

Lectures on Grothendieck Duality

II: Derived Hom-Tensor adjointness. Local duality.

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1 Left-derived functors. Tensor and Tor.

1. Derived functors.

$Q_{\mathcal{A}}: \mathbf{K}(\mathcal{A}) \rightarrow \mathbf{D}(\mathcal{A})$ denotes the canonical functor from the homotopy category of an abelian category \mathcal{A} to its derived category.

Let $\mathcal{A}_1, \mathcal{A}_2$ be abelian categories, and set $Q_i := Q_{\mathcal{A}_i}$.

Let $\gamma: \mathbf{K}(\mathcal{A}_1) \rightarrow \mathbf{K}(\mathcal{A}_2)$ be a Δ -functor.

A **right-derived functor** $(\mathbf{R}\gamma, \zeta)$ of γ consists of a Δ -functor $\mathbf{R}\gamma: \mathbf{D}(\mathcal{A}_1) \rightarrow \mathbf{D}(\mathcal{A}_2)$ and a Δ -functorial map $\zeta: Q_2\gamma \rightarrow \mathbf{R}\gamma Q_1$ such that:

every Δ -functorial map $Q_2\gamma \rightarrow \Gamma$ where $\Gamma: \mathbf{K}(\mathcal{A}_1) \rightarrow \mathbf{D}(\mathcal{A}_2)$ takes quasi-isomorphisms to isomorphisms, factors uniquely as

$$Q_2\gamma \xrightarrow{\zeta} \mathbf{R}\gamma Q_1 \rightarrow \Gamma.$$

In other terms, omitting Q s, in the category whose objects are functorial $\mathbf{D}(\mathcal{A}_2)$ -maps of the form

$$\gamma(E) \rightarrow \Gamma(E) \quad (E \in \mathbf{K}(\mathcal{A}_1)),$$

with fixed source $Q_2\gamma$, and target Γ as above, the map $\zeta(E): \gamma(E) \rightarrow \mathbf{R}\Gamma(E)$ is an *initial object*—and thus it is *unique up to canonical isomorphism*.

Dually: A **left-derived functor** $(\mathbf{L}\gamma, \xi)$ of γ consists of a Δ -functor $\mathbf{L}\gamma: \mathbf{D}(\mathcal{A}_1) \rightarrow \mathbf{D}(\mathcal{A}_2)$ and a Δ -functorial map $\xi: \mathbf{L}\gamma Q_1 \rightarrow Q_2\gamma$ such that:

every Δ -functorial map $\Gamma \rightarrow Q_2\gamma$ where $\Gamma: \mathbf{K}(\mathcal{A}_1) \rightarrow \mathbf{D}(\mathcal{A}_2)$ takes quasi-isomorphisms to isomorphisms, factors uniquely as

$$\Gamma \rightarrow \mathbf{L}\gamma Q_1 \xrightarrow{\xi} Q_2\gamma.$$

Here ξ is a *final object* in the appropriate category of functorial maps.

Tensor product

We've already seen some right-derived functors, $\mathbf{R}\Gamma(-)$ and $\mathbf{R}\mathrm{Hom}(-, -)$.

Describe next an important example of a left-derived functor.

The **tensor product** $C \otimes_R D$ of two R -complexes is such that

$$(C \otimes_R D)^n = \bigoplus_{i+j=n} C^i \otimes_R D^j,$$

the differential $\delta^n: (C \otimes_R D)^n \rightarrow (C \otimes_R D)^{n+1}$ being determined by

$$\delta^n(x \otimes y) = d_C^i x \otimes y + (-1)^i x \otimes d_D^j y \quad (x \in C^i, y \in D^j).$$

Fixing D , we get a functor $\gamma_D := - \otimes_R D: \mathbf{K}(R) \rightarrow \mathbf{K}(R)$, that, together with $\theta :=$ the identity map of $C[1] \otimes_R D = (C \otimes_R D)[1]$, is a Δ -functor.

There is an isomorphism $\rho: \gamma'_C(D) := C \otimes_R D \xrightarrow{\sim} D \otimes_R C = \gamma_C D$ taking $x \otimes y$ to $(-1)^{ij} y \otimes x$.

