\}$ .
- (3)  $A \bowtie^f J$  is a local ring if and only if  $A$  is a local ring and  $J \subseteq \text{Jac}(B)$ . In particular, if  $M$  is the unique maximal ideal of  $A$ , then  $M'^f = M \bowtie^f J$  is the unique maximal ideal of  $A \bowtie^f J$ .

The following result, whose proof is straightforward, provides a description of the minimal prime ideals of  $A \bowtie^f J$ .

**Corollary 2.8.** *With the notation of Corollary 2.5, set*

$$\mathcal{X} := \mathcal{X}_{(f,J)} := \bigcup_{Q \in \text{Spec}(B) \setminus V(J)} V(f^{-1}(Q + J))$$

*The following properties hold:*

- (1) *The map  $Q \mapsto \overline{Q}^f$  establishes a homeomorphism of  $\text{Min}(B) \setminus V(J)$  with  $\text{Min}(A \bowtie^f J) \setminus V(J_0)$ ;*
- (2) *The map  $P \mapsto P'^f$  establishes a homeomorphism of  $\text{Min}(A) \setminus \mathcal{X}$  with  $\text{Min}(A \bowtie^f J) \cap V(J_0)$ .*

After describing the topological and ordering properties of the prime spectrum of the ring  $A \bowtie^f J$ , we now describe the localizations of  $A \bowtie^f J$  at each of its prime ideals.

**Proposition 2.9.** *With the notation of Proposition 2.1 and Corollary 2.5, the following statements hold:*

- (1) *For any prime ideal  $Q \in Y \setminus V(J)$ , the ring  $(A \bowtie^f J)_{\overline{Q}^f}$  is canonically isomorphic to  $B_Q$ ;*
- (2) *For any prime ideal  $P \in X \setminus V(f^{-1}(J))$ , the localization  $(A \bowtie^f J)_{P'^f}$  is canonically isomorphic to  $A_P$ ;*
- (3) *Let  $P$  be a prime ideal of  $A$  containing  $f^{-1}(J)$ . Consider the multiplicative subset  $S := S_{(f,P,J)} := f(A \setminus P) + J$  of  $B$ , and set  $B_S := S^{-1}B$  and  $J_S := S^{-1}J$ . If  $f_P : A_P \longrightarrow B_S$  is the ring homomorphism induced by  $f$ , then the ring  $(A \bowtie^f J)_{P'^f}$  is canonically isomorphic to  $A_P \bowtie^{f_P} J_S$ .*

**Proof.** Keeping in mind the fiber product structure of  $A \bowtie^f J$ , (1) follows from Lemma 2.3 and (2) is straightforward. From the last part of Remark 2.2(a), we infer that, if  $f_P : A_P \longrightarrow B_S/J_S$  is the ring homomorphism induced by  $f_P$  and if  $\pi_{(P)} : B_S \longrightarrow B_S/J_S$  is the canonical projection, then  $A_P \bowtie^{f_P} J_S$  is isomorphic to the fiber product  $f_P \times_{B_S/J_S} \pi_{(P)}$ . Moreover, it is easily verified that  $p_A(A \bowtie^f J \setminus P'^f) = A \setminus P$  and  $p_B(A \bowtie^f J \setminus P'^f) = S$ . Then statement (3) follows from [17, Proposition 1.9].  $\square$

### 3. EXTENSION OF IDEALS OF $A$ TO $A \bowtie^f J$

In this section we pursue the study of the ideal-theoretic structure of the amalgamation  $A \bowtie^f J$ .

**Proposition 3.1.** *We preserve the notation of Proposition 2.1 and Corollary 2.5. The following properties hold:*

- (1) *If  $I$  (respectively,  $H$ ) is an ideal of  $A$  (respectively, of  $f(A) + J$ ) such that  $f(I)J \subseteq H \subseteq J$ , then  $I \bowtie^f H := \{(i, f(i) + h) \mid i \in I, h \in H\}$  is an ideal of  $A \bowtie^f J$ .*
- (2) *If  $I$  is an ideal of  $A$ , then the extension  $I(A \bowtie^f J)$  of  $I$  to  $A \bowtie^f J$  coincides with  $I \bowtie^f (f(I)B)J := \{(i, f(i) + \beta) \mid i \in I, \beta \in (f(I)B)J\}$ .*
- (3) *If  $I$  is an ideal of  $A$  such that  $f(I)B = B$ , then  $I(A \bowtie^f J) = I'^f = \{(i, f(i) + j) \mid i \in I, j \in J\} = I \bowtie^f J$ .*

