Lecture 1

Higher categories and simplicial commutative rings

Last lecture we saw that the multiplicity of an intersection of subvarieties V and W in X can be calculated using the Tor groups $\operatorname{Tor}_i^{\mathcal{O}_X}(\mathcal{O}_V, \mathcal{O}_W)$. In order to realize these groups as "coming from a geometric object", the first step is to consider the whole complex $\mathcal{O}_V \otimes_{\mathcal{O}_X}^{\mathbf{L}} \mathcal{O}_W$ as a single unit, before passing to homotopy groups. This is a chain complex which, by nature of derived functors, is only well-defined up to quasi-isomorphism. In this lecture we will review the theory of ∞ -categories, which is an effective language for working with chain complexes up to quasi-isomorphism (or any situation of a similar "homotopical" flavour). We will also introduce the notion of simplicial commutative ring, which will finally allow us to view the construction $\mathcal{O}_V \otimes_{\mathcal{O}_X}^{\mathbf{L}} \mathcal{O}_W$ as a simplicial commutative ring (when X is affine).

Construction 1. Let R be a commutative ring, and let C(R) be the category of *chain complexes* of R-modules. Recall that an object $M_{\bullet} \in C(R)$ is a diagram

 $\cdots \xrightarrow{d_{n+1}} \mathbf{M}_n \xrightarrow{d_n} \mathbf{M}_{n-1} \xrightarrow{d_{n-1}} \cdots \xrightarrow{d_1} \mathbf{M}_0 \xrightarrow{d_0} \cdots$

where the relation $d^2 = 0$ holds for all *n*. A morphism of chain complexes $\phi : \mathbf{M}_{\bullet} \to \mathbf{N}_{\bullet}$ is a collection of morphisms $\phi_n : \mathbf{M}_n \to \mathbf{N}_n$ which are compatible with the differentials $(d \circ \varphi = \varphi \circ d)$.

The homology groups of M_{\bullet} are the abelian groups $H_n(M_{\bullet}) = \text{Ker}(d_n) / \text{Im}(d_{n+1})$. A quasiisomorphism of chain complexes is a morphism that induces isomorphisms on all homology groups.

Example 2. Let M and N be R-modules. Let $\tilde{M}_{\bullet} \in C(R)$ be a projective resolution of M, so that we have a quasi-isomorphism $\tilde{M}_{\bullet} \to M$ and each \tilde{M}_n is projective. Then we can perform the objectwise tensor product $\tilde{M}_{\bullet} \otimes_R N$ to obtain a new chain complex, which is a model for the *derived tensor product* $M \otimes_R^L N$. In particular its homology groups $H_*(M \otimes_R^L N)$ are the Tor groups $Tor_*^R(M, N)$.

Note though that the chain complex $\tilde{M}_{\bullet} \otimes_{R} N$ depends on the choice of resolution \tilde{M}_{\bullet} : if we use another resolution, we get a new chain complex which may not be isomorphic to the first. However, it will still be *quasi-isomorphic* to the first. In other words, the derived tensor product $M \otimes_{R}^{L} N$ is only well-defined up to quasi-isomorphism.

Thus, as far as the constructions of homological algebra go, we only care about chain complexes up to quasi-isomorphism.

Construction 3. There exists a category D(R), called the *derived category* of R, which is obtained by formally inverting quasi-isomorphisms. More precisely, it satisfies the following universal property:

(*) Let F be a functor $C(R) \to D$ that sends all quasi-isomorphisms to isomorphisms. Then there exists a unique functor $\overline{F} : D(R) \to D$ such that the diagram



commutes.

We say that D(R) is the *(Gabriel-Zisman)* localization of C(R) at the class of quasiisomorphisms.

Remark 4. One can describe the category D(R) explicitly using Verdier's calculus of fractions. Roughly speaking, D(R) has the same objects as C(R), and the morphisms $M_{\bullet} \to N_{\bullet}$ are (equivalence classes of) diagrams

$$\mathbf{M}_{\bullet} \xleftarrow{\phi} \mathbf{P}_{\bullet} \xrightarrow{\psi} \mathbf{N}_{\bullet}$$

where ϕ and ψ are morphisms in C(R) with ϕ a quasi-isomorphism.