There is then a unique Δ -functor (γ'_C, θ') such that ρ is Δ -functorial.

The map $\theta': \gamma'_C(D[1]) \xrightarrow{\sim} \gamma'_C(D)[1]$ is *not the identity*: its restriction to $C^i \otimes_R D^j$ is multiplication by $(-1)^i$.

q-flat resolutions

One gets a left-derived functor $- \otimes_R D$ of γ_D as follows:

An R -complex F is **q-flat** if for every exact R -complex E (i.e., $H^i E = 0$ for all i), $F \otimes_R E$ is exact too.

Equivalently: *the functor $F \otimes_R -$ preserves quasi-isomorphism.*

(By the exactness of the homology sequence of a triangle, a map of complexes is a quasi-isomorphism iff its cone is exact, and tensoring with F "commutes" with forming cones.)

For example, any **bounded-above** (i.e., cohomology vanishing above some degree) **flat complex is q-flat**.

Every R -complex C has a **q-flat resolution**, i.e., a q-flat complex F plus a quasi-isomorphism $F \rightarrow C$.

This can be constructed as a \varinjlim of bounded-above flat resolutions of truncations of C .

For example, a flat resolution of an R -module M

$$\dots \rightarrow F^{-2} \rightarrow F^{-1} \rightarrow F^0 \rightarrow M \rightarrow 0$$

can be viewed as a q-flat resolution of M (as a complex).

Left-derived tensor product

After choosing for each C a q-flat resolution $F_C \rightarrow C$, one shows that there exists a left-derived functor $- \otimes_R D$ of γ_D with

$$C \otimes_R D = F_C \otimes_R D$$

If $F_D \rightarrow D$ is a q-flat resolution, there are natural $\mathbf{D}(R)$ -isomorphisms

$$C \otimes_R F_D \xleftarrow{\sim} F_C \otimes_R F_D \xrightarrow{\sim} F_C \otimes_R D,$$

so any of these complexes could be used to define $C \otimes_R D$. Using $F_C \otimes_R F_D$ one can, as before, make $C \otimes_R D$ into a Δ -functor of both variables C and D .

As such, it has a universal mapping property as above, but with respect to two-variable functors.

Taking homology produces the **(hyper)tor functors**

$$\boxed{\mathrm{Tor}_i(C, D) = H^{-i}(C \otimes_R D)}.$$

2 Hom-Tensor adjunction.

Relations between Ext and Tor—in particular, as we'll see, Local Duality—are neatly encapsulated by a derived-category upgrade of the basic **adjoint associativity** relation between Hom and \otimes .

For R -modules E, F, G , adjoint associativity is the isomorphism

$$\mathrm{Hom}_R(E \otimes_R F, G) \xrightarrow{\simeq} \mathrm{Hom}_R(E, \mathrm{Hom}_R(F, G))$$

that takes $\phi: E \otimes_R F \rightarrow G$ to $\phi': E \rightarrow \mathrm{Hom}_R(F, G)$ where

$$[\phi'(e)](f) = \phi(e \otimes f) \quad (e \in E, f \in F).$$

More generally, with $\varphi: R \rightarrow S$ a homomorphism of commutative rings, E, F, S -complexes and G an R -complex, there is an isomorphism of S -complexes

$$\mathrm{Hom}_R^\bullet(E \otimes_S F, G) \xrightarrow{\simeq} \mathrm{Hom}_S^\bullet(E, \mathrm{Hom}_R^\bullet(F, G)) \quad (\mathrm{adj})$$

that in degree n takes a family $(\phi_{ij}: E^i \otimes_S F^j \rightarrow G^{i+j+n})$ to the family $(\phi'_i: E^i \rightarrow \mathrm{Hom}_R^{i+n}(F, G))$ with $\phi'_i(e) = (\phi'_{ij}(e): F_j \rightarrow G^{i+j+n})$ where

$$[\phi'_{ij}(e)](f) = \phi_{ij}(e \otimes f) \quad (e \in E^i, f \in F^j).$$

Derived adjoint associativity

With $\varphi: R \rightarrow S$ as before, let $\varphi_*: \mathbf{D}(S) \rightarrow \mathbf{D}(R)$ denote the obvious **restriction of scalars** functor.