*Proof.* (1) is straightforward. (2). Set  $I_0 := I \bowtie^f (f(I)B)J$ . By applying (1) to  $H := (f(I)B)J$ , it follows that  $I_0$  is an ideal of  $A \bowtie^f J$  and, by definition,  $I_0 \supseteq \iota(I) (= \{(i, f(i)) \mid i \in I\})$ . Now, let  $L$  be an ideal of  $A \bowtie^f J$  containing  $\iota(I)$ , and let  $(i, f(i) + \beta) \in I_0$  (where  $i \in I$  and  $\beta \in (f(I)B)J$ ). Therefore, we can find  $\alpha_1, \alpha_2, \dots, \alpha_n \in I$ ,  $b_1, b_2, \dots, b_n \in J$  such that  $\beta = \sum_{k=1}^n f(\alpha_k)b_k$ . Since,  $(i, f(i)), (\alpha_1, f(\alpha_1)), (\alpha_2, f(\alpha_2)), \dots, (\alpha_n, f(\alpha_n)) \in \iota(I) \subseteq L$ , then

$$(i, f(i) + \beta) = (i, f(i)) + \sum_{k=1}^n (\alpha_k, f(\alpha_k))(0, b_k) \in L.$$

and so  $I_0 \subseteq L$ . The proof of (2) is now complete. (3) follows immediately from (2).  $\square$

**Corollary 3.2.** *Let  $A$  be a local ring with maximal ideal  $M$ , let  $f: A \rightarrow B$  be a ring homomorphism, and let  $J$  be an ideal of  $B$  such that  $f^{-1}(Q) \neq M$ , for each  $Q \in \text{Spec}(B) \setminus V(J)$ . If  $I$  is an ideal of  $A$  whose radical is  $M$ , then the radical of  $I(A \bowtie^f J)$  is  $M'^f (= M \bowtie^f J)$ .*

*Proof.* Suppose that  $P$  is a prime ideal of  $A$  such that  $P'^f \supseteq I(A \bowtie^f J)$ . It follows immediately that  $I \subseteq P$  and thus  $P = M$ , by assumption. Suppose now that  $I(A \bowtie^f J) \subseteq \overline{Q}^f$ , for some  $Q \in \text{Spec}(B) \setminus V(J)$ . From Proposition 3.1(2) and the definition of  $\overline{Q}^f$ , we deduce that  $(f(I)B)J \subseteq Q$  and, in particular,  $f(I) \subseteq Q$ , i.e.,  $I \subseteq f^{-1}(Q)$ ; therefore, by assumption,  $f^{-1}(Q) = M$ , which is a contradiction. This means that the unique prime ideal of  $A \bowtie^f J$  containing  $I(A \bowtie^f J)$  is  $M'^f$ .  $\square$

**Remark 3.3.** Notice that, in case  $J$  is finitely generated as  $A$ -module and it is contained in the Jacobson radical of  $B$ , for every prime  $Q$  of  $B$  not containing  $J$ , we have  $f^{-1}(Q) \neq M$ . In fact, if we had  $f^{-1}(Q) = M$ , we would have  $f(M) \subseteq Q$ , which implies  $J/QJ$  is finite dimensional as  $A/M$ -vector space; now,  $J \not\subseteq Q$  and  $Q$  is a prime ideal, so if  $j \in J \setminus Q$ , then  $j^n \in J \setminus Q$ , for every integer  $n \geq 1$  and, since  $J \subseteq \text{Jac}(B)$ , it is not difficult to check that the images of the elements  $j, j^2, \dots, j^n$  in  $J/QJ$  are linearly independent over  $A/M$  for any  $n$ , which is a contradiction.

In particular, if  $J$  is finitely generated as  $A$ -module and it is contained in the Jacobson radical of  $B$ , the extension in  $A \bowtie^f J$  of any  $M$ -primary ideal of  $A$  is  $M \bowtie^f J$ -primary.

#### 4. THE EMBEDDING DIMENSION OF $A \bowtie^f J$

Let  $A$  be a ring and  $I$  be an ideal of  $A$ . If  $I$  is finitely generated, we denote, as usual, by  $v(I)$  the minimum number of generators of the ideal  $I$ . Assume that  $A$  is

a local ring and that  $M$  is its maximal ideal. Set  $k := A/M$ . If we suppose that  $M$  is finitely generated, we call the *embedding dimension of  $A$*  the natural number

$$\text{embdim}(A) := v(M) = \dim_k(M/M^2).$$

We give next some bounds for the embedding dimension of  $A \bowtie^f J$ , when this ring is local with finitely generated maximal ideal.

**Proposition 4.1.** *We preserve the notation of Proposition 2.1. Assume that  $A$  is a local ring with maximal ideal  $M$  and that the ideal  $J$  is contained in the Jacobson radical  $\text{Jac}(B)$ . The following statements hold:*

- (1) *If  $A \bowtie^f J$  has finitely generated maximal ideal, then  $A$  has also finitely generated maximal ideal and*

$$\text{embdim}(A) \leq \text{embdim}(A \bowtie^f J).$$

- (2) *If  $A$  has finitely generated maximal ideal and  $J$  is finitely generated, then  $A \bowtie^f J$  has finitely generated maximal ideal and*

$$\text{embdim}(A \bowtie^f J) \leq \text{embdim}(A) + v(J).$$

**Proof.** By using Corollary 2.7(3), it follows that  $A \bowtie^f J$  is a local ring with maximal ideal  $M'^f := M \bowtie^f J := \{(m, f(m) + j) \mid m \in M, j \in J\}$ .

