Complexity of the Normalization of an Algebra

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Outline

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5 Summary



Let **R** be a normal unmixed integral domain and let **A** be an (usually semistandard graded) **R**-algebra of integral closure \overline{A} . Estimating the number of steps that general algorithms must take to build \overline{A} can be viewed as an invariant of **A**. We develop a general approach which in two major cases, algebras that allow Noether normalizations (such as affine graded algebras over fields or **Z**) and Rees algebras of ideals or modules, give estimates related to invariants of **A**, in particular they can be said to be known *ab initio*.

This talk uses many sources, but particularly joint work with K. Dalili, J. Hong, T. Pham, C. Polini and B. Ulrich.

Introduction

Let ${\bf R}$ be a geometric/arithmetic integral domain, and let ${\bf A}$ be a graded algebra

$$\mathbf{A} = \mathbf{R}[x_1, \ldots, x_n], \quad x_i \text{ homogeneous.}$$

An element u in the total ring of fractions of A is integral over A if there is an equation

$$u^{n} + a_{n-1}u^{n-1} + \cdots + a_{0} = 0, \quad a_{i} \in \mathbf{A}.$$

The set of all such u is A. If A is reduced (and the algebra is Z^r-graded)

$$\overline{\mathbf{A}} = \mathbf{R}[y_1, \dots, y_m], \quad y_i \text{ homogeneous.}$$

A main issue is to find such elements.

General Goals

O Construction of $\overline{\mathbf{A}}$: Find processes \mathcal{P} that create extensions

 $\mathbf{A}\mapsto \mathcal{P}(\mathbf{A})\subset \overline{\mathbf{A}},$

$$\mathcal{P}^n(\mathbf{A}) = \overline{\mathbf{A}}, \quad n \gg 0.$$

- **2** Typically $\mathcal{P}(\mathbf{A}) = \operatorname{Hom}_{\mathbf{A}}(I(\mathbf{A}), I(\mathbf{A}))$, where $I(\mathbf{A})$ is some ideal connected to the conductor/Jacobian of \mathbf{A} .
- Solution Predicting properties of $\overline{\mathbf{A}}$ in \mathbf{A} , possibly by adding up the changes $\mathcal{P}^{i}(\mathbf{A}) \rightarrow \mathcal{P}^{i+1}(\mathbf{A})$.

Specific Goals

1 Numerical Indices for $\overline{\mathbf{A}}$: e.g. Find *r* such that

$$\overline{\mathbf{A}}_{n+r} = \mathbf{A}_n \cdot \overline{\mathbf{A}}_r, \quad n \ge 0.$$

2 How many "steps" are there between A and \overline{A} ,

$$\mathbf{A} = \mathbf{A}_0 \subset \mathbf{A}_1 \subset \cdots \subset \mathbf{A}_{s-1} \subset \mathbf{A}_s = \overline{\mathbf{A}},$$

where the A_i are constructed by an effective process?

- Sector Se
- Generators of A: Number and distribution of their degrees

For the first of these goals, bounding the length of the chains

$$\mathbf{A}=\mathbf{A}_0\subset\mathbf{A}_1\subset\cdots\subset\mathbf{A}_{s-1}\subset\mathbf{A}_s=\overline{\mathbf{A}},$$

there are 'internal' bounds: If **A** is Gorenstein in codimension one, the descending chain of the conductors, $c(\mathbf{A}_i) = \text{Hom}_{\mathbf{A}}(\mathbf{A}_i, \mathbf{A})$

$$\mathbf{A} = \mathfrak{c}(\mathbf{A}_0) \supset \mathfrak{c}(\mathbf{A}_1) \supset \cdots \supset \mathfrak{c}(\mathbf{A}_{s-1}) \supset \mathfrak{c}(\mathbf{A}_s) = \mathfrak{c}(\overline{\mathbf{A}})$$

comes with a descending chain restriction. The point however is to express these bounds by 'external' means.