Example 5. Given R-modules M and N, the group $\operatorname{Hom}_{D(R)}(M, N[i])$ can be identified with the Ext group $\operatorname{Ext}^{i}_{R}(M, N)$. Here N[i] denotes the chain complex with N concentrated in degree *i*.

The category D(R) is a first approximation to what we want. For example, all projective resolutions of an R-module M are *isomorphic* in D(R), so the derived tensor product is actually well-defined as an object of D(R). However, it turns out to be rather poorly behaved: unlike the category C(R), D(R) is not abelian and does not admit (co)limits. It does however admit *homotopy* (co)limits:

Construction 6. Let I be a category of "diagram shapes". For example, take the category with three objects and nontrivial morphisms as follows:

Let $C^{I}(R)$ denote the category of functors $I \to C(R)$ (these are I-shaped diagrams in C(R)). Let $D^{I}(R)$ denote the Gabriel–Zisman localization of $C^{I}(R)$ at the class of levelwise quasiisomorphisms.

Fact 7. The "constant diagram" functor $c : C(R) \to C^{I}(R)$ preserves quasi-isomorphisms and induces a functor

 $c: \mathbf{D}(\mathbf{R}) \to \mathbf{D}^{\mathbf{I}}(\mathbf{R}).$

It admits left and right adjoints

$$\mathbf{L} \varinjlim : \mathbf{D}^{\mathrm{I}}(\mathbf{R}) \to \mathbf{D}(\mathbf{R}),$$

 $\mathbf{R}\varprojlim: D^{I}(R)\to D(R).$ These are called the "homotopy colimit" and "homotopy limit" functors, respectively.

Example 8. Take I to be the category (0.1). For any diagram $X : I \to C(R)$, we can view X as an object of $D^{I}(R)$ (via the canonical functor $C^{I}(R) \to D^{I}(R)$), and form the homotopy colimit $L \lim_{K \to \infty} (X) \in D(R)$. This is called the *homotopy push-out* of X.

The theory of homotopy colimits gives us an analogue of cokernels:

Example 9. Let $\phi : M_{\bullet} \to N_{\bullet}$ be a morphism of chain complexes. Then we can consider the I-shaped diagram

$$\begin{array}{c} \mathbf{M}_{\bullet} \xrightarrow{\phi} \mathbf{N}_{\bullet} \\ \downarrow \\ \mathbf{0} \end{array}$$

and the induced object in $D^{I}(R)$. Its homotopy push-out is called the homotopy cokernel or homotopy cofibre of f.

The homotopy cofibre can be modelled by a chain complex $\operatorname{Cone}(\phi)_{\bullet}$:

$$\operatorname{Cone}(\phi)_n = \mathcal{N}_n \oplus \mathcal{M}_{n-1},$$

with differential given by

$$(d_{n+1}: \mathbf{N}_{n+1} \oplus \mathbf{M}_n \to \mathbf{N}_n \oplus \mathbf{M}_{n-1}) = \begin{bmatrix} d_{i+1}^{\mathbf{N}} & \phi_i \\ 0 & -d_i^{\mathbf{M}} \end{bmatrix}$$

Its image by the functor $C(R) \rightarrow D(R)$ is the homotopy cofibre of f.

The problem with the category D(R) is that the theory of homotopy (co)limits is not internal to it. This is because we cannot recover the categories $D^{I}(R)$ from the category D(R) (but only from the non-localized version C(R)):

Fact 10. The canonical functor

$$D^{I}(R) \rightarrow Funct(I, D(R))$$

is not an equivalence.

In other words, while there does exist a good theory of homotopy (co)limits, we cannot make use of it if we only consider the D(R) by itself. We will need a more refined version of D(R).