- (1) It suffices to note that, if  $\{\mathbf{x}_1, \mathbf{x}_2, \dots, \mathbf{x}_n\}$  is a finite set of generators of  $M'^f$ , then  $\{p_A(\mathbf{x}_i) \mid i = 1, 2, \dots, n\}$  is a finite set of generators of  $M$ .

- (2) Let  $m_1, m_2, \dots, m_r \in M$  and  $j_1, j_2, \dots, j_s \in J$  be elements such that  $M = (m_1, m_2, \dots, m_r)$  and  $J = (j_1, j_2, \dots, j_s)$ , with  $v(M) = r$  and  $v(J) = s$ . It follows immediately that  $\{(m_\lambda, f(m_\lambda)); (0, j_\mu) \mid 1 \leq \lambda \leq r, 1 \leq \mu \leq s\}$  is a set of generators of  $M \bowtie^f J$ . Therefore,  $\text{embdim}(A \bowtie^f J) \leq \text{embdim}(A) + v(J)$ .  $\square$

In the next example, we will provide a ring homomorphism  $f: A \rightarrow B$  and an ideal  $J \neq (0)$  of  $B$  such that  $\text{embdim}(A) = \text{embdim}(A \bowtie^f J) < \text{embdim}(A) + v(J)$ .

**Example 4.2.** Let  $p$  be a prime number and  $T$  be an indeterminate over  $\mathbb{Q}$ , and set  $A := \mathbb{Z}_{(p)}$ ,  $B := \mathbb{Q}[[T]]$ ,  $J := TB$ . By [10, Example 2.6], the ring  $S := A + TB$  is naturally isomorphic to  $A \bowtie^f J$ , where  $\iota: A \rightarrow B$  is the inclusion. It is easy to see that  $S$  is a 2-dimensional valuation domain whose maximal ideal  $N := p\mathbb{Z}_{(p)} + TB$  is principal (namely,  $N = pS$ ). It follows that  $\text{embdim}(A) = \text{embdim}(A \bowtie^f J) = 1 < \text{embdim}(A) + v(J) = 2$ .

The previous example is a particular case of the following result.

**Proposition 4.3.** *We preserve the notation of Proposition 2.1 and Corollary 2.5. Assume that  $A$  is a local ring with finitely generated maximal ideal  $M$  satisfying the property  $f(M)B = B$ . Then, for every ideal  $J$  of  $B$  contained in the Jacobson radical of  $B$ , the amalgamation  $A \bowtie^f J$  is a local ring with finitely generated maximal ideal, and*

$$\text{embdim}(A) = \text{embdim}(A \bowtie^f J).$$

*Proof.* Let  $r := \text{embdim}(A)$ , and let  $\{m_1, m_2, \dots, m_r\}$  be a minimal set of generators for  $M$ . By Corollary 2.7(3),  $A \bowtie^f J$  is a local ring with maximal ideal  $M'^f := \{(m, f(m) + j) \mid m \in M, j \in J\}$  and, applying Proposition 3.1(3), we get the equality  $M'^f = M(A \bowtie^f J)$ . It follows immediately that  $\{(m_1, f(m_1)), (m_2, f(m_2)), \dots, (m_r, f(m_r))\}$  is a finite set of generators for  $M'^f$  and, thus,  $\text{embdim}(A \bowtie^f J) \leq r := \text{embdim}(A)$ . Now, the conclusion is an immediate consequence of Proposition 4.1(1).  $\square$

The next result will provide a relevant class of rings obtained by amalgamation satisfying the equality  $\text{embdim}(A \bowtie^f J) = \text{embdim}(A) + v(J)$ .

**Theorem 4.4.** *We preserve the notation of Proposition 2.1. Suppose that  $A$  is a local ring with finitely generated maximal ideal  $M$ , and that  $J$  is a finitely generated ideal of  $B$ . If  $f(M)B \subseteq \text{Jac}(B)$  and  $J \subseteq \text{Jac}(B)$ , then  $A \bowtie^f J$  is a local ring with finitely generated maximal ideal, and*

$$\text{embdim}(A \bowtie^f J) = \text{embdim}(A) + v(J).$$

*Proof.* Let  $\{m_1, m_2, \dots, m_r\} \subseteq M$ , and  $\{j_1, j_2, \dots, j_s\} \subseteq J$  be sets of generators of  $M$  and  $J$ , respectively, such that  $v(M) = r$  and  $v(J) = s$ . By Proposition 4.1 and its proof it follows immediately the inequality  $\text{embdim}(A \bowtie^f J) \leq \text{embdim}(A) + v(J)$  and, more precisely, that  $G' := \{(m_\lambda, f(m_\lambda)); (0, j_\mu) \mid 1 \leq \lambda \leq r, 1 \leq \mu \leq s\}$  is a set of generators of the maximal ideal  $M' := M'^f = M \bowtie^f J$  of  $A \bowtie^f J$ . Notice that  $\mathbf{k}$ , the residue field of  $A$ , coincide with the residue field of  $A \bowtie^f J$  (see Proposition 2.1(2)). Then, to get the equality  $\text{embdim}(A \bowtie^f J) = \text{embdim}(A) + v(J)$  it suffices to show that the image  $\overline{G'}$  of  $G'$  in  $M'/M'^2$  is a basis of  $M'/M'^2$  as a  $\mathbf{k}$ -vector space. Obviously, it is enough to check that  $\overline{G'}$  is linearly independent. Pick  $a_1, a_2, \dots, a_r, \alpha_1, \alpha_2, \dots, \alpha_s \in A$  such that

