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Reduction numbers of equimultiple ideals

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1. Introduction

Let (A, m) be a local ring and I and an ideal of A. In this paper, all local rings are assumed to have infinite residue fields. An ideal $J \subseteq I$ is called a *reduction* of I if $I^{n+1} = I^n J$ for some nonnegative integer n. A reduction J is called a *minimal reduction* if it does not properly contain a reduction of I. These notions were introduced by Northcott and Rees [16]. They proved that minimal reductions of I do always exist, and every minimal reduction of I is minimally generated by $l(I) := \dim \bigoplus_{n \ge 0} I^n / m I^n$ which is called the *analytic spread* of I. If J is a minimal reduction of I, we define the reduction number of I with respect to J, denoted by $r_J(I)$, to be the last nonnegative integer n such that $I^{n+1} = I^n J$. The *reduction number* of I is defined by $r(I) = \min \{r_J(I); J \text{ is a minimal reduction of } I\}$.

Reduction numbers have been proven to be very useful in studying the Cohen-Macaulay (abbr. C-M) and Gorenstein property of the associated graded ring $G(I) = \bigoplus_{n \ge 0} I^n / I^{n+1}$ and the Rees algebra $A[It] = \bigoplus_{n \ge 0} I^n t^n$ of I. It was initiated by Sally, Goto and Shimoda, and is intensively studied now by various authors (see, e.g., [1] for references). Therefore it is of great interest to study properties of reduction numbers, see [4, 10, 12-14, 19, 23].

The main aim of this paper is to give upper bounds for the reduction numbers of equimultiple ideals. Recall that ht $I \le l(I) \le \dim A$ and I is called an *equimultiple ideal* if ht I = l(I) [6, 9]. For instance, all m-primary ideals are equimultiple. Sally [17] gave a bound on r(m) when A is a C-M ring. Using results of Eakin and Sathaye [4] and of Shalev [20] we can give in Section 3 a bound on the reduction number of an m-primary ideal in any local ring in terms of a suitable invariant of I. If d > 1, easy

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examples show that there is no bound on r(I) depending only on the base ring A even if A is a regular ring. Our bound will involve the order of the ideal I in A (Proposition 3.1). In Section 4 we consider arbitrary equimultiple ideals. We need additional assumptions in order to reduce to the case of m-primary ideals. This idea was successfully applied in studying the C-M property of G(I) and A[It], see [6, 9, 24]. The condition we need is related to the (projectively) normal Cohen-Macaulayness of A along I (see [9]). In particular, our results extend the corresponding results of Schenzel [19] and Trung [23]. In Section 5 we study the vanishing of certain graded pieces of local cohomology modules of G(I) with support in $G(I)_+$. This is of interest because the reduction number of I is bounded above by the Castelnuovo-Mumford regularity of G(I) (see [23], or Lemma 2.1). We are able to generalize a recent result of Marley [14] to an arbitrary ideal (not necessarily equimultiple) in a local ring (Theorem 5.2). Then we apply it to give a characterization of the C-M property of the Rees algebra A[It] in terms of G(I) and the reduction number r(I). This is a converse of a result of Herrmann et al. [9, Proposition 45.4]. It turns out that if I is an equimultiple ideal and A[It] is a C-M ring, then the reduction number r(I) of I does not depend on the choice of minimal reduction and is bounded above by ht I - 1 (if A is a C-M ring this is known by results of Goto-Shimoda and of Grothe-Herrmann–Orbanz [6, Theorem 4.8]).

2. Preliminaries

Throughout this paper, if not otherwise stated, let (A, m) be a *d*-dimensional local ring and I an ideal of A with the analytic spread l(I) = s. Note that dim G(I) = d and $s = \dim G(I)/mG(I)$. For short we also use the notation G = G(I) and R = A[It]. Given an element $x \in A$, we denote its initial form in G(I) by x^* . A system of elements $x_1, \ldots, x_{\delta}(\delta = \dim A/I)$ is said to be a system of parameters (abbr. s.o.p.) of A modulo I if their images in A/I form a s.o.p. of A/I. Z (resp. N) denotes the set of integers (resp. nonnegative integers).

A noetherian ring S is called a standard graded algebra if $S = \bigoplus_{n \ge 0} S_n$, where S_0 is a local ring with the maximal ideal n and S is generated by S_1 as an algebra over S_0 . We denote by $S_+ = \bigoplus_{n>0} S_n$ the ideal generated by all homogeneous elements of S of positive degree and $\mathfrak{M} = \mathfrak{n} \oplus S_+$ the homogeneous maximal ideal of S. (See [15] for information on noetherian graded rings.) For a graded S-module E denote by $[E]_n$ the *n*th graded piece of E. E(p) denotes the same module E shifted by p, i.e. $[E(p)]_n = E_{n+p}$. In this paper we consider both local cohomology modules $H^i_{\mathfrak{M}}(E)$ and $H^i_{S_+}(E)$ with support in \mathfrak{M} and (resp.) in S_+ . Note that they are graded S-modules and $[H^i_{\mathfrak{M}}(E)]_n = [H^i_{S_+}(E)]_n = 0$ for all large n. Set

$$\underline{a}_i(S) = \sup\{n \in \mathbb{Z}; [H_{S_+}^i(S)]_n \neq 0\},\$$

and

$$a_i(S) = \sup\{n \in \mathbb{Z}; [H^i_{\mathfrak{M}}(S)]_n \neq 0\}.$$

(Convention: if $H_{S_+}^i(S) = 0$ (resp. $H_{\mathfrak{M}}^i(S) = 0$) we set $\underline{a}_i(S) = -\infty$ (resp. $a_i(S) = -\infty$)). For convenience we denote $a_d(S)$ simply as a(S), where $d = \dim S$. It is often called the *a*-invariant of S and was introduced by Goto and Watanabe [5]. The number

 $\operatorname{reg} S = \max\{i + \underline{a}_i(S); i \ge 0\},\$

is called Castelnuovo-Mumford regularity of S. We also use the following notation:

 $\operatorname{reg}_t S = \max\{i + a_i(S); i \ge t\}.$

Thus reg $S = reg_0 S$. The relationship between the reduction number $r_J(I)$ and the above-defined cohomological invariants of G(I) is given in the following lemma:

Lemma 2.1 (Trung [23, Proposition 3.2]). Let J be an minimal reduction of I and s = l(I). Then

 $\underline{a}_s(G(I)) + s \le r_J(I) \le \operatorname{reg}(G(I)).$

Corollary 5.3 in this paper shows that we can often replace reg G(I) in the above inequality by reg₁ G(I). The following result can be derived from the proof Theorem 1.2 of [23] and is given explicitly in [19, Theorem 3.3]. It provides a condition when the reduction number is independent of the choice of a minimal reduction (cf. also [12]). Note that it is also an immediate consequence of the above lemma and Theorem 5.2 in this paper.

