

TAMENESS AND LOCAL NORMAL BASES FOR OBJECTS OF FINITE HOPF ALGEBRAS

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ABSTRACT. Let R be a commutative ring, S an R -algebra, H a Hopf R -algebra, both finitely generated and projective as R -modules, and suppose S is an H -object, so that $H^* = \text{Hom}_R(H, R)$ acts on S via a measuring. Let I be the space of left integrals of H^* . We say S has normal basis if $S \cong H$ as H^* -modules, and S has local normal bases if $S_p \cong H_p$ as H_p^* -modules for all prime ideals p of R . When R is a perfect field, H is commutative and cocommutative, and certain obvious necessary conditions on S hold, then S has normal basis if and only if $IS = R = S^{H^*}$. If R is a domain with quotient field K , H is cocommutative, and $L = S \otimes_R K$ has normal basis as $(H^* \otimes K)$ -module, then S has local normal bases if and only if $IS = R = S^{H^*}$.

Suppose K is a number field with ring of integers R , L is a finite Galois extension of K with Galois group G , and S is the integral closure of R in L . Then G acts as a group of automorphisms of S . Relative Galois module theory seeks to understand S as an RG -module via this action. The most basic question is to inquire whether S is locally isomorphic to RG , that is, for all primes p of R , S_p has a local normal basis as a free R_p -module. This question was answered by Emmy Noether, who showed that S has a local normal basis at every prime p of R if and only if L/K is tamely ramified. Here, tamely ramified means that at each prime ideal p of R , the ramification index of any prime P of S lying over p is relatively prime to the residue field characteristic. It is well known that this latter condition is equivalent to the surjectivity of the trace map $\text{tr}: S \rightarrow R$, $\text{tr}(s) = \sum_{\sigma \in G} \sigma(s)$.

The purpose of this paper is to formulate and prove an extension of Noether's theorem to objects of finite cocommutative Hopf algebras.

Assume now only that R is a commutative ring, H is a Hopf R -algebra which is a finitely generated projective R -module, and $H^* = \text{Hom}_R(H, R)$, the dual Hopf algebra. A commutative R -algebra S is an H -object if S is a right H -comodule via a map $\alpha: S \rightarrow S \otimes H$ which is an R -algebra homomorphism. If S is an H -object, then α induces a measuring $\alpha^*: H^* \otimes S \rightarrow S$ in the sense of Sweedler [21].

Galois module theory in this setting is the study of S as an H^* -module via the measuring α^* . The "trivial" example is $S = H$ itself, with $\alpha = \Delta$, the comultiplication on H . So we say that the H -object S has normal basis if $S \cong H$ as H^* -modules, and S has local normal bases if for all primes p of R , $S_p \cong H_p$ as H_p^* -modules.

Since $RG \cong (RG)^*$ as RG -modules for G any finite group, this notion of normal basis, when specialized to $H^* = RG$, is equivalent to the classical notion.

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Noether’s result in the classical situation says that S/R has local normal bases if and only if the trace map is onto. The trace map is the result of acting by $\sum \sigma$, a generator of the space of integrals of the Hopf algebra RG . Thus in seeking an extension of Noether’s theorem to an H -object S , a natural condition to consider is that if I is the space of integrals of H^* , then $IS = R$. We call an H -object S tame if the induced H^* -module action on S is faithful, $\text{rank}_R S = \text{rank}_R H$, and $IS = R$.

Our main results are that if the Hopf algebra H is commutative and cocommutative and S is an H -object with $S^{H^*} = R$, then tameness of S is necessary and sufficient for S to have a normal basis when R is a perfect field, and is necessary and sufficient for S to have local normal bases when R is an integral domain with perfect quotient field K . These results are valid without the commutativity assumption on H if K has characteristic zero.

For H -objects where H is cocommutative, these results generalize both Noether’s theorem and Kreimer and Cook’s result [15] that Galois H -objects have local normal bases.

The paper is organized as follows.

The first two sections of the paper are devoted to basic properties of tame H -objects. We show that if S is an H -object which is Galois or which has local normal bases, then S is a tame H -object.

The next two sections contain the characterization of H -objects with normal basis over a perfect field, when H is commutative and cocommutative. The proof is very “abelian” in the sense that it uses the etale-connected decomposition of finite abelian group schemes over perfect fields.

The final section extends the characterization of H -objects with normal basis over fields to a similar characterization of H -objects with local normal bases over integral domains.

The basic references for this work are Sweedler [21] for the theory and notation of Hopf algebras, and Chase and Sweedler [7] for the theory of H -objects and, in particular, Galois H -objects.

Unadorned tensor products are over R .

Much of this work is contained in the second author’s doctoral dissertation [13]. We wish to thank the referee for numerous insightful suggestions.

1. Preliminaries. We begin by collecting the definitions and results on Hopf algebras which we will need.

Throughout, R is a commutative ring with unity.

(1.1) A Hopf R -algebra, in this paper, will be a finitely generated projective R -module together with maps

- $\mu: H \otimes H \rightarrow H$ (multiplication),
- $i: R \rightarrow H$ (unit),
- $\varepsilon: H \rightarrow R$ (counit),
- $\Delta: H \rightarrow H \otimes H$ (comultiplication), and
- $s: H \rightarrow H$ (antipode)

making H into a Hopf R -algebra. As is customary, we write

$$\mu(h_1 \otimes h_2) = h_1 h_2$$

and we adopt the Sweedler notation

$$\Delta(h) = \sum_{(h)} h_{(1)} \otimes h_{(2)}$$

for comultiplication.

(1.2) The linear dual $H^* = \text{Hom}_R(H, R)$ is a Hopf R -algebra with operations induced by duality; for example, for f, g in H^* ,

$$\Delta^*(f) = f \cdot \mu, \quad \mu^*(f \otimes g) = (f \otimes g) \circ \Delta.$$

The $*$ in Δ^* will often be suppressed when there is no danger of confusion.

(1.3) The augmentation ideal of H is $\ker\{\varepsilon: H \rightarrow R\}$.

(1.4) The space of integrals I of H is defined by

$$I = \{f \in H^* | gf = \varepsilon(g)f \text{ for all } g \text{ in } H^*\}.$$

Since H is finitely generated and projective as R -module, I is nonzero, and, in fact, as R -modules, $H^* \cong H \otimes I$ [21, p. 98], so that I is a rank one projective R -module.