For a fixed S -complex E , the functor $\mathrm{Hom}_R^\bullet(E, G)$ from R -complexes G to S -complexes has a right-derived functor from $\mathbf{D}(R)$ to $\mathbf{D}(S)$ (gotten via q-injective resolution of G), denoted $\mathbf{RHom}_\varphi^\bullet(E, G)$.

If we replace G in (adj) by a q-injective resolution, and F by a q-flat one, then the S -complex $\mathrm{Hom}_R^\bullet(F, G)$ is easily seen to become q-injective; and consequently (adj) gives a $\mathbf{D}(S)$ -isomorphism

$$\alpha(E, F, G): \mathbf{RHom}_\varphi^\bullet(E \otimes_S F, G) \xrightarrow{\simeq} \mathbf{RHom}_S^\bullet(E, \mathbf{RHom}_\varphi^\bullet(F, G))$$

The map α is Δ -functorial. Showing this requires some additional grinding.

Derived Hom-Tensor adjunction

α does not depend on the choices of resolutions made above: it's canonically characterized by commutativity, for all E, F and G , of the following otherwise natural $\mathbf{D}(S)$ -diagram (where \mathbf{H}^\bullet stands for Hom^\bullet):

$$\begin{array}{ccccc} \mathbf{H}_R^\bullet(E \otimes F, G) & \longrightarrow & \mathbf{RH}_R^\bullet(\varphi_*(E \otimes F), G) & \longrightarrow & \mathbf{RH}_R^\bullet(\varphi_*(E \otimes_S F), G) \\ (\mathrm{adj}) \downarrow \simeq & & & & \simeq \downarrow \alpha \\ \mathbf{H}_S^\bullet(E, \mathbf{H}_R^\bullet(F, G)) & \longrightarrow & \mathbf{RH}_S^\bullet(E, \mathbf{H}_R^\bullet(F, G)) & \longrightarrow & \mathbf{RH}_S^\bullet(E, \mathbf{RH}_R^\bullet(\varphi_* F, G)) \end{array}$$

Application of the functor \mathbf{H}^0 to α yields a functorial isomorphism

$$\mathrm{Hom}_{\mathbf{D}(R)}(\varphi_*(E \otimes_S F), G) \xrightarrow{\simeq} \mathrm{Hom}_{\mathbf{D}(S)}(E, \mathbf{RHom}_\varphi^\bullet(F, G)),$$

Thus, for fixed $F \in \mathbf{D}(S)$, there is a natural adjunction between the functors

$$\varphi_*(- \otimes_S F): \mathbf{D}(S) \rightarrow \mathbf{D}(R) \quad \text{and} \quad \mathbf{RHom}_R^\bullet(\varphi_* F, -): \mathbf{D}(R) \rightarrow \mathbf{D}(S).$$

3 Abstract local duality.

Recall briefly the connection between $\mathbf{R}\Gamma_J$ and Koszul complexes.

R is a commutative *noetherian* ring; $\otimes := \otimes_R$.

$\mathbf{t} = (t_1, \dots, t_m)$ is a sequence in R , generating the ideal $I := \mathbf{t}R$.

For $t \in R$, let $\mathcal{K}(t)$ be the complex that in degrees 0 and 1 is the usual map from R to the localization R_t , and that vanishes elsewhere.

For any R -complex C , define the “stable” Koszul complex

$$\mathcal{K}(\mathbf{t}) := \mathcal{K}(t_1) \otimes \cdots \otimes \mathcal{K}(t_m), \quad \mathcal{K}(\mathbf{t}, C) := \mathcal{K}(\mathbf{t}) \otimes C.$$

Since the complex $\mathcal{K}(\mathbf{t})$ is flat and bounded, hence q-flat, therefore $\mathcal{K}(\mathbf{t}, -)$ takes quasi-isomorphisms to quasi-isomorphisms, and so may—and will—be regarded as a functor from $\mathbf{D}(R)$ to $\mathbf{D}(R)$.