Lemma 2.2. Assume that l(I) = grade I = s and $\text{grade } G(I)_+ \ge s - 1$. Then

 $r_J(I) = \underline{a}_s(G(I)) + s = \operatorname{reg}(G(I)),$

for any minimal reduction J of I.

The *a*-invariant a(G(I)) plays an important role in studying the C-M and Gorenstein property of the Rees algebra A[It] and the associated graded ring G(I), see, e.g. [5, 9, 24]. We give here a result of Trung and Ikeda which will be used later.

Lemma 2.3 (Trung and Ikeda [24, Theorem 1.1]). Let I be an ideal of A of positive height. Then A[It] is a C-M ring if and only if $H^i_{\mathfrak{M}}(G(I))]_n = 0$ for $i < d, n \neq 1$ and a(G(I)) < 0.

In order to work with the invariants $\underline{a}_i(S)$ we need more information on the local cohomology modules with respect to S_+ . We recall a result of Serre (see [8, Theorem III.5.2]):

Lemma 2.4. Let S be a standard graded algebra and E a noetherian graded S-module. Then $[H_{S_*}^i(E)]_n$ is a noetherian S_0 -module for all i and n. The following auxiliary result is of independent interest. In the ring case, it can be derived from [10, Lemma 2.3], by interpreting dim S/nS as $l(S_+)$. In fact we do not need the notion of analytic spread, so we give here a proof along with the statement.

Lemma 2.5. Let S be a standard graded algebra and E a noetherian graded S-module. Then

$$\max\{i; H^i_{S_*}(E) \neq 0\} = (\text{Krull-})\dim_{S/\mathfrak{n}S} E/\mathfrak{n}E.$$

Proof. Let us denote by a and b the numbers on the left and on the right side of the above equation, respectively. In order to prove $a \le b$ we do induction on b. If b = 0then there is n_0 such that $E_n = nE_n$ for $n > n_0$. Since E_n is a noetherian S₀-module, by Nakayama's lemma, $E_n = 0$ for $n > n_0$. By considering $S/Ann_S(E)$ we can reduce to the case $S = S_0$ and conclude that $H_{S_1}^i(E) = 0$ for i > 0 (cf. [7, Proof of Proposition 6.4, p. 88]). Let b > 0. Take an element $x \in S_1$ such that $x \notin p$ for all homogeneous the prime ideals $\mathfrak{p} \in Ass(E/\mathfrak{n}E) \cup Ass(E)$ with property $S_+ \not\subseteq \mathfrak{p}.$ Then $\dim(E/xE)/n(E/xE) = b - 1$ and $[0:Ex]_n = 0$ for $n \ge 0$. By the case b = 0 it follows that $H_{S_{+}}^{i}(0:Ex) = 0$ for i > 0. Hence, from the exact sequences

$$0 \to 0:_E x \to E \to E/(0:_E x) \to 0, \tag{1}$$

and

$$0 \to (E/(0_E x))(-1) \xrightarrow{\cdot x} E \to E/xE \to 0,$$
(2)

we get by induction hypothesis the exact sequence:

 $0 \to [H^{b+1}_{S_+}(E)]_{n-1} \to [H^{b+1}_{S_+}(E)]_n,$

for all $n \in \mathbb{Z}$. Since $[H_{S_+}^{b+1}(E)]_n = 0$ for $n \ge 0$, we must have $H_{S_+}^{b+1}(E) = 0$, i.e., $a \le b$. Now, let us consider the exact sequence:

 $0 \rightarrow nE \rightarrow E \rightarrow E/nE \rightarrow 0.$

Since $a \le b$, it gives the exact sequence:

 $H^b_{S_+}(E) \rightarrow H^b_{S_+}(E/\mathfrak{n} E) \rightarrow 0.$

Note that $H^b_{S_+}(E/\mathfrak{n}E) \cong H^b_{S_+/\mathfrak{n}S_+}(E/\mathfrak{n}E) \neq 0$. Hence $H^b_{S_+}(E) \neq 0$, i.e. $a \ge b$, as required. \square

3. Reduction number of M-primary ideals

In this section, let I be an m-primary ideal of A. If A is a C-M ring of multiplicity e(A), then Sally [17, Theorem 2.2] showed that $r(m) \le d!e(A) - 1$. By using recent results of Shalev [20] we can give here an extension of this result of Sally to m-primary

ideals in arbitrary local rings. If d = 1 and A is C-M, Eakin and Sathaye showed in the proof of Corollary 3 in [4] that $r(I) \le e(A) - 1$ (cf. [2, Propositions 2.2 and 2.3], where Achilles and Schenzel considered also the case A being a Buchsbaum ring). If d > 1 it is well-known that there is no bound on r(I) which depends only on the entire ring A(take, for example, $I = (x^n, x^{n-1}y, y^n) \subset k[x, y]_{(x,y)}$). Hence, we need an additional, suitable invariant. Let

 $o(I) = \min\{n \in \mathbf{N}; \mathfrak{m}^n \subseteq I\}.$

e(I) denotes the multiplicity of I and e(A) = e(m) (see [15, Section 14]). Let v(I) denote the number of generators in a minimal basis of I. We have:

Proposition 3.1. Let I be an m-primary ideal of A.

(i) If A is a C-M ring, then

$$r(I) \le d! o(I)^{d-1} e(A) - 1$$
 and $r(I) \le d! e(I)^{(d-1)/d} e(A)^{1/d} - 1$.