(1.5) EXAMPLES. (a) If G is a finite group, the group ring RG is a Hopf algebra with ε, Δ, s defined by $\varepsilon(\sigma) = 1, \Delta(\sigma) = \sigma \otimes \sigma, s(\sigma) = \sigma^{-1}$, and $I = R(\sum_{\sigma \in G} \sigma)$.

(b) $(RG)^*$ is a Hopf algebra. If $\{v_\sigma\} \subseteq (RG)^*$ is the dual basis to $\{\sigma | \sigma \in G\}$, then the v_σ are pairwise orthogonal idempotents summing to 1, and

$$\begin{aligned} \Delta(v_\sigma) &= \sum_{\tau} v_\tau \otimes v_{\tau^{-1}\sigma}, \\ \varepsilon(v_\sigma) &= \delta_{1,\sigma} \quad (\text{Kronecker's delta}), \\ s(v_\sigma) &= v_{\sigma^{-1}}. \end{aligned}$$

Here $I = Rv_1$.

(c) Over rings of integers of algebraic number fields, group schemes of order p have been classified by J. Tate and F. Oort [22]; locally, and in some cases globally these group schemes are represented by Hopf algebras which are free of rank p . When $p = 2$ see also [17].

(1.6) Let R be a perfect field of characteristic p , and H be a Hopf R -algebra which is commutative and cocommutative. Then

$$H^* \cong H_1^* \otimes_R H_2^*,$$

where H_1^* is a separable R -algebra (cf. [23, p. 47]) and H_2^* is connected, that is, as algebra has the form

$$H_2^* = R[h_1, \dots, h_n] / \langle h_1^{p^{\epsilon_1}}, \dots, h_n^{p^{\epsilon_n}} \rangle$$

(where if $p = 0, H^* = H_1^*$). For a proof, see Waterhouse [23, pp. 52, 112].

(1.7) DEFINITION. A commutative R -algebra S is an H -object if S is a finitely generated projective R -module and a right H -comodule via a map $\alpha: S \rightarrow S \otimes H$ which is an R -algebra homomorphism. (Notation: $\alpha(s) = \sum_{(s)} s_{(0)} \otimes s_{(1)}$.)

(1.8) S is an H -object if and only if S is a left H^* -module via a module structure map $\cdot: H^* \otimes S \rightarrow S$ which is a measuring, in the sense that

$$f \cdot (st) = \sum_{(f)} (f_{(1)} \cdot s)(f_{(2)} \cdot t), \quad f \text{ in } H; s, t \text{ in } S.$$

The correspondence between α and \cdot is as follows:

$$f \cdot s = \sum_{(s)} \langle f, s_{(1)} \rangle s_{(0)},$$

where \langle , \rangle is the duality pairing $H^* \otimes H \rightarrow R$; if $\{h_i, f_i\}_{i \in I}$ is a projective coordinate system for H and H^* so that

$$h = \sum_{i \in I} f_i(h)h_i,$$

for all h in H , then

$$\alpha(s) = \sum_i f_i s \otimes h_i \quad (\text{cf. [21, p. 36]}).$$

(1.9) If S is an H -object, the fixed ring under the action of H^* is

$$S^{H^*} = \{s \in S \mid f \cdot s = \varepsilon(f)s \text{ for all } f \text{ in } H^*\}.$$

When $H^* = RG$, an H -object S is an R -algebra on which G acts as a group of R -algebra automorphisms and $S^{H^*} = S^G$, the fixed ring under the action of G .

(1.10) The trivial H -object is H itself, with $\alpha = \Delta$. Then H^* acts on H by

$$f \cdot h = \sum_{(h)} \langle f, h_{(1)} \rangle h_{(0)}.$$

(1.11) Suppose S is an H -object via α . Then S is a Galois H -object if the map $\gamma: S \otimes S \rightarrow S \otimes H$ defined by $\gamma(s \otimes t) = \sum_{(t)} st_{(0)} \otimes t_{(1)}$ is surjective. (By [16, 1.7] this is equivalent to γ being an isomorphism.)

(1.12) EXAMPLES. (a) S is a Galois $(RG)^*$ -object if and only if S is a Galois extension with group G in the sense of [6].

(b) S is a Galois RG -object if and only if $S = \sum_{\sigma \in G} S_\sigma$, where S_σ are rank one projective R -modules, with

$$S_\sigma S_\tau = S_{\sigma\tau} \quad \text{for all } \sigma, \tau \text{ in } G.$$

In particular, S is fully graded in the sense of Dade [10].

(c) H is a Galois H -object: the map $\gamma: H \otimes H \rightarrow H \otimes H$ defined by $\gamma(g \otimes h) = (g \otimes 1)\Delta(h) = \sum gh_{(1)} \otimes h_{(2)}$ has an inverse θ ([7, Proposition 9.1]),

$$\theta(g \otimes h) = \sum gs(h_{(1)}) \otimes h_{(2)} \quad (s = \text{antipode}).$$

(d) Sources of examples of Galois H -objects, $H \neq RG, (RG)^*$, include Chase and Sweedler [7, p. 35, Example 4.11], Chase [5, Proposition 5.2], Kreimer [17], Hurley [13], and Childs [8, 9].

(1.13) Suppose S is a Galois H -object. The smash product of S and H^* , $D = S \# H^*$, is defined to be $S \otimes H^*$ as R -module, with multiplication defined by

$$(s \# h)(\bar{s} \# \bar{h}) = \sum_{(h)} s(h_{(1)} \cdot \bar{s}) \# h_{(2)}\bar{h}.$$

Then $D \cong \text{End}_R(S)$. If M is any left D module, then M is also an H^* -module and $M \cong S \otimes (IM)$ as D -module where I is the space of integrals of H^* , via the map $s \otimes f \cdot m = s(f \cdot m)$ [7, p. 69].