$$\sum_{\lambda=1}^r [a_\lambda]_M [(m_\lambda, f(m_\lambda))]_{M'^2} + \sum_{\mu=1}^s [\alpha_\mu]_M [(0, j_\mu)]_{M'^2} = 0. \quad (\star)$$

In other words, we have

$$\left( \sum_{\lambda=1}^r a_\lambda m_\lambda, \sum_{\lambda=1}^r f(a_\lambda m_\lambda) + \sum_{\mu=1}^s f(\alpha_\mu) j_\mu \right) \in M'^2$$

and, in particular,  $\sum_{\lambda=1}^r a_\lambda m_\lambda \in M^2$ . Since  $r = v(M)$ , it is easy to see that  $a_\lambda \in M$ , for every  $\lambda = 1, 2, \dots, r$ . Thus, by  $(\star)$ , we have  $\sum_{\mu=1}^s [\alpha_\mu]_M [(0, j_\mu)]_{M'^2} = 0$  and so

$$\left( 0, \sum_{\mu=1}^s f(\alpha_\mu) j_\mu \right) \in M'^2.$$

This means that  $(0, \sum_{\mu=1}^s f(\alpha_\mu) j_\mu)$  is a finite sum of elements of the form  $(m, f(m) + j)(n, f(n) + \ell)$ , where  $m, n \in M$  and  $j, \ell \in J$ . Then, an easy computation shows that  $\sum_{\mu=1}^s f(\alpha_\mu) j_\mu$  is a finite sum of elements of the form  $f(m)\ell + f(n)j + j\ell$  and thus the element  $b := \sum_{\mu=1}^s f(\alpha_\mu) j_\mu \in (f(M)B)J + J^2 \subseteq \text{Jac}(B)J$ . Suppose, by contradiction,

that some coefficient  $\alpha_\mu \in A \setminus M$ , say  $\alpha_1$ , and let  $\beta_1$  denote the inverse of  $f(\alpha_1)$  in  $B$ . Then  $\beta_1 b \in \text{Jac}(B)J$ , and thus there are elements  $l_1, l_2, \dots, l_s \in \text{Jac}(B)$  such that

$$\beta_1 b = j_1 + \sum_{\mu=2}^s \beta_1 f(\alpha_\mu) j_\mu = \sum_{\mu=1}^s l_\mu j_\mu.$$

This shows that  $(1 - l_1)j_1 \in (j_2, \dots, j_s)B$ , and hence, keeping in mind that  $l_1 \in \text{Jac}(B)$ , we have  $j_1 \in (j_2, \dots, j_s)B$ , a contradiction. Thus  $\alpha_\mu \in M$  for  $\mu = 1, 2, \dots, s$ . The proof is now complete.  $\square$

As an application, we obtain the following corollary.

**Corollary 4.5.** *Let  $A$  be a local ring with finitely generated maximal ideal, and let  $I$  be a finitely generated proper ideal of  $A$ . Then, the duplicated amalgamation  $A \bowtie I$  of  $A$  along  $I$  is a local ring with finitely generated maximal ideal, and furthermore  $\text{embdim}(A \bowtie I) = \text{embdim}(A) + v(I)$ .*

*Proof.* Apply [10, Example 2.4] and Proposition 4.4.  $\square$

Now we give an example of a local amalgamation satisfying the following proper inequalities

$$\text{embdim}(A) < \text{embdim}(A \bowtie^f J) < \text{embdim}(A) + v(J).$$

**Example 4.6.** Let  $K$  be a field and  $X, Y, T, U, V$  be analytically independent indeterminates over  $K$ . Set  $A := K[[X, Y]]$  and  $B := K[[T]] \times K[[U]] \times K[[V^2, V^3]]$ , and let  $J$  be the ideal of  $B$  generated by  $(T, U, V^2)$  and  $(T, 0, V^3)$ . Finally, let  $f: A \rightarrow B$  be the ring homomorphism defined by  $X \mapsto (T, U, 1)$ ,  $Y \mapsto (1, U, V^2)$  and  $k \mapsto (k, k, k)$ , for each  $k \in K$ . Thus, the elements of  $A \bowtie^f J$  are of the form

$$\begin{aligned} &(\varphi(X, Y), ((\varphi(T, 1), \varphi(U, U), \varphi(1, V^2)) + (\alpha(T), \beta(U), \gamma(V))(T, U, V^2) \\ &+ (\alpha'(T), \beta'(U), \gamma'(V))(T, 0, V^3))), \end{aligned}$$

where  $\varphi(X, Y) \in K[[X, Y]]$ ,  $\alpha(T), \alpha'(T) \in K[[T]]$ ,  $\beta(U), \beta'(U) \in K[[U]]$ ,  $\gamma(V), \gamma'(V) \in K[[V^2, V^3]]$ . It follows immediately that

$$\begin{aligned} A \bowtie^f J = \{ &(\varphi(X, Y), (\varphi(T, 1) + T\tilde{\alpha}(T), \varphi(U, U) + U\beta(U), \varphi(1, V^2) + \tilde{\gamma}(V))) | \\ &\varphi \in K[[X, Y]], \tilde{\alpha}(T) \in K[[T]], \beta(U) \in K[[U]], \tilde{\gamma}(V) \in (V^2, V^3)K[[V^2, V^3]] \}. \end{aligned}$$