(ii) If A is a regular ring, then

 $r(I) \le d \cdot o(I)^{d-1} - 1.$

(iii) For an arbitrary local ring A there is a constant B (depending only on A) such that

 $r(I) \leq B \cdot o(I)^{d-1}.$

Moreover, for any given $\varepsilon > 0$ there is an integer $n(\varepsilon, A)$ such that for any ideal I with $o(I) \ge n(\varepsilon, A)$ we have

$$r(I) \le d(e(A) + \varepsilon)o(I)^{d-1} - 1.$$

Proof. For short, we set t = o(I) and e = e(A). The main theorem of Eakin and Sathaye in [4] states that for an m-primary ideal I in any local ring,

$$v(I^n) < \binom{n+d}{d}$$

implies r(I) < n. If A is a C-M ring, by [17, Theorem 1.2], $v(I^n) \le n^{d-1}t^{d-1}e + d - 1$. Hence the first inequality of (i) follows from the following inequality:

$$(d!t^{d-1}e)^{d-1}t^{d-1}e + d - 1 < {d!t^{d-1}e + d \choose d}.$$

Analogously, the second inequality of (i) follows from the following bound of Boratynski et al. [3, Theorem 5]:

$$v(I^n) \le \left[e(I^n)^{(d-1)/d}e(A)^{1/d}\right] + d - 1 = \left[n^{d-1}e(I)^{(d-1)/d}e(A)^{1/d}\right] + d - 1$$

where [x] denotes the integer part of x. Conclusion (ii) follows from the following result of Shalev [20, Corollary 4.3.1]): if A is a regular ring then

$$\nu(I^n) \le \nu(\mathfrak{m}^{nt}) = \binom{nt+d-1}{d-1}.$$

In order to prove (iii) we use [20, Theorem 4.3] which states that for any local ring

$$v(I) \leq v(\mathfrak{m}^n) + D,$$

where *n* is any integer $\geq t$ and *D* depends only on the Hilbert function $H_A(n) = \ell(\mathfrak{m}^n/\mathfrak{m}^{n+1})$. Let $r = r(\mathfrak{m})$. Then, for $n > \max\{r, D, v(\mathfrak{m}^r)dt^{d-1}\}$ one can check that

$$v(I^n) \le v(\mathfrak{m}^{in}) + D \le v(\mathfrak{m}^r)v(\mathfrak{m}^{in-r}) = v(\mathfrak{m}^r)\binom{tn-r+d-1}{d-1} + D < \binom{n+d}{d}.$$

Hence $r(I) \leq Bt^{d-1}$, where $B = \max\{r, D, v(\mathfrak{m}^r)\}$.

Finally, let n_{ε} be a positive integer such that

$$H_A(n) \le (e+\varepsilon) \binom{n+d-1}{d-1},$$

for all $n \ge n_{\varepsilon}$. Let $n(\varepsilon, A) = \max\{(n_{\varepsilon}/d(e+1))^{1/d}, (D/d(e+1))^{1/(d-1)}\}$. Assume that $t \ge n(\varepsilon, A)$. Then, for $n = \lfloor d(e+\varepsilon)t^{d-1} \rfloor$ one can check that

$$v(I^n) \leq v(\mathfrak{m}^{in}) + D \leq (e+\varepsilon) \binom{tn+d-1}{d-1} + D < \binom{n+d}{d}.$$

Therefore $r(I) \le n - 1$, as required. \Box

4. Reduction number of equimultiple ideals

If I is an ideal and $\underline{x} = \{x_1, \ldots, x_t\}$ be a subset of elements of A we denote by I/\underline{x} the ideal $I + (\underline{x})/(\underline{x})$ in the quotient ring $A/(\underline{x})$. Recall that an element $x \in I^s$ is said to be a superficial element of order s for I if there exists a positive integer c such that $(I^n: \underline{x}) \cap I^c = I^{n-s}$ for all $n \ge 0$. An important property of superficial elements of order s for m is that e(A/xA) = s.e(A) if dim $A \ge 2$ (see [26, Chapter 8]). $\underline{x} = \{x_1, \ldots, x_t\} \subset I$ is called a superficial sequence (of order 1) for I if x_i is a superficial element of order 1 for $I/(x_1, \ldots, x_{i-1})$ for all $1 \le i \le t$.

Lemma 4.1. Assume that A is normally C-M along I, i.e. A/I^n is C-M for all $n \ge 1$. Let x be a parameter element of A modulo I and J a minimal reduction of I. Then J/x is a minimal reduction of I/x and r(I) = r(I/x).

Proof. Clearly, J/x is a reduction of I/x. Let $\overline{J} \subseteq J/x$ be a minimal reduction of I/x. One can write $\overline{J} = J'/x$ for some ideal $J' \subseteq J$. Let *n* be an nonnegative integer such

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that $(I/x)^{n+1} = (J'/x)(I/x)^n$. Then $I^{n+1} \subseteq J'I^n + (x)$. Since x is a regular element of A/I^n , it follows that $I^{n+1} \subseteq J'I^n + xI^{n+1} \subseteq J'I^n + (x^2) \subseteq \cdots$. By Krull's intesection theorem we get $I^{n+1} = J'I^n$, i.e. J' is a reduction of I. Hence J' = J and J/x is a minimal reduction of I/x. In particular $r(I) \ge r(I/x)$. Further, let r = r(J/x) and $\overline{J} = J'/x$ be a minimal reduction of I/x such that $(I/x)^{r+1} = \overline{J}(I/x)^r$, where $J' \subseteq I$. The above consideration shows that we can assume J' to be a minimal reduction of I, and $I'^{r+1} = J'I'$. Therefore $r(I) \le r_{J'}(I) \le r$ which gives r(I) = r. \Box

Using this lemma we can extend results of the previous section to the case of equimultiple ideals I such that A is normally C-M along I. For example, $r(I) \leq s! o(I/\underline{x})^{s-1} e(A) - 1$, where $s = \text{ht } I \geq 1$ and \underline{x} is a s.o.p. of A modulo I such that \underline{x} is a superficial sequence for m.

We will give in this section other bounds under the assumption that grade $G_+ \ge s - 1$. The following lemma is similar to Lemma 3.1 in [11].