From (1.13) we have immediately

(1.14) H is a faithful H^* -module,

and the useful

(1.15) PROPOSITION. *Suppose S, T are H -objects and $\phi: S \rightarrow T$ is an R -algebra, H^* -module homomorphism. If S is a Galois H -object and $IT = R$ where I is the space of integrals of H^* , then ϕ is an isomorphism.*

PROOF OF (1.15). View T as a $(D = S \# H^*)$ -module via $(s \# f)t = \phi(s)ft$: that is, S acts on T via ϕ . Then $T \cong S \otimes IT$ via $s \otimes ft \rightarrow \phi(s)ft$. If $IT = R$, then $S \cong S \otimes IT$ by $s \rightarrow s \otimes 1$, and the composite isomorphism $S \rightarrow S \otimes IT \rightarrow T$ is ϕ .

2. Tame objects. Let G be a finite group, R the ring of integers of an algebraic number field K , L a Galois extension field of K with group G , and S the ring of integers of L . Then $S \supset R$ is tame if for each prime ideal p of R , the ramification index of p in S is relatively prime to the characteristic of R/p . This condition is equivalent to the condition that the trace map $\text{tr}: S \rightarrow R$, $\text{tr}(s) = \sum \sigma(s)$, is onto [4, p. 33].

When R and S are not necessarily rings of integers, and G is a group of R -algebra automorphisms of S with $S^G = R$, notions of tameness have been developed by Auslander and Rim [1] and A. D. Barnard [2]. Auslander and Rim assume R is an integrally closed, local, Noetherian domain, and develop (without assuming a group G of automorphisms) a generalization of the ramification index using multiplicity theory. Tameness is defined as in the classical case to be the condition that for all primes of S , the ramification index is prime to the residue field characteristic. Barnard works with general commutative rings and develops a theory of decomposition group, inertia group, and ramification group analogous to the classical theory for number fields [4, p. 33]. Tameness is defined as triviality of the ramification group at every prime, which again conforms to the classical definition.

Both Auslander/Rim and Barnard show that in their respective situations, $S \supset R$ is tame if and only if the trace map $\text{tr}: S \rightarrow R$ is surjective.

If we translate these situations into Hopf algebra terms, we are considering S to be an H -object for $H = (RG)^*$. Then $S^G = S^{RG} = S^{H^*}$.

It is easy to verify that the image of the trace map is $(\sum \sigma)S$ and $\sum \sigma$ generates the space of integrals for $H = RG$. Thus the statement that $\text{tr}: S \rightarrow S^{RG} = R$ is surjective translates to $IS = S^{RG} = R$.

Note that for any s , $\text{tr}(s)$ is in R , so $IS \subseteq S^{RG}$. More generally, the reader may easily verify (or see [21, p. 203]):

(2.1) If H is a Hopf algebra and S an H -object, then $IS \subseteq S^{H^*}$.

The above observations motivate (c) of the next definition. Recall that in this paper both Hopf algebras and their objects are assumed to be finitely generated projective R -modules.

(2.2) DEFINITION. Suppose H is a Hopf R -algebra and S is an H -object. Then S is a tame H -object if

(a) $\text{rank}_R(S) = \text{rank}_R(H)$ as projective R -modules (this means locally at each prime ideal of R if S and H do not have constant rank);

(b) S is a faithful H^* -module; and

(c) $IS = S^{H^*} = R$.

In view of the preceding discussion it is clear that if $O_L \supset O_K$ is a tame extension of number rings, O_L is a tame $O_K G^*$ -object in our sense, and vice versa, conditions (a) and (b) being known to hold for number ring extensions.

When $H^* = RG$ and $R \subset S$ are rings of integers, S is a Galois extension of R if no prime ideal of R ramifies in S , and so Galois implies tame. That implication holds generally:

(2.3) PROPOSITION. *Let H be a Hopf algebra and S a Galois H -object. Then S is tame.*

PROOF. That $S^{H^*} = R$ is [7, Theorem 7.6]. If S is a Galois H -object, then for all primes p of R , $S \otimes S \otimes R_p \cong S \otimes H \otimes R_p$ as R_p -modules; it is then clear that the local ranks agree. The faithfulness of S follows from the isomorphism $S \# H^* \cong \text{End}_R(S)$.

For condition (c), we view S as a module over the smash product $D = S \# H^*$, $(s \# u) \cdot x = s(u \cdot x)$. Then by (1.13), $S = (IS)S$. But S is finitely generated and projective so a routine Cramer’s rule argument yields that $IS = R$ (or see the proof of (1.9) and (1.10) of [16]). It follows that S is a tame H -object.

(2.4) COROLLARY. $H^{H^*} = R = IH$.

For H is a Galois H -object (1.12)(c).

We wish to show that H -objects with local normal bases are tame. Using Kreimer and Cook’s result [15] that Galois H -objects have local normal bases, this will give a second proof of (2.3). We first need a “base change” lemma.

(2.5) LEMMA. (i) *If \tilde{R} is a flat extension of R and S is a tame H -object, then $S \otimes_R \tilde{R}$ is a tame $(H \otimes_R \tilde{R})$ -object.*

(ii) *If \tilde{R} is faithfully flat and S is an H -object such that $S \otimes \tilde{R}$ is a tame $(H \otimes \tilde{R})$ -object, then S is a tame H -object.*

PROOF. Set $\tilde{S} = S \otimes_R \tilde{R}$, $\tilde{H} = H \otimes_R R$, and $\tilde{H}^* = H^* \otimes_R \tilde{R}$ (unambiguous since H is finitely generated projective over R).

(a) If S, H are finitely generated and projective, then so are \tilde{S} and \tilde{H} , and conversely if \tilde{R} is faithfully flat [3, I, §3, no. 6, Proposition 12].

If $\text{rank}_R S = \text{rank}_R H$ locally, then $\text{rank}_{\tilde{R}} \tilde{S} = \text{rank}_{\tilde{R}} \tilde{H}$ locally by the proof of [3, II, §5, no. 4, Proposition 4]; for \tilde{R} faithfully flat, the converse follows from the fact that every prime ideal of R is the contraction of a prime ideal of \tilde{R} [3, II, §2, no. 5, Corollary 4 to Proposition 11].