Given a q-injective resolution $C \rightarrow E_C$ we have for $E = E_C^j$ ($j \in \mathbb{Z}$),

$$\Gamma_I E = \ker(\mathcal{K}^0(\mathbf{t}, E) = E \rightarrow \bigoplus_{i=1}^m E_{t_i} = \mathcal{K}^1(\mathbf{t}, E)),$$

whence a $\mathbf{D}(R)$ -map

$$\delta(C): \mathbf{R}\Gamma_I C = \Gamma_I E_C \hookrightarrow \mathcal{K}(\mathbf{t}, E_C) \cong \mathcal{K}(\mathbf{t}, C).$$

The following proposition is a key to many properties of Γ_I .

(Details in §3 of “Lectures on Local Cohomology...”)

Proposition 1. *The $\mathbf{D}(R)$ -map $\delta(C)$ is a functorial isomorphism*

$$\mathbf{R}\Gamma_I C \xrightarrow{\sim} \mathcal{K}(\mathbf{t}, C).$$

Since $\mathcal{K}(\mathbf{t}, C) = \mathcal{K}(\mathbf{t}, R) \otimes C$ and $\mathcal{K}(\mathbf{t}, R) \cong \mathbf{R}\Gamma_I R$ is q-flat, therefore:

Corollary 2. *There is a functorial $\mathbf{D}(R)$ isomorphism*

$$\mathbf{R}\Gamma_I C \xrightarrow{\sim} (\mathbf{R}\Gamma_I R) \otimes C.$$

Taking homology, one gets $H_I^i(C) = H^i \mathbf{R}\Gamma_I C \cong \mathrm{Tor}_{-i}(\mathbf{R}\Gamma_I R, C) \quad (i \in \mathbb{Z})$.

Local duality

Let J be an S -ideal. Let $\varphi_J^\#: \mathbf{D}(R) \rightarrow \mathbf{D}(S)$ be the functor

$$\begin{aligned} \varphi_J^\#(G) &:= \mathbf{R}\mathrm{Hom}_\varphi^\bullet(\mathbf{R}\Gamma_J S, G) \\ &\cong \mathbf{R}\mathrm{Hom}_S^\bullet(\mathbf{R}\Gamma_J S, \mathbf{R}\mathrm{Hom}_\varphi^\bullet(S, G)) \quad (G \in \mathbf{D}(R)), \end{aligned}$$

The isomorphism results from setting $E = \mathbf{R}\Gamma_J S$ and $F = S$ in the derived adjoint associativity isomorphism

$$\alpha(E, F, G): \mathbf{R}\mathrm{Hom}_\varphi^\bullet(E \otimes_S F, G) \xrightarrow{\sim} \mathbf{R}\mathrm{Hom}_S^\bullet(E, \mathbf{R}\mathrm{Hom}_\varphi^\bullet(F, G)).$$

For $E \in \mathbf{D}(S)$ and $G \in \mathbf{D}(R)$, one has then functorial $\mathbf{D}(S)$ -isomorphisms

$$\mathbf{R}\mathrm{Hom}_\varphi^\bullet(\mathbf{R}\Gamma_J E, G) \xrightarrow{\sim} \mathbf{R}\mathrm{Hom}_\varphi^\bullet(E \otimes_S \mathbf{R}\Gamma_J S, G) \xrightarrow[\alpha]{\sim} \mathbf{R}\mathrm{Hom}_S^\bullet(E, \varphi_J^\# G).$$

Application of the functor $H^0 \varphi_*$ produces the **local duality isomorphism**

$$\mathrm{Hom}_{\mathbf{D}(R)}(\varphi_* \mathbf{R}\Gamma_J E, G) \xrightarrow{\sim} \mathrm{Hom}_{\mathbf{D}(S)}(E, \varphi_J^\# G),$$

an adjunction between the functors $\varphi_* \mathbf{R}\Gamma_J$ and $\varphi_J^\#$.

4 Concrete local duality.

Henceforth, all rings are **noetherian** as well as commutative.

Concrete versions of local duality convey more information about $\varphi_J^\#$.

Suppose, e.g., that S is module-finite over R , and let $G \in \mathbf{D}_c(R)$, i.e., each homology module of $G \in \mathbf{D}(R)$ is finitely generated.

