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▶ To cite this version:

George Grätzer, Friedrich Wehrung. Proper congruence-preserving extensions of lattices. Acta Mathematica Hungarica, 1999, 85 (1-2), pp.169-179. 10.1023/A:1006693517705. hal-00004053

HAL Id: hal-00004053

https://hal.science/hal-00004053

Submitted on 24 Jan 2005

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PROPER CONGRUENCE-PRESERVING EXTENSIONS OF LATTICES

G. GRÄTZER AND F. WEHRUNG

ABSTRACT. We prove that every lattice with more than one element has a proper congruence-preserving extension.

1. Introduction

Let L be a lattice. A lattice K is a congruence-preserving extension of L, if K is an extension and every congruence of L has exactly one extension to K. (Of course, then, the congruence lattice of L is isomorphic to the congruence lattice of K.)

In [4], the first author and E. T. Schmidt raised the following question:

Is it true that every lattice L with more than one element has a proper congruence-preserving extension K?

Here proper means that K properly contains L, that is, $K - L \neq \emptyset$.

The first author and E. T. Schmidt pointed out in [4] that in the finite case this is obviously true, and they proved the following general result:

Theorem 1. Let L be a lattice. If there exist a distributive interval with more than one element in L, then L has a proper congruence-preserving extension K.

Generalizing this result, in this paper, we provide a positive answer to the above question:

Theorem 2. Every lattice L with more than one element has a proper congruence-preserving extension K.

2. Background

Let K and L be lattices. If L is a sublattice of K, then we call K an extension of L. If K is an extension of L and Θ is a congruence relation of K, then Θ_L , the restriction of Θ to L is a congruence of L. If the map $\Theta \mapsto \Theta_L$ is a bijection between the congruences of L and the congruences of K, then we call K a congruence-preserving extension of L. Observe that if K a congruence-preserving extension of L, then the congruence lattice of L is isomorphic to the congruence lattice of L in a natural way.

The proof of Theorem 1 is based on the following construction of E. T. Schmidt [9], summarized below as Theorem 3. (A number of papers utilize this construction;

Date: February 20, 1998.

¹⁹⁹¹ Mathematics Subject Classification. Primary 06B10; Secondary 08A30.

 $Key\ words\ and\ phrases.$ Lattice, congruence, congruence-preserving extension, proper extension.

The research of the first author was supported by the NSERC of Canada.

see, for instance, E. T. Schmidt [10], [11] and the recent paper G. Grätzer and E. T. Schmidt [5].)

Let L be a bounded distributive lattice with bounds 0 and 1, and let $M_3 = \{o, a, b, c, i\}$ be the five-element nondistributive modular lattice. Let $M_3[L]$ denote the poset of triples $\langle x, y, z \rangle \in L^3$ satisfying the condition

(S)
$$x \wedge y = y \wedge z = z \wedge x.$$

Theorem 3.

Let D be a bounded distributive lattice with bounds 0 and 1.

- (i) $M_3[D]$ is a modular lattice.
- (ii) The subset

$$\overline{M}_3 = \{\langle 0, 0, 0 \rangle, \langle 1, 0, 0 \rangle, \langle 0, 1, 0 \rangle, \langle 0, 0, 1 \rangle, \langle 1, 1, 1 \rangle\}$$

of $M_3[D]$ is a sublattice of $M_3[D]$ and it is isomorphic to M_3 .

- (iii) The subposet $\overline{D} = \{ \langle x, 0, 0 \rangle \mid x \in D \}$ of $M_3[D]$ is a bounded distributive lattice and it is isomorphic to D; we identify D with \overline{D} .
- (iv) \overline{M}_3 and D generate $M_3[D]$.
- (v) Let Θ be a congruence relation of $D = \overline{D}$; then there is a unique congruence $\overline{\Theta}$ of $M_3[D]$ such that $\overline{\Theta}$ restricted to \overline{D} is Θ ; therefore, $M_3[D]$ is a congruence-preserving extension of D.

Unfortunately, $M_3[L]$ fails, in general, to produce a lattice, if L is not distributive. In this paper, we introduce a variant on the $M_3[L]$ construction, which we shall denote as $M_3\langle L\rangle$. This lattice $M_3\langle L\rangle$ is a proper congruence-preserving extension of L, for any lattice L with more than one element, verifying Theorem 2.

3. The construction

For a lattice L, let us call the triple $\langle x, y, z \rangle \in L^3$ Boolean, if

(B)
$$x = (x \lor y) \land (x \lor z),$$
$$y = (y \lor x) \land (y \lor z),$$
$$z = (z \lor x) \land (z \lor y).$$

We denote by $M_3\langle L\rangle\subseteq L^3$ the poset of Boolean triples of L. Here are some of the basic properties of Boolean triples:

Lemma 1. Let L be a lattice.