Obviously,  $J \subseteq \text{Jac}(B)$ , and thus, keeping in mind the proof of Proposition 4.1(2),  $A \bowtie^f J$  is a local ring with maximal ideal  $M'^f$  generated by the set

$$\begin{aligned} G' := \{ &s_1 := (X, (T, U, 1)), s_2 := (Y, (1, U, V^2)), \\ &s_3 := (0, (T, U, V^2)), s_4 := (0, (T, 0, V^3)) \}. \end{aligned}$$

As a set of generators of  $M'^f$ ,  $G'$  is clearly not minimal. As a matter of fact, since  $(0, 0, V^3), (T, 0, 0) \in J$ , it follows that  $(0, (0, 0, V^3)), (0, (T, 0, 0)) \in A \bowtie^f J$  and thus

$$s_4 = (0, (0, 0, V^3))s_1 + (0, (T, 0, 0))s_2 \in (s_1, s_2)A \bowtie^f J.$$

Since the maximal ideal  $(X, Y)A$  is not a principal ideal of  $A$ , we have also  $s_1 \notin (s_2, s_3)A \bowtie^f J$  and  $s_2 \notin (s_1, s_3)A \bowtie^f J$ . We want to show that  $s_3 \notin (s_1, s_2)A \bowtie^f J$ . If not, by definition, there exist elements  $a, a' \in A$ ,  $\alpha, \alpha' \in K[[T]]$ ,  $\beta, \beta' \in K[[U]]$ ,  $\gamma, \gamma' \in (V^2, V^3)K[[V^2, V^3]]$  such that

$$\begin{aligned} s_3 = & (a(X, Y), (a(T, 1) + T\alpha(T), a(U, U) + U\beta(U), a(1, V^2) + \gamma))s_1 \\ & + (a'(X, Y), (a'(T, 1) + T\alpha'(T), a'(U, U) + U\beta'(U), a'(1, V^2) + \gamma'))s_2. \end{aligned}$$

This equality implies, in particular, that  $a(X, Y)X + a'(X, Y)Y = 0$  and thus  $a(U, U) + a'(U, U) = 0$ . Moreover, looking at the third component of the equality, we infer immediately  $a(U, U) + U\beta(U) + a'(U, U) + U\beta'(U) = 1$ . Finally, combining the two previous equalities, we get  $U(\beta(U) + \beta'(U)) = 1$  (in  $K[[U]]$ ), a contradiction. This argument shows that  $\{s_1, s_2, s_3\}$  is a minimal set of generators of  $M'^f$  and so  $\text{embdim}(A \bowtie^f J) = 3$ . Thus, keeping in mind that the ideal  $(V^2, V^3)K[[V^2, V^3]]$  is not principal, it follows immediately that  $v(J) = 2$ . Therefore,

$$2 = \text{embdim}(A) < 3 = \text{embdim}(A \bowtie^f J) < 4 = \text{embdim}(A) + v(J).$$

## 5. COHEN–MACAULAY AND GORENSTEIN PROPERTIES FOR THE RING $A \bowtie^f J$

In this section, assuming that  $A \bowtie^f J$  is local and Noetherian, we investigate the problem of when  $A \bowtie^f J$  is a Cohen–Macaulay (briefly CM) ring or a Gorenstein ring. Moreover, when  $A \bowtie^f J$  is CM, we determine its multiplicity.

**Notation and Assumptions.** Unless explicitly stated to the contrary, we assume as follows:

- $f: A \rightarrow B$  is a ring homomorphism;
- $A$  is Noetherian, local, with maximal ideal  $M$ ;
- $J$  is an ideal of  $B$  contained in the Jacobson radical  $\text{Jac}(B)$  of  $B$ ;
- $J$  is finitely generated as an  $A$ -module.

In this situation (by [10, Proposition 5.7] and by Corollary 2.7(3)) we know that the amalgamated algebra  $A \bowtie^f J$  is a Noetherian local ring, with maximal ideal  $M'^f$ . Moreover, the canonical map  $\iota: A \rightarrow A \bowtie^f J$  is a finite ring embedding, since  $J$  is finitely generated as an  $A$ -module [10, Proposition 5.7], and thus  $\dim(A) = \dim(A \bowtie^f J)$ . Moreover,  $\text{Ann}(A \bowtie^f J) = (0)$ , and hence the dimension of  $A \bowtie^f J$  as  $A$ -module (or, equivalently,  $\dim(A/\text{Ann}(A \bowtie^f J))$ , since  $A \bowtie^f J$  is a finite  $A$ -module) equals the Krull dimension of  $A \bowtie^f J$ .