Suppose also that $\mathrm{Ext}_R^i(S, G)$ is a finitely-generated R -module for all $i \in \mathbb{Z}$, i.e., $\mathbf{RHom}_R^\bullet(\varphi_* S, G) \in \mathbf{D}_c(R)$. (This holds, e.g., if $H^i G = 0$ for all $i \ll 0$.)

Then $\mathbf{RHom}_\varphi^\bullet(S, G) \in \mathbf{D}_c(S)$, since, as is easily seen,

$$\varphi_* \mathbf{RHom}_\varphi^\bullet(S, G) \cong \mathbf{RHom}_R(\varphi_* S, G) \in \mathbf{D}_c(R).$$

Now **Greenlees-May duality** (= Grothendieck duality for the natural map $\mathrm{Spec}(\hat{S}) \rightarrow \mathrm{Spec}(S)$, with \hat{S} the J -adic completion of S), gives

$$\mathbf{RHom}_S^\bullet(\mathbf{R}\Gamma_J S, F) \cong F \otimes_S \hat{S} \quad (F \in \mathbf{D}_c(S)).$$

In particular:

$$\varphi_J^\# G = \mathbf{RHom}_S^\bullet(\mathbf{R}\Gamma_J S, \mathbf{RHom}_\varphi^\bullet(S, G)) \cong \mathbf{RHom}_\varphi^\bullet(S, G) \otimes_S \hat{S}.$$

In particular, for $S = R$ and $\varphi = \mathrm{id}$ (the identity map) one gets

$$\mathrm{id}_J^\# G = G \otimes_R \hat{R} \quad (G \in \mathbf{D}_c(R)).$$

Specialize further to where R is local, $\varphi = \mathrm{id}$, $J = \mathfrak{m}$, the maximal ideal of R , and $G \in \mathbf{D}_c(R)$ is a **normalized dualizing complex**, so that in $\mathbf{D}(R)$, $\mathcal{I} := \mathbf{R}\Gamma_{\mathfrak{m}} G$ is an R -injective hull of R/\mathfrak{m} .

Then there is a natural isomorphism

$$\mathbf{RHom}_R^\bullet(\mathbf{R}\Gamma_{\mathfrak{m}} E, \mathcal{I}) = \mathbf{RHom}_R^\bullet(\mathbf{R}\Gamma_{\mathfrak{m}} E, \mathbf{R}\Gamma_{\mathfrak{m}} G) \cong \mathbf{RHom}_R^\bullet(\mathbf{R}\Gamma_{\mathfrak{m}} E, G)$$

Substitution into the local duality isomorphism gives, for all $E \in \mathbf{D}(R)$,

$$\boxed{\mathbf{RHom}_R^\bullet(\mathbf{R}\Gamma_{\mathfrak{m}} E, \mathcal{I}) \xrightarrow{\sim} \mathbf{RHom}_R^\bullet(E, \mathrm{id}_J^\# G) = \mathbf{RHom}_R^\bullet(E, G \otimes_R \hat{R}).}$$

For $E \in \mathbf{D}_c(R)$ this is just **classical local duality**, modulo Matlis duality.

More familiar local duality

Applying homology H^{-i} one gets the duality isomorphism

$$\mathrm{Hom}_R(H_{\mathfrak{m}}^i E, \mathcal{I}) \xrightarrow{\sim} \mathrm{Ext}_R^{-i}(E, G \otimes_R \hat{R}).$$

Suppose R **Cohen-Macaulay**, i.e., there's an \mathfrak{m} -primary ideal generated by an R -regular sequence of length $d := \dim(R)$. Then $H_{\mathfrak{m}}^i R = 0$ for $i \neq d$.