- (i) Every Boolean triple of L satisfies (S), so $M_3\langle L\rangle\subseteq M_3[L]$.
- (ii) $\langle x, y, z \rangle \in L^3$ is Boolean iff there is a triple $\langle u, v, w \rangle \in L^3$ satisfying

(R)
$$\begin{aligned} x &= u \wedge v, \\ y &= u \wedge w, \\ z &= v \wedge w. \end{aligned}$$

(iii) For every triple $\langle x, y, z \rangle \in L^3$, there is a smallest Boolean triple $\overline{\langle x, y, z \rangle} \in L^3$ such that $\langle x, y, z \rangle \leq \overline{\langle x, y, z \rangle}$; in fact,

$$\overline{\langle x, y, z \rangle} = \langle (x \vee y) \wedge (x \vee z), (y \vee x) \wedge (y \vee z), (z \vee x) \wedge (z \vee y) \rangle.$$

(iv) $M_3\langle L\rangle$ is a lattice with the meet operation defined as

$$\langle x_0, y_0, z_0 \rangle \wedge \langle x_1, y_1, z_1 \rangle = \langle x_0 \wedge x_1, y_0 \wedge y_1, z_0 \wedge z_1 \rangle$$

and the join operation defined by

$$\langle x_0, y_0, z_0 \rangle \vee \langle x_1, y_1, z_1 \rangle = \overline{\langle x_0 \vee x_1, y_0 \vee y_1, z_0 \vee z_1 \rangle}.$$

(v) If L has 0, then the subposet $\{\langle x,0,0\rangle\mid x\in L\}$ is a sublattice and it is isomorphic to L.

If L has 0 and 1, then $M_3\langle L\rangle$ has a spanning M_3 , that is, a $\{0,1\}$ -sublattice isomorphic to M_3 , namely,

$$\{\langle 0,0,0\rangle,\langle 1,0,0\rangle,\langle 0,1,0\rangle,\langle 0,0,1\rangle,\langle 1,1,1\rangle\}.$$

- (vi) If $\langle x, y, z \rangle$ is Boolean, then one of the following holds:
 - (a) the components form a one-element set, so $\langle x, y, z \rangle = \langle a, a, a \rangle$, for some $a \in L$;
 - (b) the components form a two-element set and $\langle x, y, z \rangle$ is of the form $\langle b, a, a \rangle$, or $\langle a, b, a \rangle$, or $\langle a, a, b \rangle$, for some $a, b \in L$, a < b.
 - (c) the components form a three-element set and two components are comparable and L has two incomparable elements a and b such that $\langle x, y, z \rangle$ is of the form $\langle a, b, a \wedge b \rangle$, or $\langle a, a \wedge b, b \rangle$, or $\langle a \wedge b, a, b \rangle$.
 - (d) the components form a three-element set and the components are pairwise incomparable and L has an eight-element Boolean sublattice B so that the components are the atoms of B.

Proof.

(i) If $\langle x, y, z \rangle$ is Boolean, then

$$x \wedge y = ((x \vee y) \wedge (x \vee z)) \wedge ((y \vee x) \wedge (y \vee z))$$

= $(x \vee y) \wedge (y \vee z) \wedge (z \vee x),$

which is the upper median of x, y, and z. So (S) holds.

- (ii) If $\langle x,y,z\rangle$ is Boolean, then $u=x\vee y,\,v=x\vee z,$ and $w=y\vee z$ satisfy (R). Conversely, if there is a triple $\langle u,v,w\rangle\in L^3$ satisfying (R), then by Lemma I.5.9 of [1], the sublattice generated by $x,\,y,$ and z is isomorphic to a quotient of \mathfrak{C}_2^3 (where \mathfrak{C}_2 is the two element chain) and $x,\,y,$ and z are the images of the three atoms of \mathfrak{C}_2^3 . Thus $(x\vee y)\wedge (x\vee z)=x,$ the first part of (B). The other two parts are proved similarly.
- (iii) For $\langle x,y,z\rangle \in L^3$, define $u=x\vee y,\ v=x\vee z,\ w=y\vee z.$ Set $x_1=u\wedge v,\ y_1=u\wedge w,\ z_1=v\wedge w.$ Then $\langle x_1,y_1,z_1\rangle$ is Boolean by (ii) and $\langle x,y,z\rangle \leq \langle x_1,y_1,z_1\rangle$ in L^3 . Now if $\langle x,y,z\rangle \leq \langle x_2,y_2,z_2\rangle$ in L^3 and $\langle x_2,y_2,z_2\rangle$ is Boolean, then

$$x_2 = (x_2 \lor y_2) \land (x_2 \lor z_2)$$
 (by (B))

$$\geq (x \lor y) \land (x \lor z)$$
 (by $\langle x, y, z \rangle \leq \langle x_2, y_2, z_2 \rangle$)

$$= u \land v = x_1.$$

and similarly, $y_2 \ge y_1$, $z_2 \ge z_1$. Thus $\langle x_2, y_2, z_2 \rangle \ge \langle x_1, y_1, z_1 \rangle$, and so $\langle x_1, y_1, z_1 \rangle$ is the smallest Boolean triple containing $\langle x, y, z \rangle$.