(b) and (c) S is a faithful H^* -module if and only if $\ker\{\beta^*: H^* \rightarrow \text{End}_R(S)\}$ is zero. Also, $S^{H^*} = \ker\{\beta: S \rightarrow S \otimes H\}$ where $\beta = \alpha - \varepsilon_1$, $\varepsilon_1(s) = s \otimes 1$ [7, Proposition 10.1]. Thus the faithfulness property and the property $S^{H^*} = R$ are preserved under flat extension and reflected under faithfully flat extension. Finally $I_{H^* \otimes \tilde{R}} = I_{H^*} \otimes \tilde{R}$ if \tilde{R} is R -flat since $I_{H^*} = (H^*)^{H^*}$; it follows that $I_{\tilde{H}^*} \tilde{S}^* = I_{H^*} S \otimes \tilde{R}$, and the property $I_{H^*} S = R$ is also preserved under flat extension and reflected under faithfully flat extension.

(2.6) COROLLARY. *The H -object S is tame if and only if $S \otimes R_p$ is a tame $(H \otimes R_p)$ -object for all primes p of R .*

PROOF. If S is a tame H -object, then, since R_p is R -flat, $S \otimes R_p$ is a tame $(H \otimes R_p)$ -object for any prime p . The converse follows from the easily seen fact that if $S \otimes R_p$ is a tame $(H \otimes R_p)$ -object for all p , then $S \otimes \prod_p R_p$ is a tame $(H \otimes \prod_p R_p)$ -object, and $\prod_p R_p$ is R -faithfully flat.

(2.7) THEOREM. Suppose S is an H -object such that $S^{H^*} = R$ and $S \otimes R_p \simeq H \otimes R_p$ as $(H^* \otimes R_p)$ -module for all primes p of R . Then S is tame.

PROOF. In view of Corollary (2.6) we may without loss of generality assume R is local and $S \simeq H$ as H^* -module.

Suppose $\phi: S \rightarrow H$ is the H^* -isomorphism. Then since H satisfies conditions (a) and (b) and ϕ^{-1} must preserve these properties, S satisfies (a) and (b). Since ϕ is an H^* -module homomorphism, $\phi(IS) \subseteq IH$; also, $\phi(S^{H^*}) \subseteq H^{H^*}$ since

$$S^{H^*} = \{s \text{ in } S \mid (f - \varepsilon(f))s = 0 \text{ for all } f \text{ in } H^*\}.$$

Since ϕ is an isomorphism, the inclusions are equalities.

(2.8) Note. If R is integrally closed, then the assumption in (2.7) that $S^{H^*} = R$ may be dropped. Since H is the trivial H -Galois object, $H^{H^*} = R$; by the measuring property, $S^{H^*} \supseteq R$. If $\phi: H \rightarrow S$ is an H^* -module isomorphism, then $\phi(S^{H^*}) = H^{H^*} = R$ so $\phi(1_S) = t$ for some t in R . But then, since ϕ^{-1} is R -linear,

$$1_S = \phi^{-1}(t) = t\phi^{-1}(1)$$

in S^{H^*} . So t is invertible in S . If R is integrally closed, since S is integral over R , then $t^{-1} = \phi^{-1}(1)$ is in R . But as R -module, $S^{H^*} = R\phi^{-1}(1)$, and so $S^{H^*} \subseteq R$.

(2.9) REMARK. Theorem 2.7 shows that the following three conditions making up the definition of tame H -object are necessary for the existence of local normal basis:

- (a) equal ranks of H and S ,
- (b) faithful H -action on S , and
- (c) the space of integrals maps S onto R , the fixed ring of S under H^* .

The following two examples show that conditions (a) and (b) are independent of condition (c).

(2.10) The first example is due to A. D. Barnard [2, p. 283] and shows that it is possible to construct an H -object with $S^{H^*} = IS = R$ but which is not finitely generated as an R -module.

Let R be a field ($\text{char} \neq 2$). As a set let

$$S = \{a + p(x) \mid a \in R, p(x) \in R[x] \text{ with only odd powers of } x\}.$$

S is a ring with the usual addition and multiplication given by $x^{\text{odd}} \cdot x^{\text{odd}} = 0$, that is

$$(a + p(x))(b + q(x)) = ab + aq(x) + bp(x).$$

S is an R -algebra via $a \mapsto a + 0$. The group ring RG , G of order 2, acts on S : if σ generates G , then

$$\sigma(a + p(x)) = a - p(x).$$

It is easy to check that

$$\sigma((a + p(x))(b + q(x))) = \sigma(a + p(x))\sigma(b + q(x))$$

so that the RG -action measures and S is an $(RG)^*$ -object. It is clear that $S^G = R$ and $\text{trace}(\frac{1}{2}) = 1$ so $IS = S^G = R$. Hence condition (c) holds. It is also clear that S is not finitely generated over R . So (a) fails, and we cannot have $S \cong H$ as H^* -module.

(2.11) For the second example, let G be a finite group and H the group ring RG . Then $H^* = RG^* = \bigoplus_{\sigma \in G} Rv_\sigma$ as R -algebra with $\{v_\sigma\}_{\sigma \in G}$ mutually orthogonal

idempotents. Let S be an H -object such that $S^{H^*} = R$. We shall show condition (c) always holds but not condition (b).

Since $H^* = \bigoplus_{\sigma \in G} Rv_\sigma$ as R -algebra, the action of H^* on S yields $S = \bigoplus_{\sigma \in G} v_\sigma \cdot S$ as H^* -module, where $v_\sigma \cdot s = s$ for $s \in v_\sigma \cdot S$, and $v_\tau \cdot s = 0$ for $\tau \neq \sigma$. Since $\varepsilon(v_\sigma) = \delta_{1,\sigma}$, it is straightforward to show that $I = Rv_1$, and that $v_1 \cdot S = S^{H^*} = IS$. In fact:

(2.12) PROPOSITION. *For $H = RG$, an H -object S is tame if and only if $S^{H^*} = R$ and S satisfies conditions (a) and (b) of (2.2).*

To show that an H -object may not be a faithful H^* -module for $H = RG$, consider the following example.