Lemma 4.2. Let S be a d-dimensional standard graded algebra with an artinian local ring S_0 . Then

 $a(S) + d \le e(S_+) - 1.$

Moreover, if S is a C-M ring, then

$$a(S) + d \le e(S_+) - \ell(S_0).$$

Proof. We do induction on d. If d = 0 then $S = S_0 \oplus \cdots \oplus S_r$, with $S_i \neq 0, 0 \le i \le r$. We have $a(S) = r \le \ell(S) - \ell(S_0) = e(S_+) - \ell(S_0) \le e(S_+) - 1$. Let d > 0. Consider $S' = S/H_{\mathfrak{M}}^0(S)$. Then $e(S'_+) = e(S_+)$. Take a nonzero divisor $x \in S'_1$ of S'. Set S'' = S'/xS'. The exact sequence

 $0 \longrightarrow S'(-1) \stackrel{\cdot_{X}}{\longrightarrow} S' \rightarrow S'' \longrightarrow 0,$

gives $e(S'_+) = e(S'_+)$ and $a(S') + d \le a(S'') + d - 1$. Hence, by induction hypothesis, we get: $a(S) + d = a(S') + d \le e(S''_+) - 1 = e(S_+) - 1$. If S is a C-M ring, then S'' is again a C-M ring and $S''_0 = S_0$. Hence, again by induction, we obtain $a(S) + d \le e(S) - \ell(S_0)$. \Box

Lemma 4.3. Let I be an equimultiple ideal with s = ht I > 0. Assume that A/I^n is C-M for $n \ge 0$. Let $\underline{x} = \{x_1, \ldots, x_{\delta}\}, \ \delta = d - s$, be a s.o.p. of A modulo I. Then (i) $\underline{a}_s(G(I)) = \underline{a}_s(G(I/\underline{x}))$. (ii) $\text{reg}_1 \ G \le \text{reg}_1 \ G(I/\underline{x})$.

Proof. Let x be a parameter element of A modulo I. Consider the following exact sequences (note that $deg(x^*) = 0$):

$$0 \to 0: x^* \to G \to G/(0:x^*) \to 0, \tag{3}$$

and

$$0 \to G/(0; x^*) \xrightarrow{x^*} G \longrightarrow G/x^*G \longrightarrow 0.$$
⁽⁴⁾

Since x is regular on A/I^n , $[0:x^*]_n = (I^{n+1}:x) \cap I^n/I^{n+1} = 0$ for $n \ge 0$. Hence, by Lemma 2.5, $H^i_{G_+}(0:x^*) = 0$ for i > 0. The exact sequence (3) gives $H^i_{G_+}(G) \cong H^i_{G_+}(G/(0:x^*))$ for i > 0. Also, by Lemma 2.5, we have $\max\{i; H^i_{G_+}(G) \neq 0\} = s$. Then, (4) induces the exact sequence

$$[H^{s}_{G_{+}}(G)]_{n} \xrightarrow{x^{*}} [H^{s}_{G_{+}}(G)]_{n} \longrightarrow [H^{s}_{G_{+}}(G/x^{*}G)]_{n} \longrightarrow 0.$$
⁽⁵⁾

From this it is immediate that $\underline{a}_s(G) \ge \underline{a}_s(G/x^*G)$. Let $n > \underline{a}_s(G/x^*G)$. Then the exact sequence (5) gives: $[H^s_{G_+}(G)]_n = x^*[H^s_{G_+}(G)]_n$. By Lemma 2.4 and Nakayama's lemma it follows that $[H^s_{G_+}(G)]_n = 0$. Hence $\underline{a}_s(G) \le \underline{a}_s(G/x^*G)$, and so $\underline{a}_s(G) = \underline{a}_s(G/x^*G)$.

Now let us consider the following exact sequence of G-modules:

$$0 \to M \to G/x^*G \to G(I/x) \to 0, \tag{6}$$

where

$$M = \bigoplus_{n \ge 0} \frac{I^{n+1} + I^n \cap (x)}{I^{n+1} + xI^n} \cong \bigoplus_{n \ge 0} \frac{I^n \cap (x)}{xI^n + I^{n+1} \cap (x)}.$$

Since $I^n \cap (x) = x(I^n : x) = xI^n$ for $n \ge 0$, $[M]_n = 0$ for $n \ge 0$. Therefore, by Lemma 2.5, $H^i_{G_+}(M) = 0$ for i > 0. From (6) we then get $H^i_{G_+}(G/x^*G) \cong H^i_{G_+}(G(I/x))$ for i > 0 and

$$\underline{a}_s(G(I/x)) = \underline{a}_s(G/x^*G) = \underline{a}_s(G).$$

Moreover we have $\operatorname{ht}(I^n/x) \ge \operatorname{ht}(I^n + (x)) - 1$ [15, Theorem 13.6(ii)]. Since x is a regular element on A/I^n $(n \ge 0)$, $\operatorname{ht}(I^n + (x)) \ge \operatorname{ht}(I^n) + 1$. Therefore $s \ge l(I/x) \ge \operatorname{ht}(I/x) = \operatorname{ht}(I^n/x) \ge \operatorname{ht}(I^n) = s$. This shows that I/x is an equimultiple ideal of height s. Of course, $A/I^n + (x)$ is C-M for all $n \ge 0$. Hence, the equality (i) follows by induction.

Similarly, using instead (5) the exact sequence

$$[H^i_{G_+}(G)]_n \xrightarrow{x^*} [H^i_{G_+}(G)]_n \longrightarrow [H^i_{G_+}(G/x^*G)]_n, \quad i \ge 1,$$

we get $\underline{a}_i(G/x^*G) \ge \underline{a}_i(G)$ which yields (ii).

Theorem 4.4. Let I be an equimultiple ideal in a C-M ring A with $s = \text{ht } I \ge 1$. Assume that A/I^n is C-M for all $n \ge 0$ and grade $G(I)_+ \ge s - 1$.