**Remark 5.1.** We observe that, under the previous assumptions,  $A \bowtie^f J$  is a CM ring if and only if it is a CM  $A$ -module if and only if  $J$  is a maximal CM  $A$ -module.

As a matter of fact, since the embedding  $\iota : A \hookrightarrow A \bowtie^f J$  is finite, by [7, Exercise 1.2.26(b)] we have  $\text{depth}_A(A \bowtie^f J) = \text{depth}(A \bowtie^f J)$ , and thus, by the discussion above,  $A \bowtie^f J$  is a CM ring if and only if  $A \bowtie^f J$  is a CM  $A$ -module. Since  $A \bowtie^f J$  is isomorphic as an  $A$ -module to  $A \oplus J$ , it follows that

$$\text{depth}_A(A \bowtie^f J) = \text{depth}(A \oplus J) = \min\{\text{depth}(J), \text{depth}(A)\} = \text{depth}(J)$$

and, therefore,  $A \bowtie^f J$  is a CM  $A$ -module if and only if  $J$  is a CM  $A$ -module of dimension equal to  $\dim(A)$  (that is, if and only if  $J$  is a maximal CM  $A$ -module).

**Remark 5.2.** If  $J$  is not finitely generated as  $A$ -module, it is more problematic to find conditions implying  $A \bowtie^f J$  CM. One can get more information if the embedding  $\iota : A \rightarrow A \bowtie^f J$  is flat (or, equivalently, if the  $A$ -module  $J$  is flat). In this case,  $A \bowtie^f J$  is CM if and only if both  $A$  and  $A \bowtie^f J/M(A \bowtie^f J)$  are CM [7, Theorem 2.1.7]. As an example, set  $A := k[[X]]$ ,  $B := k[[X, Y]]$  (where  $k$  is a field), and let  $J := M := (X, Y)$  be the maximal ideal of  $B$ . Let  $f : A \hookrightarrow B$  be the inclusion. Clearly,  $J = \prod_{n \geq 1} f(A)Y^n$  is flat as an  $A$ -module. Moreover, both  $A \bowtie^f J$ , which is isomorphic to  $k[[X, Y, Z]]/(Y, Z) \cap (X - Y)$ , and  $A \bowtie^f J/M(A \bowtie^f J)$ , which is isomorphic to  $k[[Y, Z]]/(Y^2, YZ)$ , are not CM.

In order to study when  $A \bowtie^f J$  is a Gorenstein ring, we need to look at  $A$  endowed with a natural structure of an  $A \bowtie^f J$ -module.

The next proposition holds in general, without assuming the additional hypotheses on  $A$ , stated at the beginning of the section.

**Proposition 5.3.** *Preserve the notation of Proposition 2.1, and consider the natural map  $\Lambda : f^{-1}(J) \rightarrow \text{Hom}_{A \bowtie^f J}(A, A \bowtie^f J)$ , where  $\Lambda(x) := \lambda_x : A \rightarrow A \bowtie^f J$  is the  $A \bowtie^f J$ -linear map defined by  $\lambda_x(a) := (ax, 0)$ , for each  $a \in A$  and  $x \in f^{-1}(J)$ . Then,  $\Lambda$  is an  $A$ -linear embedding and  $\Lambda$  is surjective if and only if  $\text{Ann}_{f(A)+J}(J) = (0)$ .*

**Proof.** The fact that  $\Lambda$  is an  $A$ -linear embedding is straightforward. Assume  $\text{Ann}_{f(A)+J}(J) = (0)$ . Fix now a  $A \bowtie^f J$ -linear map  $g : A \rightarrow A \bowtie^f J$  and the elements  $a_0 \in A$  and  $j_0 \in J$  such that  $(a_0, f(a_0) + j_0) = g(1)$ . For each  $j \in J$ , by definition,  $(1, 1 + j) \cdot 1 = 1$ , hence  $g(1) = g((1, 1 + j) \cdot 1) = (1, 1 + j)g(1) = (a_0, f(a_0) + j_0 + j(f(a_0) + j_0))$ , and thus  $j(f(a_0) + j_0) = 0$ . This proves that  $f(a_0) + j_0 \in \text{Ann}_{f(A)+J}(J)$  and so, by hypothesis,  $f(a_0) + j_0 = 0$ . In particular,  $a_0 \in f^{-1}(J)$  and  $\Lambda(a_0) = \lambda_{a_0} = g$ . Conversely, assume that  $\Lambda$  is surjective, take an element  $f(a_0) + j_0 \in \text{Ann}_{f(A)+J}(J)$ , with  $a_0 \in A$  and  $j_0 \in J$ , and consider the map  $\varphi : A \rightarrow A \bowtie^f J$  defined by  $\varphi(a) := (a, f(a))(a_0, f(a_0) + j_0)$ , for each  $a \in A$ . Of course,  $\varphi$  is a homomorphism of (additive) abelian groups. Take now two elements  $x \in A$  and  $(\alpha, f(\alpha) + \beta) \in A \bowtie^f J$ . Since  $(\alpha, f(\alpha) + \beta) \cdot x = \alpha x$ , then  $\varphi((\alpha, f(\alpha) + \beta) \cdot x) = \varphi(\alpha x) = (\alpha x, f(\alpha x))(a_0, f(a_0) + j_0)$ . On the other hand, we have