Definition 11. A *dg-category* (over a commutative ring R) is a category enriched over C(R). That is, a dg-category **C** has a set of objects and for each pair of objects X, Y, a *chain complex* of morphisms ("Hom-complex") Hom $(X, Y)_{\bullet} \in C(R)$. It also has a composition law satisfying similar axioms as for ordinary categories.

Construction 12. The homotopy category of a dg-category C is an ordinary category Ho(C) with the same objects as C, and with Hom-sets given by:

 $\operatorname{Hom}_{\operatorname{Ho}(\mathbf{C})}(x, y) = \operatorname{H}_{0}(\operatorname{Hom}_{\mathbf{C}}(x, y)_{\bullet}),$

and with composition law induced from that of C.

Example 13. The category C(R) can be viewed as a dg-category. It is enriched over itself by the following formula:

$$\operatorname{Hom}(\mathcal{M}_{\bullet}, \mathcal{N}_{\bullet})_{n} = \prod_{i \in \mathbf{Z}} \operatorname{Hom}_{\operatorname{Mod}_{\mathcal{R}}}(\mathcal{M}_{i}, \mathcal{N}_{i+n}).$$

The chain complex $Hom(M_{\bullet}, N_{\bullet})_{\bullet}$ has differentials given by:

$$d(f) = d^{\mathcal{N}} \circ f - (-1)^n f \circ d^{\mathcal{M}},$$

for any $f \in \text{Hom}(M_{\bullet}, N_{\bullet})_n$.

The dg-category C(R) does not take the homotopy theory of chain complexes into account; in particular, quasi-isomorphic complexes do not become isomorphic in Ho(C(R)). Instead, we would like to construct a dg-category $\underline{D}(R)$ whose homotopy category is equivalent to D(R). According to Example 5, we need the homology of the Hom-complexes in $\underline{D}(R)$ to compute the Ext groups $\text{Ext}_{R}^{n}(M, N)$ (where M and N are R-modules). In fact, the naively defined Hom-complexes of C(R) do have the right homology, when we restrict to nice enough objects:

Definition 14. A chain complex $M_{\bullet} \in C(\mathbb{R})$ is *K*-projective if for every quasi-isomorphism $N_{\bullet} \to N'_{\bullet}$ that is degree-wise surjective, any morphism $M_{\bullet} \to N'_{\bullet}$ lifts to N_{\bullet} .

Construction 15. Let $\underline{D}(R)$ denote the full sub-dg-category of C(R) whose objects are K-projective complexes. Then we have an equivalence $Ho(\underline{D}(R)) \approx D(R)$.

There is an alternative way of encoding the data of the dg-category $\underline{D}(R)$, which will be more convenient for our purposes (see [2, Constr. 1.3.1.6] for details):

Construction 16 (Dg-nerve). Let **C** be a dg-category. We define a sequence of sets S_n as follows:

- Let S₀ be the set of objects of **C**.
- Let S₁ be the set of morphisms $f : x_1 \to x_2$ in C, i.e. triples (x_1, x_2, f) with x_1 and x_2 objects and $f \in \text{Hom}_{\mathbf{C}}(x_1, x_2)_0$ with df = 0.

• Let S₂ be the set of diagrams



that commute up to a specified chain homotopy $h \Rightarrow g \circ f$, i.e. an element $\varphi \in \text{Hom}_{\mathbf{C}}(x_1, x_3)_1$ with $d\varphi = (g \circ f) - h$.