(i) If A is an arbitrary local ring, then for any s.o.p. \underline{x} of A modulo I we have

$$r(I) \le e(I/\underline{x}) - 1.$$

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Moreover, if G(I) is a C-M ring, then

$$r(I) \le e((I/\underline{x}) - \ell(A/(I + (\underline{x}))).$$

(ii) If in addition $A = B_m$ and $I = J_m$, where B is a standard graded k-algebra, m = B_+ and J is a homogeneous ideal generated by elements of the same degree t, then

$$r(I) \le t^{s-1}e(A) - 1.$$

Proof. By Lemmas 2.2 and 4.3 we have $r(I) = \underline{a}_s(G(I/\underline{x})) + s$. Note that I/\underline{x} is an m-primary ideal of A/\underline{x} and $e(I/\underline{x}) = e(G(I/\underline{x})_+)$. Hence (i) follows from Lemma 4.2.

(ii) Similar to the local case, a homogeneous element $x \in B_s$ is called a superficial element of order s for a homogeneous ideal I if there exists a positive integer c such that $(I^n:x) \cap I^c = I^{n-s}$ for all $n \ge 0$. Let \underline{x} be a homogeneous s.o.p. of B modulo J which is a superficial sequence for m. \underline{x} consists of linear forms of B. Denote by \underline{x}' the image of \underline{x} in A. Then \underline{x}' is a superficial sequence for mA, and $e(A/\underline{x}') = e(A)$. Again by Lemmas 2.2 and 4.3, $r(I) = a(G(I/\underline{x}')) + s$. Moreover $I/\underline{x}' \cong (J/\underline{x})_{m/\underline{x}}$, and J/\underline{x} is generated by elements of degree t in B/\underline{x} . Therefore, in order to prove the second statement, it suffices to show that

$$a(G(I)) + d \le t^{d-1}e(A) - 1,$$

where J is in addition an m-primary ideal.

For simplicity, we set in this proof G = G(J). Note that $G(I) = G(J_m) = G_{(\mathfrak{M})}$, where $\mathfrak{M} = \mathfrak{m} + G_+$ and $M_{(\mathfrak{M})}$ denotes the homogeneous localization of a graded G-module M. Since

$$H^{i}_{G_{(\mathfrak{M})_{+}}}(G_{(\mathfrak{M})}) \cong H^{i}_{G_{+}(\mathfrak{M})}(G_{(\mathfrak{M})}) \cong (H^{i}_{G_{+}}(G))_{(\mathfrak{M})},$$

 $a(G(I)) = a(G_{(\mathfrak{M})}) = a(G)$. We define e(B) = e(A). So, the second statement follows from the following inequality:

 $a(G) + d \le t^{d-1}e(B) - 1,$

where J is an m-primary ideal. To show the latter, we do induction on d. If d = 1 then the above inequality follows from Proposition 3.1 (i), since a(G) + 1 = r(I). Let $d \ge 2$. We first prove the following claim:

Claim. There exists a homogeneous element $y \in J$ of degree t such that y is superficial of order 1 for J as well as superficial of order t for m.

Proof. Let $\mathfrak{p}_1 \ldots, \mathfrak{p}_a$ be all homogeneous associated prime ideals of *B*. Assume that *J* is minimally generated by forms f_1, \ldots, f_b of degree *t*. Let $V = kf_1^* + \cdots + kf_b^* \subseteq J/J^2$. Since *B* is a C-M ring, ht $\mathfrak{p}_j = 0$ for $1 \le j \le a$. If $f_i^* \in \mathfrak{p}_j^*$, then $f_i + g \in \mathfrak{p}_j$ for some $g \in J^2$, which implies $f_i \in \mathfrak{p}_j$. Since ht J > 0, it follows that $V \not\subseteq \mathfrak{p}_j^*$ for $1 \le j \le a$. Let $\mathfrak{q}_1, \ldots, \mathfrak{q}_c$ be all homogeneous associated prime ideals of *G* such that $G_+ \not\subseteq \mathfrak{q}_j$. Then $V \not\subseteq \mathfrak{q}_j$ for $1 \le j \le c$. Since *k* is infinite, there is an element $y^* \in V$ such

that y^* is not in any of subspaces $V \cap \mathfrak{p}_i^*$ and $V \cap \mathfrak{q}_j$. Note that $G(\mathfrak{m}) \cong B$. Hence, if y is the homogeneous element of J which maps to y^* , then y satisfies the conclusion of the claim. \Box

We now have $(0: y^*)_n = 0$ in G for $n \ge 0$. Hence, from the exact sequences

$$0 \to 0: y^* \to G \to G/(0: y^*) \to 0,$$

and

$$0 \longrightarrow G/(0:y^*)(-1) \xrightarrow{\cdot y^*} G \longrightarrow G/y^*G \longrightarrow 0,$$

we get that $a(G) + d \le a(G/y^*G) + d - 1$. On the other hand we have the exact sequence

$$0 \to M \to G/y^*G \to G(J/y) \to 0,$$

where

$$M = \bigoplus_{n \ge 0} \frac{J^{n+1} + J^n \cap (y)}{J^{n+1} + y J^{n-1}} \cong \bigoplus_{n \ge 0} \frac{J^n \cap (y)}{y J^{n-1} + J^{n+1} \cap (y)} \cong \bigoplus_{n \ge 0} \frac{J^n : y}{J^{n-1} + J^{n+1} : y}$$

As y is a superficial element of order 1 for $J, J^n: y = J^{n-1}$ for $n \ge 0$ (see Remark 1 on p. 8 of [18]), and so $M_n = 0$ for $n \ge 0$. Since dim $G/y^*G = \dim G(J/y) = d - 1 \ge 1$, from the above exact sequence we then get $a(G/y^*G) = a(G(J/y))$. Hence, by induction hypothesis we have

$$a(G) + d \le a(G(J/y)) + d - 1 \le t^{d-2}e(B/y) - 1.$$

Since y is a superficial element of order t for m, e(B/y) = te(B). Thus $a(G) + d \le t^{d-1}e(B) - 1$, as required.

Remark and example (i) The bound $r(I) \le e(I) - \ell(A/I)$ was given by Schenzel [19, Theorem 4.4] for an m-primary ideal I provided that G(I) is a C-M ring. This is no longer true for depth G(I) = d - 1. For example, take $I = (t^3, t^4) \subseteq A = k[[t^3, t^4, t^5]]$. Then $r(I) = 2 > e(I) - \ell(A/I) = 3 - 2$.