Let R be a field and $H = R(\mathbf{Z}/3\mathbf{Z})$. Let S be the R -algebra

$$S = \frac{R[x, y]}{\langle x^2, y^2, xy \rangle}.$$

S is an H -object via the map $\alpha: S \rightarrow S \otimes H$ given by

$$\begin{aligned} \alpha(r) &= r \otimes 1 \quad \text{for all } r \in R, \\ \alpha(x) &= x \otimes \sigma, \quad \alpha(y) = y \otimes \sigma, \end{aligned}$$

extended to S by the requirement that α be an R -algebra map. This is well defined since

$$\alpha(x^2) = x^2 \otimes \sigma^2 = 0, \quad \alpha(y^2) = y^2 \otimes \sigma^2 = 0, \quad \alpha(xy) = xy \otimes \sigma^2 = 0,$$

so S is an H -object. But, recalling that $f \cdot s = \sum_{(s)} \langle f, s_{(1)} \rangle s_{(0)}$, for $f \in H^*$ and $s \in S$, we see that S is not a faithful H^* -module since

$$v_{\sigma^2} \cdot r = \langle v_{\sigma^2}, 1 \rangle r = 0, \quad v_{\sigma^2} \cdot x = \langle v_{\sigma^2}, \sigma \rangle x = 0,$$

and

$$v_{\sigma^2} \cdot y = \langle v_{\sigma^2}, \sigma \rangle y = 0$$

so $v_{\sigma^2} \cdot S = 0$.

3. Two special cases. In Theorem (2.7) we showed that H -objects with local normal basis are tame. This section establishes the converse for cocommutative Hopf algebras whose duals are separable or connected. We consider the separable case first.

(3.1) THEOREM. *Let H be a cocommutative Hopf R -algebra such that H^* is separable. If S is a tame H -object, then S has local normal bases, i.e. $S \otimes R_p \cong R_p$ as $(H^* \otimes R_p)$ -module for all primes p of R .*

This theorem applies, for example, if $\dim H$ is a unit of R , for then H and H^* are separable [22, Lemma 5]. Thus tame implies normal basis over fields of characteristic 0.

The proof of this theorem makes use of the following lemma.

(3.2) LEMMA. *Suppose H is a cocommutative Hopf algebra over a local ring R and S is an H -object. Suppose \tilde{R} is a faithfully flat extension of R . Then $S \simeq H$ as H^* -module if and only if $S \otimes \tilde{R} \cong H \otimes \tilde{R}$ as $(H^* \otimes \tilde{R})$ -module.*

PROOF. If $S \cong H$ as H^* -modules, then $S \otimes \tilde{R} \cong H \otimes \tilde{R}$ as $(H \otimes \tilde{R})$ -modules. Conversely, suppose $S \otimes \tilde{R} \cong H \otimes \tilde{R}$ as $(H^* \otimes \tilde{R})$ -modules. Now $H \otimes \tilde{R}$ is a Galois

$(H \otimes \tilde{R})$ -object, hence is a rank one projective $(H^* \otimes \tilde{R})$ -module by [15], as is, therefore, $S \otimes \tilde{R}$. If \tilde{R} is faithfully flat over R , then $H^* \otimes \tilde{R}$ is faithfully flat over H^* . Thus S and H are rank one projective H^* -modules. Since H^* is semilocal, the lemma follows.

PROOF OF THEOREM (3.1). We can assume R is local by (2.6). Then both tameness and $S \simeq H$ are preserved and reflected by faithfully flat extensions (Lemmas (2.5) and (3.2)). Using [11, Lemma 2.8, p. 97], we may therefore assume in the proof of the theorem that since H^* is separable, $H^* = Re_1 \oplus Re_2 \oplus \dots \oplus Re_n$ as R -algebra with the $\{e_i\}$ mutually orthogonal idempotents.

Since S is an H -object, the action of H^* on S yields $S \simeq \bigoplus_{i=1}^n S_i$ as H^* -module, where $S_i = e_i \cdot S$. Now S is free so each S_i is a projective R -module which is free since R is local. Since S is tame, $\dim_R S = n$ and each S_i is nonempty by faithfulness. Hence for each i , $S_i \simeq R$ as R -module. Let s_i generate S_i over R . Then $S \simeq \bigoplus_{i=1}^n Rs_i$ as H^* -module with $e_i \cdot s_j = \delta_{i,j} s_j$. In particular, since H is a tame H -object $H \simeq \bigoplus_{i=1}^n Rx_i$ as H^* -module with $e_i x_j = \delta_{i,j} x_j$.

It is then apparent that the map $\phi: S \rightarrow H$ given by $\phi(s_i) = x_i$ is an H^* -module isomorphism. This establishes Theorem (3.1).

Now we consider H -objects when H^* is connected (cf. (1.6)).

(3.3) THEOREM. Suppose R is a commutative ring and H is a cocommutative Hopf algebra such that, as R -algebra,

$$H^* = \frac{R[f_1, f_2, \dots, f_n]}{\langle f_1^{p^{\epsilon_1}}, f_2^{p^{\epsilon_2}}, \dots, f_n^{p^{\epsilon_n}} \rangle}$$

for some prime p , where $\epsilon(f_i) = 0$ for all $i = 1, \dots, n$. Suppose S is an H -object, not necessarily finitely generated and projective as R -module, such that $IS = S^{H^*} = R$. Then S is a Galois H -object.

The hypothesis on S is (c) of the definition of tameness. Thus this theorem implies that when H^* is connected, an H -object S is tame if and only if S is Galois if and only if $IS = S^{H^*} = R$.

PROOF. Kreimer and Takeuchi [16] proved that an H -object S , not a priori finitely generated and projective as R -module, is a Galois H -object (and hence is finitely generated and projective as R -module) if the left S -module map $\gamma: S \otimes S \rightarrow S \otimes H$ given by

$$\gamma(s \otimes t) = \sum_{(t)} st_{(0)} \otimes t_{(1)}$$

is surjective.

If $\{x_i, f_i\}_{i \in H}$ is a dual basis sytem for H, H^* , then α can be recovered from the H^* -module action on S by

$$\alpha(s) = \sum_i f_i \cdot s \otimes x_i \quad (\text{see (1.8)})$$

so

$$\gamma(s \otimes t) = \sum_i s f_i \cdot t \otimes x_i.$$

Thus the set $\{1 \otimes x_i\}$ is an S -basis for $S \otimes H$, and to show S is Galois we find, for each i , a set $\{(a_K, b_K)\} \subseteq S \times S$ such that

$$\gamma \left(\sum_K a_K \otimes b_K \right) = 1 \otimes x_i.$$

Now H^* has R -basis $\{f_1^{j_1} f_2^{j_2} \cdots f_n^{j_n} \mid 0 \leq j_i < p^{e_i} \text{ for } i = 1, \dots, n\}$, and we have

(3.4) The space of integrals I of H^* is generated by the element

$$\phi = f_1^{p^{e_1}-1} f_2^{p^{e_2}-1} \cdots f_n^{p^{e_n}-1}.$$

To see (3.4), note that for any integral ψ of I and any i , $f_i \psi = \varepsilon(f_i) \psi = 0$. Thus ψ must be a multiple of ϕ .