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- Let S_n be the set of *n*-tuples of objects (x_1, \ldots, x_n) and, for each $0 \le m \le 0$ and all indices $0 \le i_0 < \cdots < i_{m+1} \le n$, a morphism

$$f_{i_0,...,i_{m+1}} \in \operatorname{Hom}_{\mathbf{C}}(x_{i_0}, x_{i_{m+1}})_m$$

satisfying

$$d(f_{i_0,\dots,i_{m+1}}) = \sum_{1 \leq j \leq m} (-1)^j (f_{i_0,\dots,\hat{i_j},\dots,i_{m+1}} - f_{i_j,\dots,i_{m+1}} \circ f_{i_0,\dots,i_j}).$$

Moreover, these sets are connected by canonical maps. For example, there are two maps $S_1 \rightarrow S_0$, which pick out the source and target, respectively. In the other direction there is a map $S_0 \rightarrow S_1$ which picks out the identity morphism of an object. Similarly there are three maps $S_2 \rightarrow S_1$ picking out the morphisms on the boundary of the triangle, and two maps $S_1 \rightarrow S_2$ picking out, for any morphism f, the two triangles encoding homotopies $f \Rightarrow f \circ id$ and $f \Rightarrow id \circ f$. Generally, for any order-preserving map $\alpha : \{0, 1, \ldots, m\} \rightarrow \{0, 1, \ldots, n\}$, there is a canonical map $\alpha^* : S_n \rightarrow S_m$. The data of these sets $(S_n)_n$ together with these maps forms an example of a simplicial set:

Definition 17. Let Δ denote the category of finite sets $[n] := \{0, 1, ..., n\}$ and order-preserving maps between them. A simplicial set X is a contravariant functor from Δ to the category of sets. That is, it is a sequence of sets $X_n := X([n]), n \ge 0$, together with maps $\alpha^* : X_n \to X_m$ for all morphisms $[m] \to [n]$ in Δ , such that $id^* = id$ and $(\beta \circ \alpha)^* = \alpha^* \beta^*$ for all composable morphisms α and β in Δ .

For each n and $0 \leq i \leq n$ we write $d_n^i : X_n \to X_{n-1}$ for the *face maps*, induced by the canonical maps $\delta_n^i : [n-1] \to [n]$ (where δ_n^i is the injective map that "skips" i). We write $s_n^i : X_n \to X_{n+1}$ for the *degeneracy maps*, induced by the canonical maps $\sigma_n^i : [n+1] \to [n]$ (where σ_n^i is the surjective map that "doubles" i).

Example 18. Any set X can be viewed as a constant simplicial set c(X), with $c(X)_n = X$ (and $\alpha^* = \text{id for all } \alpha : [m] \to [n]$). The assignment $X \mapsto c(X)$ defines a fully faithful embedding of the category of sets into that of simplicial sets.

Example 19. There is a simplicial set Δ^n , called the *standard n-simplex*, whose k-simplices are given by:

$$\Delta_k^n = \operatorname{Hom}_{\Delta}([k], [n]).$$

Note that such a map $[k] \to [n]$ corresponds to a sequence of integers (a_0, \ldots, a_k) with $0 \le a_i \le a_j \le n$ for all $i \le j$.

Example 20. There is a simplicial set $\partial^i \Delta^n$, defined as the image of the canonical map $\Delta^{n-1} \to \Delta^n$ induced by δ_n^i . This is the *i*-th face of the standard *n*-simplex. The union of these is a simplicial set $\partial \Delta^n$, called the *boundary* of the standard *n*-simplex.

The *i*-th horn Λ_i^n is the union of the faces $\partial^j \Delta^n$ with $j \neq i$.

We can view $\partial \Delta^n$ as the result of removing the "interior" of Δ^n . Similarly, Λ^n_i is the result of removing the interior as well as the *i*-th face.

$$x_0 \xrightarrow{f_0} x_1 \xrightarrow{f_1} \cdots \xrightarrow{f_{n-1}} f_n$$

in \mathbf{C} .

Proposition 22. The assignment $\mathbf{C} \mapsto N(\mathbf{C})$ defines a fully faithful embedding of the category of (small) categories into the category of simplicial sets. Moreover, a simplicial set X lies in its essential image if and only if it satisfies the Grothendieck–Segal condition:

(*) Any map $\Lambda_i^n \to X$, with $n \ge 0$ and 0 < i < n, lifts uniquely to a map $\Delta^n \to X$.