(ii) Let I be an m-primary ideal. Assume that depth $G(I) \ge d - 1$. It was stated in [23, Theorem 1.2] that $r(I) \le o(I)^{d-1}e(A) - 1$. Unfortunately its proof on p. 235 is based on a false claim: we can always choose an element $y \in I$ such that y is simultaneously a superficial element of order 1 for I as well as one (of some order) for m. This is true in the case (ii) of the above theorem. In the general case we have the following counter example: let $I = (t^{11}, s^{11}) \subset A = k[[t^4, t^5, t^{11}, s^4, s^5, s^{11}]]$. A is a C-M ring. Since t^{11}, s^{11} is a regular sequence, G(I) is a C-M ring. Any superficial element u of order 1 for I must be an element in a minimal basis of a minimal reduction of I. Hence $u = at^{11} + bs^{11}$, where at least one of a and b does not belong to m. Without loss of generality assume that $a \notin m$. Then $u \notin m^2$. Hence the image of u^* in G(m) has the degree 1. Since $u^3 \in m^5$, $(u^*)^3 = 0$. This shows that u^* is not

a parameter element of $G(\mathfrak{m})$. Therefore *u* cannot be a superficial element (of some order) for \mathfrak{m} . We do not know whether Trung's bound still holds for any local C-M ring. However, from the first statement of the theorem it follows that $r(I) \leq o(I)^d e(A) - 1$ (cf. also Proposition 3.1).

(iii) Let $I = (x_1^n, x_1^{n-1}x_2, ..., x_1^{n-1}x_d, x_2^n, ..., x_d^n) \subseteq k[x_1, ..., x_d]_{(x_1, ..., x_d)}$, where $d \ge 2$ and $n \ge 2$. Using [25, Corollary 2.7] one can check easily that $(x_2^n)^*, ..., (x_d^n)^*$ form a G(I)-sequence, i.e. depth $G(I) \ge d - 1$ (in fact = d - 1). $J = (x_1^n, ..., x_d^n)$ is a minimal reduction of I and $(x_1^{n-1}x_2)^{n-1} \cdots (x_1^{n-1}x_d)^{n-1} \notin (x_1^n, ..., x_d^n)I^{(d-1)(n-1)-1}$. Hence, by Lemma 2.2, $r(I) = r_J(I) = (n-1)^{d-1}$. This shows that for any dimension the bound of Theorem 4.4 (ii) is nearly sharp. It is attained by this example if d = 2. Note that o(I) = d(n-1).

(iv) Let A be an equicharacteristic regular local ring and I an equimultiple ideal of ht $I = s \ge 1$. Assume that grade $G_+ = s$. Using an argument due to Huneke (see, for example, the introduction of [1]) we can show that $r(I) \le s - 1$. In fact, let $J = (x_1, \ldots, x_s)$ be a minimal reduction of I. By [21, Corollary 3.7], $I^s \subseteq J$. Since grade $G_+ = s$, x_1^*, \ldots, x_s^* form a regular sequence in G. By [25, Corollary 2.7], $I^s = (x_1, \ldots, x_s) \cap I^s = (x_1, \ldots, x_s)I^{s-1}$. This observation suggests that there are much better bounds on r(I) if grade $G_+ = s$.

As it was mentioned in the previous section, $r(I) \le e(A) - 1$ for any ideal of positive height in a one-dimensional C-M ring. Huckaba [13] asked whether this result is true for any regular ideal of analytic spread one in higher dimensions. Under some additional assumptions he proved there that $r(I) \le 1$ provided $e(A) \le 2$ (but A is not necessarily C-M). We give here another partial result.

Lemma 4.5. Let I be an ideal of ht I = 1 in a C-M ring A. Assume that A/I^n is a C-M ring for some $n \ge e(A)$. Then l(I) = 1 and $r(I) \le e(A) - 1$.

Proof. By a Rees's result (see, e.g., [17, Theorem 2.1 and Remark 1]),

$$\nu(I^n) \le e(A) < \binom{n+1}{1}.$$

Hence, by [4, the main theorem], there is an element $x \in I$ such that $I^n = xI^{n-1}$. Since x is a regular element it then follows that $v(I^{n-1}) = v(I^n)$. Again, by [4], $I^{n-1} = yI^{n-2}$ if $n-1 \ge e(A)$. Repeating this process we get finally that $v(I^{e(A)}) \le e(A)$, and $r(I) \le e(A) - 1$. \Box

As a consequence we get an extension of [13, Proposition 3.5].

Corollary 4.6. Let I be an ideal of ht I = 1 in a C-M ring A. Then A/I^n is a C-M ring for some $n \ge e(A)$ if and if A/I^n is a C-M ring for all $n \ge e(A) - 1$.

Proof. We can assume that dim $A \ge 2$. The if part if trivial while the only if part follows from Lemma 4.5 and the remark that A/I^i is C-M if and only if I^i is a C-M A-module.

Corollary 4.7. Let I be an ideal of height one in a C-M ring A. Then G(I) is a C-M ring and I is equimultiple if and only if the following conditions are satisfied.

- (i) A/I^n is C-M for all $1 \le n \le e(A)$.
- (ii) For some (or all) minimal reduction (a) of I we have

 $(a) \cap I^n = aI^{n-1}$ for $2 \le n \le e(A) - 1$.

Proof. By Lemma 4.5, we can assume from the beginning that I is an equimultiple ideal. Let $\underline{x} = \{x_1, \ldots, x_{d-1}\}$ be a s.o.p. of A modulo I. Assume that G is C-M. By [6, Proposition 4.5], A/I^n is C-M for all $n \ge 1$, and

$$(a) \cap I^n \subseteq aI^{n-1} + (x_1^i, \dots, x_{d-1}^i),$$

for all $n \ge 1$ and $i \ge 1$. Hence, by Krull's intersection theorem we get (ii) for all n. Converserly, assume that (i) and (ii) hold. Then, by Corollary 4.6, A is normally C-M along I. By Lemma 4.5, $(a) \cap I^n = aI^{n-1}$ for all $n \ge 1$ (note that $r_{(a)}(I)$ does not depend on the choice of (a)). Hence, by [6, Proposition 4.5, (iv) \Rightarrow (i)], G(I/x) is a C-M ring. Thus G is C-M by [6, Proposition 4.5, (ii) \Rightarrow (i)]. \Box

5. Rees algebra

Marley [14, Theorem 2.1] proved that for an m-primary ideal I in a local C-M ring we have $\underline{a}_t(G) < \underline{a}_{t+1}(G)$, where $t = \text{grade } G_+$ is assumed to be $\leq d - 1$. This implies, in particular, that in order to compute the upper bound reg G on $r_J(I)$ in Lemma 2.1 one needs only to consider d - t local cohomology modules $H^i_{G_+}(G)$, i > t. We will give here an extension of this result, and then apply it to study the C-M property of the Rees algebra. We begin with a simple result.