Since $IS = R$, there exists some $z \in S$ such that $\phi z = 1$.

(3.5) We adopt the following multinomial notation.

If

$$F = (f_1, f_2, \dots, f_n), \quad J = (j_1, j_2, \dots, j_n),$$

then

$$F^J = f_1^{j_1} f_2^{j_2} \cdots f_n^{j_n}, \quad |J| = \sum_{i=1}^n j_i,$$

and

$$F^{\bar{J}} = f_1^{p^{e_1}-j_1-1} f_2^{p^{e_2}-j_2-1} \cdots f_n^{p^{e_n}-j_n-1}.$$

In this notation, our basis for H^* becomes

$$\{F^J \mid 0 \leq j_i < p^{e_i}, i = 1, \dots, n\}.$$

Let $\{X^J \mid 0 \leq j_i < p^{e_i}, i = 1, \dots, n\}$ denote the basis of H dual to that for H^* .

To show that S is a Galois H -object, we shall find for every J a set $\{(a_K, b_K)\} \subseteq S \times S$ such that

$$\gamma \left(\sum_K a_K \otimes b_K \right) = \sum_L \left(\sum_K a_K (F^L \cdot b_K) \right) \otimes X^L = 1 \otimes X^J,$$

where the sum over L is over all elements of the basis of H^* ; that is:

(3.6) Given any J such that $0 \leq j_i < p^{e_i}$ for all i , there exists $\{(a_K, b_K)\} \subseteq S \times S$ such that

$$\sum_K a_K (F^J \cdot b_K) = 1, \quad \sum_K a_K (F^H \cdot b_K) = 0 \quad \text{for all } H \neq J.$$

We define a_K, b_K as follows: for all $K = (k_1, \dots, k_n)$, $0 < k_i \leq p^{e_i}$, let $b_K = F^{\bar{K}} \cdot z$ ($F^{\bar{K}}$ as defined above). We define a_K as follows:

$$\begin{aligned} a_K &= 0 && \text{if } |K| \geq |J|, K \neq J, \\ a_J &= 1, \\ a_K &= - \sum_{|L| > |K|} a_L (F^K b) && \text{if } |K| < |J|. \end{aligned}$$

Observe that:

(3.7) For all K such that $|K| \geq |J|$, $K \neq J$, and all H ,

$$a_K (F^H \cdot b_K) = 0 \quad \text{since } a_K = 0.$$

(3.8) For all H, K such that $|H| \geq |K|, H \neq K,$

$$F^H \cdot b_K = (F^H F^{\overline{K}}) \cdot z = 0$$

since for some $i, f^{p^{\epsilon_i}} = 0$ is a factor of $F^H F^{\overline{K}}.$

(3.9) $F^K \cdot b_K = (f_1^{p^{\epsilon_1-1}} \dots f_n^{p^{\epsilon_n-1}}) \cdot z = 1$ for all $K.$

To show that

$$\sum_K a_K(F^H \cdot b_K) = \begin{cases} 1 & \text{if } H = J, \\ 0 & \text{otherwise,} \end{cases}$$

we have from (3.7) that

$$(3.10) \quad \sum_K a_K(F^H \cdot b_K) = a_J(F^H \cdot b_J) + \sum_{|K| < |J|} a_K(F^H \cdot b_K).$$

Case 1. When $|H| \geq |J|$ but $H \neq J,$ (3.8) and (3.10) imply that

$$\sum_K a_K(F^H \cdot b_K) = 0.$$

Case 2. When $H = J,$ (3.8) and (3.10) imply that

$$\sum_{|K| < |J|} a_K(F^J \cdot b_K) = 0,$$

so $\sum_K a_K(F^J \cdot b_K) = a_J(F^J \cdot b_J) = 1$ by (3.9) and the definition of $a_J.$

Case 3. When $|H| < |J|,$

$$\sum_K a_K(F^H \cdot b_K) = \sum_{\substack{|H| \geq |K| \\ H \neq K}} a_K(F^H \cdot b_K) + a_H(F^H \cdot b_H) + \sum_{|H| < |K|} a_K(F^H \cdot b_K).$$

The first summand = 0 by (3.8). The second summand = a_H by (3.9) but

$$a_H = - \sum_{|K| > |H|} a_K(F^H \cdot b_K),$$

so $\sum_K a_K(F^H \cdot b_K) = 0.$

This establishes (3.6). It follows that γ is surjective and S is a Galois H -object, completing the proof of Theorem (3.3).

It follows that S is finitely generated and projective over R by [16, (1.7)]. In fact, the reader may verify that if $z \in S$ satisfies $\phi z = 1,$ then $\{F^J \cdot z\}$ is an R -basis of $S.$ Thus the map $1 \mapsto z$ yields an H^* -isomorphism $H^* \rightarrow S,$ and S has a normal basis (cf. also [16, Proposition 2.7]).

4. Normal bases over perfect fields. In this section we put together the results from §§2 and 3 to characterize, over a perfect field, those H -objects with normal basis when H is commutative and cocommutative.

(4.1) THEOREM. *Suppose H is a Hopf R -algebra, R a commutative ring, such that $H^* = H_1^* \otimes H_2^*,$ where H_1^* is commutative and separable (as in (3.1)) and H_2^* is connected (as in (3.3)). Then an H -object S is tame if and only if S has local normal bases.*

PROOF. The “if” part is Theorem 2.7.

For the converse, let S be a tame H -object. Let H_1^* act by restriction on $S^{H_2^*}$, and H_2^* on $S^{H_1^*}$. Then the measuring property is inherited so that $S^{H_2^*}$ is an H_1 -object, and $S^{H_1^*}$ an H_2 -object (except that we must check finite generation and projectivity over R). We shall show that $S \cong S^{H_2^*} \otimes S^{H_1^*}$, $S^{H_1^*} \cong H_2$, and $S^{H_2^*} \cong H_1$ locally, as H^* -, H_2^* -, and H_1^* -modules, respectively, from which it will follow that as H^* -modules, locally $S \cong H_1 \otimes H_2 = H$.