One can actually take "simplicial set satisfying the Grothendieck–Segal condition" as a (very inefficient) *definition* of the term "category", where we view the 0-simplices of X as objects, and 1-simplices as morphisms. To understand the nature of the Grothendieck–Segal condition, take n = 2 and i = 1. Then a map $\Lambda_1^2 \to X$ corresponds to a diagram



in X. The condition that this lifts uniquely to a map $\Delta^2 \to X$ means that there exists a unique map $x_1 \to x_3$, which we may suggestively denote $g \circ f$, making the diagram commute.

Remark 23. If we add the edge cases i = 0 and i = n to the Grothendieck–Segal condition, then we get a characterization of the nerves of *groupoids*.

The dg-nerve (Construction 16) does not satisfy the Grothendieck–Segal condition, since there is not a unique way to compose morphisms. Instead, it satisfies the following weaker variant:

Definition 24. A *weak Kan complex* is a simplicial set X satisfying the following condition (the *inner horn lifting condition*):

(*) Any map $\Lambda_i^n \to X$, with $n \ge 0$ and 0 < i < n, lifts to a map $\Delta^n \to X$.

We will take weak Kan complexes as a definition of the term " ∞ -category":

Definition 25. An ∞ -category **C** is a weak Kan complex X.

Objects of **C** are 0-simplices of X. Morphisms of **C** are 1-simplices. A homotopy between two morphisms f and g is a 2-simplex $\Delta^2 \to X$ of the form



We say that f and g are homotopic if there exists a homotopy as above; this defines an equivalence relation on the set of morphisms $x \to y$.

Given two morphisms $f : x \to y$ and $g : y \to z$ in **C**, it follows from the definition of weak Kan complex that there exists a 2-simplex of X



We refer to h as the composite of f and g, denoted $g \circ f$. While h is not unique, one can derive from the definition the fact that it is unique up to homotopy, or more precisely, up to

a contractible space of choices. Similarly, one can see that composition is associative up to homotopy.

Given an ∞ -category **C**, we can define an ordinary category Ho(**C**), called the *homotopy* category of **C**, with the same objects, and Hom-sets Hom_{Ho(**C**)}(x, y) given by sets of homotopy classes of morphisms $x \to y$ in **C**.

We will say that a morphism $f: x \to y$ in **C** is an *isomorphism* if it induces an isomorphism in the homotopy category Ho(**C**). Equivalently, f is *invertible*; that is, there exists a morphism $g: y \to x$ and a homotopy $f \circ g \Rightarrow id_y$ and $g \circ f \Rightarrow id_x$.

The theory of ∞ -categories was developed by André Joyal and Jacob Lurie; we refer the reader to [1] for details.

Remark 26. A Kan complex is a simplicial set X satisfying a lifting condition for all horns:

(*) Any map $\Lambda_i^n \to X$, with $n \ge 0$ and $0 \le i \le n$, lifts to a map $\Delta^n \to X$.

The nerve of any groupoid is then a Kan complex, and we take Kan complexes as a definition of the term " ∞ -groupoid". It is possible to show that an ∞ -groupoid is the same thing as an ∞ -category where all morphisms are invertible.

Example 27. Let X be a nice topological space (say, a CW-complex). Then one can define a simplicial set $\operatorname{Sing}(X)_{\bullet}$, whose *n*-simplices are continuous maps $\Delta^n_{\top} \to X$ (where Δ^n_{\top} is the topological version of the standard *n*-simplex). This is a Kan complex, and moreover the assignment $X \mapsto \operatorname{Sing}(X)_{\bullet}$ gives rise to an equivalence between the homotopy theories of nice spaces and Kan complexes. For this reason, we will use the terms "space" and " ∞ -groupoid" interchangeably.

The ∞ -category of spaces plays the role of the category of sets; for example, for any two objects x and y of an ∞ -category \mathbf{C} , there is a space Maps_C(x, y), called the *mapping space*. In order to define the ∞ -category of spaces, it will be useful to have a non-linear version of the notion of dg-category. Namely, define a *simplicial category* \mathbf{C} (or *simplicially enriched category*) to be a category enriched in the category of simplicial sets (i.e., there is a simplicial Hom-set Hom_C(x, y) of maps between any two objects).