Affine Domains

Theorem

Let **A** be a semistandard graded domain over a perfect k. If **A** has degree e over a (graded) Noether normalization, then for any chain of distinct extensions with the condition S_2 of Serre

$$\mathbf{A} = \mathbf{A}_0 \subset \mathbf{A}_1 \subset \cdots \subset \mathbf{A}_{s-1} \subset \mathbf{A}_s = \overline{\mathbf{A}},$$

The Tale of Two Degrees

Let **R** be a commutative Noetherian ring, and let **A** be a finitely generated graded algebra (of integral closure \overline{A}). We want to gauge the 'distance' from **A** to \overline{A} . To this end, we introduce two degree functions:

0 tn : $\pmb{A}\to\mathbb{N},$ for a certain class of algebras (includes \pmb{R} a field). We shall use for distance

$$\operatorname{tn}(\mathbf{A}) - \operatorname{tn}(\overline{\mathbf{A}})$$

jdeg : a multiplicity on all finitely generated graded A-modules. We shall use for distance

 $jdeg(\overline{\mathbf{A}}/\mathbf{A})$

The Tracking Number of Graded Algebra

Consider a graded $\mathbf{R} = k[z_1, ..., z_r]$ -module *E*: Suppose *E* has torsionfree rank *r*. The *determinant* of *E* is the graded module

$$\det_{\mathbf{R}}(E) = (\wedge^{r} E)^{**}.$$

If E is a free **R**–module,

 $E = \mathbf{R}\epsilon_1 \oplus \cdots \oplus \mathbf{R}\epsilon_n$

with free generator ϵ_i of degree d_i , then

$$\det_{\mathbf{R}}(E) = (\wedge^{r}E)^{**} = \mathbf{R}(\epsilon_{1} \wedge \cdots \wedge \epsilon_{n})$$

a free **R**-module with a generator of degree $\sum d_i$

In general the determinant is a free **R**-module of rank 1 (as **R** is factorial):

$$\det_{\mathbf{R}}(E) \simeq \mathbf{R}[-c(E)], \quad \operatorname{tn}(E) := c(E)$$

The integer c(E) is the **tracking number** of *E*.

If *E* has no associated primes of codimension 1, tn(E) can be read off the Hilbert series $H_E(t)$ of *E*:

$$\mathcal{H}_{\mathcal{E}}(t) = rac{\mathbf{h}(t)}{(1-t)^d},$$

$$\operatorname{tn}(E) = \mathbf{h}'(1)$$

This shows that tn(E) is independent of **R**.

Example

Let f be a homogeneous polynomial

$$\mathbf{f} = x^e + a_{e-1}x^{e-1} + \dots + a_0 \in k[x, z_1, \dots, z_d]$$

and set

$$\mathbf{A} = k[x, z_1, \dots, z_d]/(\mathbf{f})$$

The Hilbert series of A is

$$H(t) = \frac{1 + t + \dots + t^{e-1}}{(1-t)^d} = \frac{h(t)}{(1-t)^d}$$

Its multiplicity is $e(\mathbf{A}) = h(1) = e$, and its tracking number is

$$\operatorname{tn}(\mathbf{A}) = c(\mathbf{A}) = h'(1) = \begin{pmatrix} e \\ 2 \end{pmatrix}$$

Tracking number as a coordinate tag

Proposition

Let $\mathbf{R} = k[z_1, ..., z_d]$ and $E \subset F$ two graded \mathbf{R} -modules of the same rank. If E and F have the condition S_2 of Serre,

 $\operatorname{tn}(E) \ge \operatorname{tn}(F),$

with equality if and only if E = F.

Corollary

Let

$$E_0 \subset E_1 \subset \cdots \subset E_n$$

be a sequence of distinct f.g. graded ${\bf R}\mbox{-modules}$ of the same rank. Then

$$n \leq \operatorname{tn}(E_0) - \operatorname{tn}(E_n).$$

Bounding Chains of Algebras with Degrees

Let $\mathbf{R} = k[z_1, ..., z_d]$. Let **A** (integral domain) be a finitely generated graded **R**-algebra. If the base field *k* is perfect, we use the theorem of the primitive element to get

$$\mathbf{A}_0 = k[t, z_1, \dots, z_d]/(\mathbf{f}) \subset \mathbf{A}$$

with the same field of fractions. Let \overline{A} be the integral closure of A. Both A_0 and \overline{A} have the condition S_2 of Serre, so by the Proposition above we have that any chain of distinct subalgebras of \overline{A}

$$\mathbf{A}_0 \subset \mathbf{A}_1 \subset \cdots \subset \mathbf{A}_n$$

has the property

$$n \leq \operatorname{tn}(\mathbf{A}_0) - \operatorname{tn}(\mathbf{A}_n)$$

If in $\mathbf{A}_0 = k[t, z_1, \dots, z_d]/(\mathbf{f}) \subset \mathbf{A}$, deg $\mathbf{f} = \mathbf{e}$, tn $(\mathbf{A}_0) = \binom{\mathbf{e}}{2}$, to bound n we need:

Theorem

Let **A** be a reduced non-negatively graded algebra that is finite over a standard graded Noether normalization **R**. Then $tn(\mathbf{A}) \ge 0$. Moreover, if **A** is an integral domain and k is algebraically closed, then $tn(\mathbf{A}) \ge deg(\mathbf{A}) - 1$.

This gives the bounds on length

n ≤ (^e₂), in the first case
 n ≤ (^{e-1}₂), in the other case

jdeg: Generalizing the Classical Multiplicity

Recall the notation: If M is a finitely graded **A**-module and I is a set of elements of **A**,

$$H^0_I(M) = \{m \in M \mid I^n m = 0\}$$

Definition

Let **R** be a Noetherian ring and **A** be a finitely generated graded **R**-algebra where $\mathbf{A} = \mathbf{R}[A_1]$. For a finitely generated graded **A**-module *M*, and a prime ideal \mathfrak{p} of **R**, let

$$H=H^0_{\mathfrak{p}\mathbf{R}_\mathfrak{p}}(M_\mathfrak{p}).$$

The j_p -multiplicity of *M* is the integer

$$j_{\mathfrak{p}}(M) := \begin{cases} \deg H & \text{if } \dim H = \dim M_{\mathfrak{p}} \\ 0 & \text{otherwise} \end{cases}$$

jdeg

Definition

Let **R** be a Noetherian ring and **A** be a finitely generated graded **R**-algebra where $\mathbf{A} = \mathbf{R}[A_1]$. For a finitely generated graded *A*-module *M*,

$$\operatorname{jdeg}(M) := \sum_{\mathfrak{p} \in Spec \mathbf{R}} j_{\mathfrak{p}}(M).$$

This is a finite sum, and nonzero if $M \neq O$.

It does not seem to say much: If **R** is an integral domain, $jdeg((\mathbf{R}[x]) = 1!$

Properties of jdeg

One the other hand, it has some surprising properties:

Theorem (Invariance)

Let **R** be a (somewhat weaker than Cohen-Macaulay) ring and let I be an ideal of **R**. Let **B** be a graded algebra with $\mathbf{A} = \mathbf{R}[It] \subsetneq \mathbf{B} \subset \overline{\mathbf{A}}$ and assume that **B** satisfies the condition S_2 of Serre. Then

 $jdeg(gr(\mathbf{A})) = jdeg(gr(\mathbf{B})).$

jdeg and Normalization

Theorem

Let **R** be a Noetherian domain and **A** a semistandard graded **R**-algebra with finite integral closure $\overline{\mathbf{A}}$. Consider a sequence of distinct integral graded extensions

$$\mathbf{A} = \mathbf{A}_0
ightarrow \mathbf{A}_1
ightarrow \mathbf{A}_2
ightarrow \cdots
ightarrow \mathbf{A}_s = \overline{\mathbf{A}},$$

where the A_i satisfy the S_2 condition of Serre. Then

 $\boldsymbol{s} \leq \operatorname{jdeg}(\overline{\boldsymbol{\mathsf{A}}}/\boldsymbol{\mathsf{A}}).$

This follows from the additivity property of certain exact sequences, such as those of the A_i : From

$$0 \rightarrow \boldsymbol{A}_2/\boldsymbol{A}_1 \rightarrow \boldsymbol{A}_3/\boldsymbol{A}_1 \rightarrow \boldsymbol{A}_3/\boldsymbol{A}_2 \rightarrow 0$$

get

$$\operatorname{jdeg}\left(\mathbf{A}_{3}/\mathbf{A}_{1}\right) = \operatorname{jdeg}\left(\mathbf{A}_{2}/\mathbf{A}_{1}\right) + \operatorname{jdeg}\left(\mathbf{A}_{3}/\mathbf{A}_{2}\right)$$

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Divisorial Generation

Question: How many generators must be added to **A** to get $\overline{\mathbf{A}}$?