Since \hat{R} is R -flat, the preceding isomorphism now yields, for $i \neq d$,

$$0 = \mathrm{Ext}_R^{-i}(R, G \otimes_R \hat{R}) = H^{-i} \mathbf{RHom}^\bullet(R, G \otimes_R \hat{R}) = H^{-i}(G \otimes_R \hat{R}) = (H^{-i} G) \otimes_R \hat{R}.$$

Hence $H^{-i} G = 0$, so there is a derived-category isomorphism

$$G \cong \omega[d], \text{ where } \omega := H^{-d} G, \text{ a canonical module of } R.$$

Thus, when R is Cohen-Macaulay local duality takes the familiar form

$$\boxed{\mathrm{Hom}_R(H_{\mathfrak{m}}^i E, \mathcal{I}) \xrightarrow{\sim} \mathrm{Ext}_R^{d-i}(E, \hat{\omega}).}$$

5 Residues and duality for power series rings.

Another situation in which $\varphi_J^\#$ can be described concretely is when φ is the inclusion of R into a power-series ring $S := R[[\mathbf{t}]] := R[[t_1, \dots, t_m]]$, and J is the ideal $\mathbf{t}S = (t_1, \dots, t_m)S$.

There exist an S -module $\hat{\Omega}_{S/R}$ and an R -derivation $d: S \rightarrow \hat{\Omega}_{S/R}$ such that (dt_1, \dots, dt_m) is a free S -basis of $\hat{\Omega}_{S/R}$, characterized by the universal property that for any finitely-generated S -module M and R -derivation $D: S \rightarrow M$ there is a unique S -linear map $\delta: \hat{\Omega}_{S/R} \rightarrow M$ such that $D = \delta d$.

Let $\hat{\Omega}^m$ ($m > 0$) be the m -th exterior power of $\hat{\Omega}_{S/R}$, a free rank-one S -module with basis $dt_1 \wedge dt_2 \cdots \wedge dt_m$.

Then (fact) there is a **canonical functorial isomorphism**

$$\varphi_J^\# G \xrightarrow{\sim} G \otimes \hat{\Omega}^m[m] \quad (G \in \mathbf{D}_c(R)).$$

Residue map

There is a natural surjection

$$\pi: (\hat{\Omega}^m)_{t_1 t_2 \cdots t_m} = \mathcal{K}^m(\mathbf{t}, \hat{\Omega}^m) \rightarrow \mathbf{H}^m \mathcal{K}(\mathbf{t}, \hat{\Omega}^m) = \mathbf{H}_J^m \hat{\Omega}^m$$

For $\nu \in \hat{\Omega}^m$ and nonnegative integers n_1, \dots, n_m , set

$$\left[\begin{array}{c} \nu \\ t_1^{n_1}, \dots, t_m^{n_m} \end{array} \right] := \pi \left(\frac{\nu}{t_1^{n_1} \cdots t_m^{n_m}} \right).$$

Theorem 3. *There is a canonical (i.e., depending only on the topological R -algebra S) **residue map***

$$\text{res}_{S/R}: \mathbf{H}_J^m \hat{\Omega}^m \rightarrow R,$$

such that

$$\text{res}_{S/R} \left[\begin{array}{c} dt_1 \cdots dt_m \\ t_1^{n_1}, \dots, t_m^{n_m} \end{array} \right] = \begin{cases} 1 & \text{if } n_1 = \cdots = n_m = 1, \\ 0 & \text{otherwise.} \end{cases}$$

Canonical local duality

As a concrete realization of the abstract local duality theorem, one has, in the preceding situation, an affine version of Serre duality:

Theorem 4. *There is, for S -modules E , a canonical functorial isomorphism*

$$\text{Hom}_R(\mathbf{H}_J^m E, R) \xrightarrow{\sim} \text{Hom}_S(E, \hat{\Omega}^m)$$

that for $E = \hat{\Omega}^m$ takes $\text{res}_{S/R}$ to the identity map of $\hat{\Omega}^m$.

In other words:

The functor $\text{Hom}_R(\mathbf{H}_J^m E, R)$ of S -modules E is represented by $(\hat{\Omega}^m, \text{res}_{S/R})$.

Proofs of the foregoing statements are in “Lectures . . .” §5.

Wrap-up

It has been illustrated that duality theory is a (gold) coin with two faces, the abstract and the concrete.

Typically, concrete theorems are more striking, and harder to prove directly than their abstract counterparts; but passing from abstract to concrete is not easy—it is one of the most challenging aspects of the area.