$$(\alpha, f(\alpha) + \beta)\varphi(x) = (\alpha, f(\alpha) + \beta)(x, f(x))(a_0, f(a_0) + j_0) = \varphi(\alpha x),$$

where the last equality holds since  $\beta(f(a_0) + j_0) = 0$ . Thus  $\varphi$  is an  $A \bowtie^f J$ -linear map and, since  $\Lambda$  is surjective, there exists an element  $z \in f^{-1}(J)$  such that  $\varphi = \lambda_z$ . Therefore,  $(a_0, f(a_0) + j_0) = \varphi(1) = \lambda_z(1) = (z, 0)$ , that is  $f(a_0) + j_0 = 0$ .  $\square$

Now we are able to give a sufficient condition and a necessary condition for the ring  $A \bowtie^f J$  to be Gorenstein.

**Remark 5.4.** We preserve the notation of Proposition 2.1. If  $A$  is a local CM ring, with maximal ideal  $M$ , having a canonical module isomorphic (as an  $A$ -module) to  $J$ , then  $A \bowtie^f J$  is Gorenstein. As a matter of fact,  $\iota: A \rightarrow A \bowtie^f J$  is a local ring embedding, since,  $\iota^{-1}(M') = M$ . The conclusion is a consequence of an unpublished result by Eisenbud [9, Theorem 12] (see also [26]), applied to the following short exact sequence of  $A$ -modules

$$0 \rightarrow A \xrightarrow{\iota} A \bowtie^f J \rightarrow J \rightarrow 0.$$

**Proposition 5.5.** We preserve the notation of Proposition 2.1. Assume that  $A$  is a local CM ring and that  $\text{Ann}_{f(A)+J}(J) = (0)$ . If  $A \bowtie^f J$  is Gorenstein, then  $A$  has a canonical module isomorphic to  $f^{-1}(J)$ .

*Proof.* We begin by noting that, since  $A \bowtie^f J$  is Gorenstein, it has a canonical module isomorphic to  $A \bowtie^f J$  as an  $A \bowtie^f J$ -module. Moreover, since the ring embedding  $\iota$  is finite, we have  $\dim(A) = \dim(A \bowtie^f J)$ . Thus, keeping in mind that  $A$  is a cyclic  $A \bowtie^f J$ -module (via the projection of  $A \bowtie^f J$  onto  $A$ ) and applying Proposition 5.3 and [15, Theorem 21.15], it follows that  $A$  has a canonical module isomorphic (as an  $A$ -module) to

$$\text{Ext}_{A \bowtie^f J}^0(A, A \bowtie^f J) \cong \text{Hom}_{A \bowtie^f J}(A, A \bowtie^f J) \cong f^{-1}(J).$$

The proof is now complete. □

As a consequence of Remark 5.4 and Proposition 5.5, we deduce immediately the following corollary.

**Corollary 5.6.** We preserve the notation of Proposition 2.1. Let  $A$  be a local CM ring having a canonical module isomorphic to  $J$  as an  $A$ -module and such that  $\text{Ann}_{f(A)+J}(J) = (0)$ . Then,  $f^{-1}(J)$  and  $J$  are isomorphic as  $A$ -modules.

With extra assumptions on the ideal  $f^{-1}(J)$  and on the ring  $f(A) + J$ , we can obtain the following characterization of when  $A \bowtie^f J$  is Gorenstein.

**Proposition 5.7.** We preserve the notation and the assumptions of the beginning of the present section and, moreover, we assume that  $A$  is a CM ring,  $f(A) + J$  is  $(S_1)$  and equidimensional,  $J \neq 0$  and that  $f^{-1}(J)$  is a regular ideal of  $A$ . Then, the following conditions are equivalent:

- (i)  $A \bowtie^f J$  is Gorenstein;
- (ii)  $f(A) + J$  is a CM ring,  $J$  is a canonical module of  $f(A) + J$ , and  $f^{-1}(J)$  is a canonical module of  $A$ .

*Proof.* By Remark 2.2(e),  $A \bowtie^f J$  can be obtained as a fiber product of two surjective ring homomorphisms. Then, the conclusion follows by applying [24, Theorem 4]. □

We conclude this section by comparing the multiplicity of  $A \bowtie^f J$  with the multiplicity of  $A$ . We assume the standing hypotheses of the present section and that  $A$  is a local CM ring of Krull dimension  $n > 0$ . In particular, by Remark 3.3, if  $I$  is an  $M$ –primary ideal, then  $I(A \bowtie^f J) = I \bowtie^{f(f(I)B)} J$  (Proposition 3.1(2)) is  $M'$ –primary. Furthermore, we also assume that  $A \bowtie^f J$  is a CM ring and that the residue field  $k$  of  $A$  and  $A \bowtie^f J$  is infinite.