Corollary

Let **A** be a finitely generated graded **R**-algebra as above. If $jdeg(\overline{\mathbf{A}}/\mathbf{A}) = m$ there exist homogeneous elements $y_1, \ldots, y_m \in \overline{\mathbf{A}}$ such that $\overline{\mathbf{A}}$ is the S_2 -ification of

 $\mathbf{A}[y_1,\ldots,y_m].$

The issue is to express bounds for $jdeg(\overline{A}/A)$ in terms of invariants of **A**. There are at least two classes of algebras when this is possible: Rees algebras of ideals/modules and algebras finite over polynomial subrings:

$$\mathbf{R}[x_1,\ldots,x_p] \subset \mathbf{A} \subset \mathbf{R}[t_1,\ldots,t_q]$$

The rings of polynomials serve as referential for various constructions. One knows already quite a lot about these issues. In these situations, one connects $jdeg(\overline{A}/A)$ to some invariant of **A**.

Noether Normalizations and Tracking Numbers

Let **R** be a normal domain and let **A** be a semistandard graded **R**-algebra of integral closure $\overline{\mathbf{A}}$. By a Noether normalization of **A** we mean a graded polynomial algebra

$$\mathbf{S} = \mathbf{R}[y_1, \ldots, y_r] \subset \mathbf{A}$$

over which **A** is finite. Unfortunately this does not happen often (e.g. fails for $\mathbb{C}[t]$), although Shimura established it for **R** = \mathbb{Z} , in one of his first papers.

Tracking number of a pair of algebras

In this setting one can define

$$\det_{\mathbf{S}}(\mathbf{A}) \simeq (\wedge^{r} \mathbf{A})^{**},$$

where *r* is the rank of **A** as an **S**-module. Given a pair of algebras $\mathbf{A} \subset \mathbf{B}$ of the same rank, one can attach a degree as follows. Fix det(**B**) and the image of det(**A**) in it, which we still denote by det(**A**). Now set

 $I = \operatorname{ann} (\operatorname{det}(\mathbf{B}) / \operatorname{det}(\mathbf{A})).$

This ideal is independent of the choices made. Let

$$I = (\bigcap \mathfrak{p}_i^{(r_i)}) \cap (\bigcap \mathfrak{q}_{\mathfrak{z}}^{(s_j)}),$$

is its primary decomposition, where we denote by p_i the primes that are extended from R, and q_i those that are not.

This means that $q_j \cap R = (0)$ and thus $q_j KS = (f_j)KS$, deg $(f_j) > 0$. We associate a *degree* to *I* by setting

$$\deg(I) = \sum_{i} r_i + \sum_{j} s_j \deg(f_j).$$

It depends only on the two algebras and of the embedding $\mathbf{A} \subset \mathbf{B}$. We will denote it by $\operatorname{tn}(\mathbf{A}, \mathbf{B})$. If *R* is a field, it is possible to define an invariant $\operatorname{tn}(\mathbf{A})$ directly as the degree of det(\mathbf{A}). It has many positivity properties One has $\operatorname{tn}(\mathbf{B}, \mathbf{A}) = \operatorname{tn}(\mathbf{A}) - \operatorname{tn}(\mathbf{B})$.

If
$$\mathbf{A} = \mathbb{Z}[x, y, z]/(z^3 + xz^2 + x^2y)$$
, $\mathbf{S} = \mathbb{Z}[x, y]$, then $\operatorname{tn}(\mathbf{A}, \overline{\mathbf{A}}) = 1$.

jdeg and Tracking Number

Theorem

Let **R** be a normal domain and let **A** be a semistandard graded **R**-algebra that admits a Noether normalization. Then

 $jdeg\left(\overline{\boldsymbol{\mathsf{A}}}/\boldsymbol{\mathsf{A}}\right)=tn(\boldsymbol{\mathsf{A}},\overline{\boldsymbol{\mathsf{A}}}).$

In case **R** is a field, a tracking number tn(A) can be defined, and

$$tn(\boldsymbol{\mathsf{A}},\overline{\boldsymbol{\mathsf{A}}})=tn(\boldsymbol{\mathsf{A}})-tn(\overline{\boldsymbol{\mathsf{A}}}).$$

 $tn(\mathbf{A})$ is obtained from Hilbert coefficients of the highest dimensional component of \mathbf{A} .