Lemma 5.1. Let x be an element in a minimal basis of a minimal reduction of I. Assume that x^* is a regular element on G(I). Then l(I/(x)) = l(I) - 1.

Proof. Set l(I) = l. Clearly that $l(I/(x)) \le l - 1$. Assume that l(I/(x)) < l - 1. By Lemma 2.5, $H_{G_+}^{l-1}(G(I/(x)) = 0$. From the exact sequence:

$$0 \longrightarrow G(-1) \xrightarrow{x^*} G \longrightarrow G/x^*G \cong G(I/(x)) \to 0,$$

we then get an injection

 $0 \rightarrow [H^l_{G_+}(G)]_{n-1} \rightarrow [H^l_{G_+}(G)]_n,$

for all $n \in \mathbb{Z}$. Since $[H_{G_+}^l(G)]_n = 0$ for $n \ge 0$, $H_{G_+}^l(G) = 0$ which is, by Lemma 2.5, a contradiction to l = l(I).

Note that the above lemma is not true if there is no restriction on x^* . For example, the ideal $I = (u^2, uv) \subset k[u, v]_{(u,v)}$ has the analytic spread 2, but $I/(u^2)$ is a nilpotent ideal.

Theorem 5.2. Let I be an ideal (not necessarily equimultiple) in an arbitrary local ring A. Assume that $t = \text{grade } G(I)_+ < l(I)$ and $\text{grade } I \ge t + 1$. Then $a_l(G(I)) < a_{l+1}(G(I))$.

Proof. We do induction on t. Let t = 0. Consider two exact sequences:

 $0 \to R_+ \to R \to A \to 0,$

and

 $0 \to R_+(1) \to R \to G \to 0.$

Note that $H_{R_+}^i(G) \cong H_{G_+}^i(G)$. Since *I* contains a regular element, $H_{R_+}^0(R) = 0$. Further, $[H_{R_+}^i(A)]_n = 0$ for $n \neq 0$, so $[H_{R_+}^i(R_+)]_n \cong [H_{R_+}^i(R)]_n$ for $n \neq 0$. Hence, for $n \ge 0$ we get an exact sequence:

$$0 \to [H^0_{R_+}(G)]_n \to [H^1_{R_+}(R)]_{n+1} \to [H^1_{R_+}(R)]_n \to [H^1_{R_+}(G)]_n.$$
(7)

Set $b = a_1(G)$. Then for $n \ge \max\{b + 1, 0\}$ we get from (7) an epimorphism:

 $[H^{1}_{R_{+}}(R)]_{n+1} \to [H^{1}_{R_{+}}(R)]_{n} \to 0.$

Since $[H_{R_+}^1(R)]_{n+1} = 0$ for $n \ge 0$, we must have $[H_{R_+}^1(R)]_n = 0$. If $b \le 0$, from (7) it then follows that $[H_{R_+}^0(G)]_n = 0$ for $n \ge 0$. But $H_{R_+}^0(G)$ is an ideal of G, we also have $[H_{R_+}^0(G)]_n = 0$ for n < 0. Hence $H_{R_+}^0(G) = 0$ which contradicts to the assumption t = 0. Thus $b \ge 1$. Considering again the exact sequence (7) we see that $[H_{R_+}^0(G)]_n = 0$ for $n \ge b$. This means $a_0(G) \le b - 1 < a_1(G)$.

Now let t > 0. Let x be an element in a minimal basis of a minimal reduction of I such that x^* is a regular element in G (such a choice is always possible). Then x is a regular element in A and, by Lemma 5.1, l(I/(x)) = l - 1. Moreover grade $G(I/(x))_+ = t - 1$ and grade $I/(x) \ge t$. Set $\overline{G} = G(I/(x)) \cong G/x^*G$. The exact sequence

$$0 \to G(-1) \xrightarrow{x^*} G \to \overline{G} \to 0$$

induces the following exact sequence:

$$0 \to [H_{G_{+}}^{t-1}(\bar{G})]_{n} \to [H_{G_{+}}^{t}(G)]_{n-1} \to [H_{G_{+}}^{t}(G)]_{n} \to [H_{G_{+}}^{t}(\tilde{G})]_{n}$$
$$\to [H_{G_{+}}^{t+1}(G)]_{n-1}.$$
(8)

By the induction hypothesis, $\underline{a}_t(\overline{G}) > \underline{a}_{t-1}(\overline{G})$. In particular, $\underline{a}_t(\overline{G})$ is an integer (since grade $\overline{G}_+ = t - 1$). Let $n \ge a_t(\overline{G})$. From (8) we then get an injection:

$$0 \rightarrow [H_{G_+}^t(G)]_{n-1} \rightarrow [H_{G_+}^t(G)]_n.$$

Hence $[H_{G_+}^t(G)]_{n-1} = 0$ for all $n \ge \underline{a}_t(\overline{G})$, i.e. $\underline{a}_t(G) < \underline{a}_t(\overline{G}) - 1$. But then, setting $n = \underline{a}_t(\overline{G})$ in (8) it follows that $[H_{G_+}^{t+1}(G)]_{\underline{a}_t(\overline{G})-1} \neq 0$, i.e., $\underline{a}_{t+1}(G) \ge \underline{a}_t(\overline{G}) - 1$. Thus $\underline{a}_{t+1}(G) \ge \underline{a}_t(\overline{G})$, as required. \Box

Corollary 5.3. Assume that I contains a regular element. Then $\operatorname{reg} G(I) = \operatorname{reg}_1 G(I)$.