One verifies easily that $R = S^{H^*} = S^{H_1^* \otimes H_2^*} = (S^{H_1^*})^{H_2^*} = (S^{H_2^*})^{H_1^*}$, and that $I_{H^*} = I_{H_1^*} \otimes I_{H_2^*}$.

We have

$$R = I_{H^*} S = I_{H_2^*}(I_{H_1^*} S) \subseteq I_{H_2^*}(S^{H_1^*}) \subseteq (S^{H_2^*})^{H_1^*} = R.$$

Since H_2^* is connected, by (3.3) $S^{H_1^*}$ is a Galois H_2 -object and $S^{H_1^*} \cong H_2$ as H_2^* -objects. In particular, $S^{H_1^*}$ is finitely generated and projective over R .

Now S is a left D -module, $D = S^{H_1^*} \# H_2^* \cong \text{End}_R(S^{H_1^*})$. By (1.15) $S \cong S^{H_1^*} \otimes I_{H_2^*} S$ as left D -modules. Then $S^{H_2^*} \cong (S^{H_1^*})^{H_2^*} \otimes I_{H_2^*} S$ (since the action of D on S is via its action on $S^{H_1^*}$), so $S^{H_2^*} = I_{H_2^*} S$. Thus $S \cong S^{H_1^*} \otimes S^{H_2^*}$. The isomorphism is given by the multiplication in S , and this is easily seen to be an H^* -module map. We must show that $S^{H_2^*}$ is a tame H_1^* -object.

First, since $S^{H_1^*}$ is R -projective, R is an R -module direct summand of $S^{H_1^*}$, so $S^{H_2^*} \cong R \otimes S^{H_2^*}$ is an R -direct summand of S . Since S is R -projective, so is $S^{H_2^*}$.

Then $\text{rank}_R S^{H_2^*} = \text{rank}_R H_1$ since $\text{rank } S = \text{rank } H$ and $\text{rank } S^{H_1^*} = \text{rank } H_2$. Also $S^{H_2^*}$ is a faithful H_1^* -module since S is a faithful H -module; and

$$R = I_{H^*} S = I_{H_1^*}(I_{H_2^*} S) \subseteq I_{H_1^*}(S^{H_2^*}) \subseteq (S^{H_2^*})^{H_1^*} = R.$$

Thus $S^{H_2^*}$ is a tame H_1 -object. By (3.1) $S^{H_2^*}$ has local normal basis. This completes the proof.

(4.2) COROLLARY. *Suppose R is a perfect field and H a commutative, cocommutative Hopf algebra over R . Then an H -object S is tame if and only if $S \simeq H$ as H^* -module.*

PROOF. This follows immediately from (4.1) and the decomposition of (1.6).

5. Local normal bases over integral domains. Corollary (4.2) established a criterion for the existence of a normal basis for an H -object S , H commutative and cocommutative, over a perfect field. In case the field has characteristic 0, Theorem (3.1) applies whenever H is cocommutative.

In this section we consider the situation where R is an integral domain with quotient field K , H is a Hopf R -algebra, and S is an H -object (both finitely generated and projective as R -modules). We suppose that $S \otimes K$ is an $(H \otimes K)$ -object with normal basis, and seek criteria for S to be an H -object with local normal bases.

Since H is locally isomorphic to H^* as H^* -module, an obvious necessary condition is that S be H^* -projective. In the classical situation, $H^* = RG$, surjectivity of the trace map $S \rightarrow R$ implies projectivity (cf. [20, Lemma 20]). So also here.

(5.1) THEOREM. *Let R be a commutative ring, H be an R -Hopf algebra which is a finitely generated projective R -module, and S an R -algebra which is an H -object and a finitely generated projective R -module. Let I be the space of integrals of H^* . If $IS = R$, then S is H^* -projective.*

PROOF. Since S is H^* -projective if and only if S_p is H_p^* -projective for every prime ideal p of R , we can assume R is local. In that case, I is free of rank one over R , $I = R\phi$ for some integral ϕ , and the condition $IS = R$ becomes the condition that there exists z in S so that $\phi(z) = 1$.

Since S is R -projective, $H^* \otimes S$, with H^* -action on H^* , is H^* -projective.

Let $\mu: H^* \otimes S \rightarrow S$ be the H^* -action on S . With H^* -action on $H^* \otimes S$ via that on H^* , μ is an H^* -module map.

Let $\lambda: S \rightarrow H^* \otimes S$ be defined by

$$\lambda(x) = \sum_{(\phi)} \phi_{(1)} \otimes z(\phi_{(2)}^s x).$$

Then

$$\begin{aligned} \mu\lambda(x) &= \sum_{(\phi)} \phi_{(1)}(z \cdot \phi_{(2)}^s x) = \sum_{(\phi)} (\phi_{(1)} \cdot z)(\phi_{(2)}\phi_{(3)}^s x) \\ &= \sum_{(\phi)} (\phi_{(1)} \cdot z)\varepsilon(\phi_{(2)})x = \sum_{(\phi)} (\phi_{(1)}\varepsilon(\phi_{(2)})z)x \\ &= \phi(z)x = x. \end{aligned}$$

So λ is injective and splits μ .

To show that S is H^* -projective, it suffices to show that λ is an H^* -module map, that is, $f \cdot \lambda(x) = \lambda(f \cdot x)$.