Example 28. The category of simplicial sets is simplicially enriched. For any two simplicial sets X and Y, there is a simplicial set $\underline{Hom}(X, Y)$ with *n*-simplices

$$\underline{\operatorname{Hom}}(\mathbf{X}, \mathbf{Y})_n = \operatorname{Hom}(\Delta^n \times \mathbf{X}, \mathbf{Y}).$$

There is an analogue of Construction 16, called the *simplicial nerve* $N_{\Delta}(\mathbf{C})$ (where we use simplicial homotopies instead of chain homotopies). One can show that this is a weak Kan complex as long as the simplicial Hom-sets are Kan complexes.

Construction 29. Consider the simplicial category of Kan complexes (with the simplicial enrichment as above). Its simplicial Hom-sets are Kan complexes, and its simplicial nerve is called the ∞ -category of spaces, denoted Spc.

The notion of *simplicial commutative ring*, which will form the basic building blocks of derived schemes, can be thought of as a space (in the above sense), equipped with operations of addition and multiplication (that are commutative and associative in a much stricter sense than the notion of \mathcal{E}_{∞} -space).

Definition 30. A simplicial commutative ring A is a simplicial object in the category of commutative rings. In other words, it is a simplicial set such that each term A_n is equipped with a structure of (unital associative) commutative ring, and all maps $\alpha^* : A_n \to A_m$ (for any $\alpha : [m] \to [n]$) are ring homomorphisms.

Any ordinary commutative ring A can be viewed as a constant simplicial commutative ring c(A); we will usually omit c from the notation.

Definition 31. A *trivial Kan fibration* of simplicial sets is a map $p : X \to Y$ that satisfies the following lifting property. For any diagram of solid arrows



there exists a dashed arrow h making the diagram commute.

Any trivial Kan fibration is a weak homotopy equivalence and is degreewise surjective. The following notion can therefore be viewed as a simplicial version of "K-projective":

Definition 32. A simplicial commutative ring A is *cofibrant* if for any map of simplicial commutative rings $R \to R'$ which is a trivial Kan fibration, and any morphism of simplicial commutative rings $A \to R'$, there exists a unique lift $A \to R$.

The most important example of cofibrant simplicial commutative rings is as follows:

Example 33. The polynomial algebras $\mathbf{Z}[T_0, \ldots, T_n]$ are cofibrant (when viewed as constant simplicial commutative rings).

Example 34. Any commutative ring A admits a standard cofibrant resolution \tilde{A} . The 0th term \tilde{A}_0 is the polynomial **Z**-algebra generated by the elements of A. The 1st term \tilde{A}_1 is the polynomial **Z**-algebra generated by the elements of \tilde{A}_0 , and so on.

Construction 35. The category of simplicial commutative rings admits a canonical simplicial enrichment, since for any simplicial commutative ring B, the simplicial Hom-sets $\underline{\text{Hom}}(A, B)$ inherit a structure of simplicial commutative ring from B. The ∞ -category SCRing is the simplicial nerve of the simplicially enriched category of *cofibrant* simplicial commutative rings.

From this point on, we will use the term "simplicial commutative ring" as a synonym for "object of the ∞ -category SCRing"; that is, we will implicitly replace any simplicial commutative ring in sight by a cofibrant resolution.

There is a *derived tensor product* on the ∞ -category SCRing.

Example 36. Given two commutative rings A and B, the derived tensor product $A \otimes_{\mathbf{Z}}^{\mathbf{L}} B$ can be computed by taking a cofibrant resolution \tilde{A} and forming the levelwise tensor product $\tilde{A} \otimes_{\mathbf{Z}} B$.

References

[2] J. Lurie, *Higher algebra*.

^[1] J. Lurie, Higher topos theory.