Now we can prove a converse of [9, Proposition 45.4].

Theorem 5.4. Let I be an equimultiple ideal of a local ring A and s = ht I > 0. Then A[It] is a C-M ring if and only if the following conditions are satisfied:

(i) $r(I) \leq \text{ht } I - 1.$ (ii) $H^i_{\mathfrak{M}}(G)]_n = 0$ for $n \neq -1$ and i < d.

Proof. Assume that A[It] is C-M. Then (ii) follows by Lemma 2.3. (i) is proved in [9, Proposition 45.4]. We give here another proof of (i). Let <u>x</u> be a s.o.p. of A modulo I. By [24, Theorem 5.3], the Rees algebra $A/(\underline{x})[(I/\underline{x})t]$ is also C-M and A is normally C-M along I. Hence, from Lemmas 4.1, 2.1, and 2.3 we get

$$r(I) = r(I/\underline{x}) = \operatorname{reg} G(I/\underline{x}) = \max\{i + a_i(G(I/\underline{x}))\} \le s - 1.$$

For the converse, by Lemma 2.3 it suffices to show that a(G) < 0. Let us see how a(G) changes by cutting by x_1^* . Note that $deg(x_i^*) = 0$. From the exact sequence

$$0 \to G/(0:x_1^*) \xrightarrow{x_1^*} G \to G/x_1^*G \to 0,$$

we get an exact sequence:

$$0 = \left[H_{\mathfrak{M}}^{d^{-1}}(G/x_1^*G)\right]_n \to \left[H_{\mathfrak{M}}^d(G)\right]_n \xrightarrow{x_1^*} \left[H_{\mathfrak{M}}^d(G)\right]_n \to 0,$$

for all $n > a(G/x_1^*G)$. In particular, x_1^* is a nonzero divisor of $[H_{\mathfrak{M}}^d(G)]_n$. Take $u \in [H_{\mathfrak{M}}^d(G)]_n$. It is known that $(x_1^*)^p u = 0$ for some $p \ge 0$. Hence u = 0 and $[H_{\mathfrak{M}}^d(G)]_n = 0$. This shows that $a(G) \le a(G/x_1^*G)$. Repeating this process we get $a(G) \le a(\overline{G})$, where $\overline{G} = G/(\underline{x}^*)G$. Let J be a minimal reduction of I such that $r_J(I) = r(I)$. Then J* is a minimal reduction of G_+ and $r_{J^*}(G_+) = r_J(I)$. Note that, by [9, Proposition 10.20], G_+ is a $\mathfrak{M}\overline{G}$ -primary ideal with ht $\overline{G}_+ = \operatorname{ht} G_+ = \operatorname{ht} I$. In this case it follows from [9, Corollary 10.15] that $J^*/(\underline{x}^*)$ is also a minimal reduction of \overline{G}_+ (we do not need the assumption of Lemma 4.1). Hence $r(\overline{G}_+) \le r(G_+) = r(I)$. By Lemma 2.1 and (i) we then get

$$a(G) \le a(\overline{G}) = \underline{a}_s(\overline{G}) \le r(\overline{G}_+) - s \le r(I) - s < 0. \quad \square$$

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This theorem extends the following results of Goto-Shimoda (for m-primary case) and of Grothe Herrmann-Orbanz [6, Theorem 4.8]. It is also an immediate consequence of Lemmas 2.3 and 4.1. Note that, by a well known result of Huneke, if A is a C-M ring then the C-M property of A[It] forces G(I) to be C-M.

Corollary 5.5. Let A be a C-M ring and I an equimultiple ideal of A with $ht I \ge 1$. Then A[It] is C-M if and only if G(I) is C-M and $r(I) \le ht I - 1$.

Assume that I is an equimultiple ideal in a local C-M ring A. As we have mentioned before, the reduction number $r_J(I)$ is independent from the choice of a minimal reduction J provided that G(I) is C-M. It turns out that this is also true if A[It] is C-M, but A is not necessarily C-M (if A is a C-M ring, the C-M property of A[It] would imply the C-M property of G(I) and there is nothing new).

Proposition 5.6. Let I be an equimultiple ideal of A. Assume that A[It] is C-M. Then r(I) = reg(G(I)). In particular, the reduction number r(I) is independent from the choice of minimal reduction.

Proof. We can assume that s = ht I > 0. Let $J = (x_1, \ldots, x_s) \subseteq I$ be a minimal reduction of I. Then $J^* = (x_1^*, \ldots, x_s^*)$ is a minimal reduction of G_+ and $r_J(I) = r_{J^*}(G_+)$. First, let us consider the case of m-primary ideals, i.e. s = d. By Lemma 2.3, $[H^i_{\mathfrak{M}}(G)]_n = 0$ for i < d and $n \neq -1$. Hence, by [22, Corollary 3.12], G_+ is a standard ideal of G. By [22, Proposition 3.1], it implies that x_1^*, \ldots, x_d^* is a d-sequence. In this case, by [23, Corollary 3.3 and Lemma 3.4], we have $r_{J^*}(G_+) = \text{reg } G$. This means that $r_J(I)$ does not depend on the choice of J and r(I) = reg G.

Now, let s < d. Since *It* contains a homogeneous parameter element of A[It] (see [6, Proposition 2.6]), *I* satisfies the assumption of Corollary 5.3. Therefore reg $G = \text{reg}_1(G)$. Further, by [24, Theorem 5.3], A/I^n and $A/(\underline{x})[(I/\underline{x})t]$ are C-M rings for all $n \ge 1$. By Lemmas 4.3 (ii) and 2.1 we then get

$$r_J(I) \le \operatorname{reg} G = \operatorname{reg}_1 G \le \operatorname{reg}_1 G(I/\underline{x}) \le \operatorname{reg}(G/\underline{x})) = r_{J/x}(I/\underline{x}).$$

The last equality follows from the case of m-primary ideals and the fact that J/\underline{x} is also a minimal reduction of I/\underline{x} (Lemma 4.1). It is obvious that $r_{J/\underline{x}}(I/\underline{x}) \leq r_J(I)$. Hence $r(I) = r_J(I) = \text{reg } G$, as required. \Box

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