We thank the referee for pointing out the following direct argument of Sweedler [2, p. 104]:

For $f \in H^*$ we have $f = (1 \otimes \varepsilon)\Delta f = \sum_{(f)} \varepsilon(f_{(2)})f_{(1)}$. Hence

$$\begin{aligned} \sum f\phi_{(1)} \otimes \phi_{(2)}^s &= \sum_{(\phi)(f)} \varepsilon(f_{(2)})f_{(1)}\phi_{(1)} \otimes (\phi_{(2)}^s) \\ &= \sum_{(\phi)(f)} f_{(1)}\phi_{(1)} \otimes \varepsilon(f_{(2)})\phi_{(2)}^s \\ &= \sum f_{(1)}\phi_{(1)} \otimes \phi_{(2)}^s f_{(2)}^s f_{(3)} \\ &= \sum f_{(1)}\phi_{(1)} \otimes (f_{(2)}\phi_{(2)})^s f_{(3)} \\ &= \sum_{(f)} ((1 \otimes s)\Delta)(f_{(1)}\phi)(1 \otimes f_{(2)}) \\ &= \sum_{(f)} ((1 \otimes s)\Delta)(\varepsilon(f_{(1)})\phi)(1 \otimes f_{(2)}) \\ &\hspace{15em} \text{(since } \phi \text{ is an integral)} \\ &= (1 \otimes s)\Delta(\phi) \sum_{(f)} (1 \otimes \varepsilon(f_{(1)})f_{(2)}) \\ &= (1 \otimes s)\Delta(\phi)(1 \otimes f) = \sum_{(\phi)} \phi_{(1)} \otimes \phi_{(2)}^s f. \end{aligned}$$

Hence

$$\begin{aligned}
 f(\lambda(x)) &= \sum_{(\phi)} f\phi_{(1)} \otimes z(\phi_{(2)}^s x) \\
 &= (1 \otimes z) \left(\left(\sum f\phi_{(1)} \otimes \phi_{(2)}^s \right) (1 \otimes x) \right) \quad (1 \in H^*) \\
 &= (1 \otimes z) \left(\left(\sum \phi_{(1)} \otimes \phi_{(2)}^s \right) f \right) (1 \otimes x) \\
 &= \sum_{(\phi)} \phi_{(1)} \otimes z(\phi_{(2)}^s) (f(x)) = \lambda(f(x)).
 \end{aligned}$$

Thus λ is an H^* -module map, as was to be shown. Hence S is H^* -projective, since it is an H^* -direct summand of the H^* -projective module $H^* \otimes S$.

(5.2) THEOREM. *Suppose R is a domain with quotient field K , H^* is a commutative Hopf R -algebra, and S is an H -object. Let $L = S \otimes K$. If S is a projective H^* -module and L has a normal basis as an $H \otimes K$ -object, then S has local normal bases as an H -object.*

PROOF. We may clearly assume that R is a local ring. Write $H^* = \sum_i H^* e_i$, where $1 = \sum_i e_i$, and the e_i are indecomposable pairwise mutually orthogonal idempotents. Set $H^* e_i = I_i$, indecomposable H^* -modules. Let $S = J_1 \oplus J_2 \oplus \dots \oplus J_r$ and $H = Y_1 \oplus Y_2 \oplus \dots \oplus Y_x$ be direct sums of indecomposable H^* -modules.

We show $S \cong H$ as H^* -modules by showing, by induction on r :

(5.3) If $J = J_1 \oplus \dots \oplus J_r$ and $Y = Y_1 \oplus \dots \oplus Y_s$ are two projective H^* -modules, direct sums of indecomposable H^* -modules, and $J \otimes K \cong Y \otimes K$ as $(H^* \otimes K)$ -modules, then $J \cong Y$.

The proof is obvious for $r = 1$.

For $r > 1$, since J is a projective H^* -module, $J_r \cong I_i = e_i H^*$ for some i . Then $e_i J \neq 0$, so $e_i (J \otimes K) \neq 0$. Since $J \otimes K \cong Y \otimes K$, $e_i (Y \otimes K) \neq 0$, so $e_i (Y) \neq 0$. But $e_i (Y) = 0$ if $Y_j \not\cong I_i$ for all j . So some $Y_j \cong I_i \cong J_r$.

Suppose $Y_s \cong J_r$. Write $J = J' \oplus J_r$, $Y = Y' \oplus Y_s$. Then

$$J \otimes K \cong (J' \otimes K) \oplus (J_r \otimes K)$$

and

$$Y \otimes K \cong (Y' \otimes K) \oplus (Y_s \otimes K).$$

By the Krull-Schmidt Theorem [19, p. 88]

$$J' \otimes K \cong Y' \otimes K.$$

By induction, $J' \cong Y'$. Since $J_r \cong Y_s$, we obtain $J \cong Y$, completing the proof of (5.3) and Theorem (5.2).

(5.4) THEOREM. *Let R be an integral domain with quotient field K , H a cocommutative Hopf R -algebra which is a finitely generated projective R -module, and S an R -algebra, finitely generated and projective as R -module, and an H -object such that $S^{H^*} = R$.*

If S has local normal bases, then S is a tame H -object. Conversely, if S is a tame H -object, then S has local normal bases whenever

- (a) K is perfect and H is commutative, or

(b) $H \otimes K$ is separable.

Condition (b) holds if $\text{char } K = 0$ or $\text{char } K$ is relatively prime to $\dim_K(H \otimes K)$.

PROOF. That local normal bases implies tame is Theorem (2.7).

For the converse, since K is R -flat, if S is a tame H -object, then $S \otimes K$ is a tame $(H \otimes K)$ -object, and S is a tame H -object for all prime ideals p of R , both by Lemma (2.5)(i). So we may assume R is a local domain. If K is perfect, and H is commutative, or if $H \otimes K$ is separable, we have $S \otimes K \cong H \otimes K$ as $(H^* \otimes K)$ -modules, by Theorem (4.2), resp. (3.1). Since S is tame, S is H^* -projective by Theorem (5.1), and so by Theorem (5.2), S has a normal basis. That completes the proof.

(5.5) REMARK. If R is the ring of integers of a number field K , there are many examples of extensions $L \supset K$ whose ring of integers S is a tame H -object for some Hopf algebra H . For example, if $K = \mathbb{Q}$, $L = \mathbb{Q}(\sqrt{m})$, $G = \text{Gal}(L/K)$, $R = \mathbb{Z}$, and $m \equiv 2$ or $3 \pmod{4}$, then S is a tame RG -object, but is Galois only when $m = -1$. A characterization of those Kummer extensions $L \supset K$ of prime degree with Galois group G such that the order A over R in KG , $A = \{\alpha \in KG \mid \alpha S \subseteq S\}$ (cf. [18 or 12, p. 251]) is a Hopf algebra (of the kind studied in [22]) and S is a tame A^* -object, is given in [9]. For those extensions, Theorem (5.4) guarantees a reasonable local description of S , with the aid of the characterizations of [14].

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