Under these assumptions, we have that the multiplicity  $e(A)$  of  $A$  equals  $\lambda_A(A/I)$ , where  $I$  is any minimal reduction of  $M$  [21, Proposition 11.2.2] and where  $\lambda_A(E)$  denotes the length of an  $A$ –module  $E$ . In particular, since  $I$  is a minimal reduction of  $M$  and  $A$  has infinite residue field, it is minimally generated by  $n$  elements (where  $n = \dim(A) = \dim(A \bowtie^f J)$ ; see [21, Lemma 8.3.7]); moreover,  $I = (a_1, a_2, \dots, a_n)$  is an  $M$ –primary ideal of a CM local ring, and hence it is generated by a regular sequence. By [21, Lemma 8.1.3],  $I(A \bowtie^f J)$  is a reduction of  $M'$  and, since the ideal  $I(A \bowtie^f J) = ((a_1, f(a_1), (a_2, f(a_2), \dots, (a_n, f(a_n)))$  is generated by  $n$  elements, it is a minimal reduction [21, Corollary 8.3.6]. Hence, the multiplicity  $e(A \bowtie^f J)$  of  $A \bowtie^f J$  coincides with  $\lambda_{A \bowtie^f J}(A \bowtie^f J/I(A \bowtie^f J))$ .

**Proposition 5.8.** *We preserve the notation of Proposition 2.1. Assume that both  $A$  and  $A \bowtie^f J$  are CM local rings. Let  $I$  be a minimal reduction of  $M$ . Then,  $e(A \bowtie^f J) = e(A) + \lambda_{f(A)+J}(J/(f(I)B)J)$ .*

*Proof.* By the previous observations, we know that the equality  $e(A \bowtie^f J) = \lambda_{A \bowtie^f J}(A \bowtie^f J/I(A \bowtie^f J))$  holds. Moreover, we have

$$\lambda_{A \bowtie^f J}(A \bowtie^f J/I(A \bowtie^f J)) = \lambda_{A \bowtie^f J}(A \bowtie^f J/I \bowtie^f J) + \lambda_{A \bowtie^f J}(I \bowtie^f J/I(A \bowtie^f J)).$$

Now, since by Proposition 2.1(2)  $A/I \cong A \bowtie^f J/I \bowtie^f J$  (as rings), we have  $\lambda_{A \bowtie^f J}(A \bowtie^f J/I \bowtie^f J) = \lambda_A(A/I) = e(A)$ . Moreover, again by Proposition 2.1 (3), for every ideal  $L$  of  $A \bowtie^f J$  such that  $I(A \bowtie^f J) = I \bowtie^{f(f(I)B)} J \subseteq L \subseteq I \bowtie^f J$ , the image  $p_B(L)$  is an ideal of  $f(A) + J$  such that  $(f(I)B)J \subseteq p_B(L) \subseteq J$ . Conversely, for every ideal  $H$  of  $f(A) + J$  such that  $f(I)J \subseteq H \subseteq J$ , then (by Proposition 3.1(1))  $I \bowtie^f H$  is an ideal of  $A \bowtie^f J$  such that  $I \bowtie^{f(f(I)B)} J \subseteq H \subseteq I \bowtie^f J$ . Hence, we easily conclude that  $\lambda_{A \bowtie^f J}(I \bowtie^f J/I(A \bowtie^f J)) = \lambda_{f(A)+J}(J/(f(I)B)J)$ , and the proof is complete.  $\square$

When  $A = B$ , and  $f = id_A$ , the amalgamation along  $J$  gives rise to the amalgamated duplication  $A \bowtie J$ . In this case, we obtain a better result about the multiplicity.

**Corollary 5.9.** *Let  $(A, M)$  be a CM local ring and  $J$  be an ideal of  $A$  with  $\dim_A(J) = \dim(A)$ . Let  $I$  be any minimal reduction of  $M$ . Then  $e(A \bowtie J) = e(A) + \lambda_A(J/IJ)$ . In particular, if  $\dim(A) = 1$ , then  $e(A \bowtie J) = 2e(A)$ .*

*Proof.* The first statement is a straightforward consequence of the previous proposition. As for the one-dimensional case, any minimal reduction  $I$  of  $M$  is principal; hence  $IJ = I \cap J$  and  $\lambda_A(J/IJ) = \lambda_A((I + J)/I) \leq \lambda_A(A/I) = e(A)$ . On the other hand, by [21, Proposition 11.1.10 and Theorem 11.2.3],  $\lambda_A(J/IJ) \geq e(I; J) = e(M; J) \geq e(A)$  (where  $e(I; J)$  denotes the multiplicity of  $I$  on the  $A$ –module  $J$ ; see [21, Definition 11.1.5]). Hence, we have the equality  $\lambda_A(J/IJ) = e(A)$ , and the proof is complete.  $\square$

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