Hilbert functions and jdeg

Let $(\mathbf{R}, \mathfrak{m})$ be a Noetherian local ring of dimension d > 0 and let l be an \mathfrak{m} -primary ideal. Let $\mathbf{B} = \bigoplus_{n \ge 0} B_n t^n$ be a graded \mathbf{R} -subalgebra of $\mathbf{R}[t]$ with $\mathbf{R}[lt] \subset \mathbf{B} \subset \mathbf{R}[t]$ and assume that \mathbf{B} is a finite $\mathbf{R}[lt]$ -module. For any such algebra we consider the Hilbert–Samuel function $\lambda(R/B_n)$.

For $n \gg 0$ this function is given by the Hilbert–Samuel polynomial

$$e_0(\mathbf{B})\binom{n+d-1}{d} - e_1(\mathbf{B})\binom{n+d-2}{d-1} + \text{lower terms}$$

Notice that the $e_i(\mathbf{R}[It])$ coincide with the usual *Hilbert coefficients* $e_i(I)$ of *I*. Furthermore $e_0(\mathbf{B}) = e_0(I)$. By $\overline{\mathbf{R}[It]}$ we will always denote the integral closure of $\mathbf{R}[It]$ in $\mathbf{R}[t]$.

We write $\overline{e}_i(I)$ for the *normalized Hilbert coefficients* $e_i(\overline{\mathbf{R}[It]})$ of *I* in case $\overline{\mathbf{R}[It]}$ is a finite $\mathbf{R}[It]$ -module.

Proposition

In this case,

$$\operatorname{ideg}\left(\overline{\mathbf{R}[It]}/\mathbf{R}[It]\right) = \overline{e}_1(I) - e_1(I).$$

Briançon-Skoda numbers

Definition

If *I* is an ideal of a Noetherian ring **R**, the Briançon-Skoda number c(I) of *I* is the smallest integer *c* such that $\overline{I^{n+c}} \subset J^n$ for every *n* and every reduction *J* of *I*.

The motivation for this definition is a result of Briançon-Skoda asserting that for the rings of convergent power series over \mathbb{C}^n (later extended to regular local rings by Lipman- Sathaye) $c(I) < \dim \mathbf{R}$.

Theorem

Let $(\mathbf{R}, \mathfrak{m})$ be an analytically unramified Cohen–Macaulay local ring and let I be an \mathfrak{m} –primary ideal of Briançon-Skoda number c(I). Let **A** and **B** be distinct graded algebras with

$\mathbf{R}[\mathit{lt}] \subset \mathbf{A} \subsetneq \mathbf{B} \subset \overline{\mathbf{R}[\mathit{lt}]}$

and assume that **A** satisfies the condition S_2 of Serre. Then

$$c(I)e_0(I) \geq \overline{e}_1(I) \geq e_1(\mathbf{B}) > e_1(\mathbf{A}) \geq e_1(I) \geq 0.$$

In particular, any chain of subalgebras that satisfy the condition S_2 of Serre has length at most $\overline{e}_1(I)$.

Theorem: Let $(\mathbf{R}, \mathfrak{m})$ be a local Cohen-Macaulay algebra of type *t* essentially of finite type over a perfect field *k*. Let *l* be an \mathfrak{m} -primary ideal.

• If $\delta \in \operatorname{Jac}_k(\mathbf{R})$ is a non zerodivisor, then

$$\overline{e}_1(I) \leq rac{t}{t+1}((d-1)e_0(I) + e_0(I+\delta \mathbf{R}/\delta \mathbf{R})).$$

If the assumptions above hold, then

$$\overline{e}_1(I) \leq (d-1)(e_0(I) - \lambda(\mathbf{R}/\overline{I})) + e_0(I + \delta \mathbf{R}/\delta \mathbf{R}).$$

• If \mathbf{R}/\mathfrak{m} is infinite, then

$$\overline{e}_1(I) \leq c(I) \min \{ \frac{t}{t+1} e_0(I), e_0(I) - \lambda(\mathbf{R}/\overline{I}) \}.$$

Corollary

If **R** is a regular local ring of dimension d, $\overline{e}_1(I) \leq \frac{1}{2}(d-1)e_0(I)$.

If *I* is a monomial ideal, R. Villarreal derived a refined version from Ehrhart's reciprocity theorem.

Theorem

Let **R** be a Cohen-Macaulay reduced quasi-unmixed ring and let I be an ideal of Briançon-Skoda number c(I) (or the modified value mentioned above in the case of isolated singularities). Then

 $\operatorname{jdeg}(\overline{\mathbf{R}[lt]}/R[lt]) \leq c(l) \cdot \operatorname{jdeg}(\operatorname{gr}_{l}(\mathbf{R})).$

Let **R** be a Noetherian ring, let *E* be a finitely generated torsionfree **R**-module having a rank, and choose an embedding $\varphi : E \hookrightarrow \mathbf{R}^r$. The *Rees algebra* $\mathcal{R}(E)$ of *E* is the subalgebra of the polynomial ring **R**[t_1, \ldots, t_r] generated by all linear forms $a_1 t_1 + \cdots + a_r t_r$, where (a_1, \ldots, a_r) is the image of an element of *E* in **R**^{*r*} under the embedding φ .

The Rees algebra $\mathcal{R}(E)$ is a standard graded algebra whose *n*th component is denoted by E^n and is independent of the embedding φ since *E* is torsionfree and has a rank.

We will also consider another Rees algebra. The algebra $\mathcal{R}(E)$ is a subring of the polynomial ring $\mathbf{S} = \mathbf{R}[t_1, \dots, t_r]$. We consider the ideal (E) of \mathbf{S} generated by the forms in E, and its Rees algebra $\mathcal{R}((E))$. Denote by \mathbf{G} the associated graded ring $\operatorname{gr}_{(E)}(\mathbf{S})$.

Proposition

Let $(\mathbf{R}, \mathfrak{m})$ be a Noetherian integral domain of dimension d and let E be a torsionfree **R**–module of rank r with a fixed embedding $E \hookrightarrow R^r$. Then



1 The components of $\mathbf{G} = \bigoplus_{n \ge 0} E^n S / E^{n+1}$ have a natural grading

$$G_n = E^n + E^n S_1 / E^{n+1} + E^n S_2 / E^{n+1} S_1 + \cdots$$

- 2 There is a decomposition $\mathbf{G} = \mathcal{R}(E) + H$, where $\mathcal{R}(E)$ is the Rees algebra of E and H is the R-torsion submodule of G.
- **3** If $E \subset \mathfrak{m}\mathbf{R}^r$ and $\lambda(\mathbf{R}^r/E) < \infty$, $H = H^0_{\mathfrak{m}}(\mathbf{G})$ has dimension d + rand multiplicity equal to the Buchsbaum-Rim multiplicity of E.

Theorem

Let $E \subset \mathbf{R}^r$ be a module as above and let $(E) = E\mathbf{R}[t_1, \dots, t_r] \subset \mathbf{S}$. If $\mathbf{G} = \operatorname{gr}_{(E)}(\mathbf{S})$ then

$$\operatorname{jdeg}(\mathbf{G}) = \operatorname{br}(E) + 1.$$

- This recovers Buchsbaum-Rim multiplicities.
- It also permits the definition of a global BR multiplicity.

Theorem

Let **R** be a reduced quasi-unmixed ring and let *E* be a module of Briançon-Skoda number c((E)) (or as modified in the case of isolated singularities). Then

$$\operatorname{ideg}\left(\overline{\mathbf{S}[(E)t]}/\mathbf{S}[(E)t]\right) \leq c((E)) \cdot \operatorname{ideg}\left(\operatorname{gr}_{(E)}(\mathbf{S})\right).$$

Summary

- Do it all without Cohen-Macaulay baselines.
- 2 Target specific normalization processes.
- The length of general normalization processes can be predicted for graded algebras over arbitrary fields.
- In the arithmetic case the picture is less rosy. Even localization algorithms are lacking.
- Several complementary notions of degree have promise in the development of a general theory.

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