(iv) $M_3\langle L\rangle \neq \varnothing$; for instance, for all $x\in L$, the diagonal element $\langle x,x,x\rangle\in M_3\langle L\rangle$. It is obvious from (ii) that $M_3\langle L\rangle$ is meet closed. By (iii), $M_3\langle L\rangle$ is a closure system in L^3 , from which the formulas of (iv) follow.

The proofs of (v) and (vi) are left to the reader.

4. Proof of the theorem

Let L be a lattice with more than one element. We identify $x \in L$ with the diagonal element $\langle x, x, x \rangle \in M_3 \langle L \rangle$, so we regard $M_3 \langle L \rangle$ an extension of L. This is an embedding of L into $M_3 \langle L \rangle$ different from the embedding in Lemma 1.(v). Moreover, the embedding in Lemma 1.(v) requires that L have a zero, while the embedding discussed here always works.

Note that $M_3\langle L\rangle$ is a proper extension; indeed, since L has more than one element, we can choose the elements a < b in L. Then $\langle a, a, b \rangle \in M_3\langle L \rangle$ but $\langle a, a, b \rangle$ is not on the diagonal, so $\langle a, a, b \rangle \in M_3\langle L \rangle - L$. In fact, if $L = \mathfrak{C}_2$, the two-element chain, then this is the only type of nondiagonal element:

$$M_3\langle \mathfrak{C}_2 \rangle = \{\langle 0, 0, 0 \rangle, \langle 1, 0, 0 \rangle, \langle 0, 1, 0 \rangle, \langle 0, 0, 1 \rangle, \langle 1, 1, 1 \rangle\}.$$

For a congruence Θ of L, let Θ^3 denote the congruence of L^3 defined componentwise. Let $M_3\langle\Theta\rangle$ be the restriction of Θ^3 to $M_3\langle L\rangle$.

Lemma 2. $M_3\langle\Theta\rangle$ is a congruence relation of $M_3\langle L\rangle$.

Proof. $M_3\langle\Theta\rangle$ is obviously an equivalence relation on $M_3\langle L\rangle$. Since $M_3\langle L\rangle$ is a meet subsemilattice of L^3 , it is clear that $M_3\langle\Theta\rangle$ satisfies the Substitution Property for meets. To verify for $M_3\langle\Theta\rangle$ the Substitution Property for joins, let $\langle x_0, y_0, z_0\rangle$, $\langle x_1, y_1, z_1\rangle \in M_3\langle L\rangle$, let

$$\langle x_0, y_0, z_0 \rangle \equiv \langle x_1, y_1, z_1 \rangle \quad (M_3 \langle \Theta \rangle),$$

(that is,

$$x_0 \equiv x_1 \quad (\Theta), \quad y_0 \equiv y_1 \quad (\Theta), \quad \text{and} \quad z_0 \equiv z_1 \quad (\Theta)$$

in L) and let $\langle u, v, w \rangle \in M_3 \langle L \rangle$. Set

$$\langle x_i', y_i', z_i' \rangle = \langle x_i, y_i, z_i \rangle \vee \langle u, v, w \rangle$$

(the join formed in $M_3\langle L\rangle$), for i=0, 1.

Then, using Lemma 1.(iii) and (iv) for $x_0 \vee u$, $y_0 \vee v$, and $z_0 \vee w$, we obtain that

$$x'_0 = (x_0 \lor u \lor y_0 \lor v) \land (x_0 \lor u \lor z_0 \lor w)$$

$$\equiv (x_1 \lor u \lor y_1 \lor v) \land (x_1 \lor u \lor z_1 \lor w) = x'_1 (M_3 \langle \Theta \rangle),$$

and similarly, $y_0'\equiv y_1'~(M_3\langle\Theta\rangle),~z_0'\equiv z_1'~(M_3\langle\Theta\rangle),$ hence

$$\langle x_0, y_0, z_0 \rangle \vee \langle u, v, w \rangle \equiv \langle x_1, y_1, z_1 \rangle \vee \langle u, v, w \rangle \quad (M_3 \langle \Theta \rangle).$$

Since L was identified with the diagonal of $M_3\langle L\rangle$, it is obvious that $M_3\langle\Theta\rangle$ restricted to L is Θ . So to complete the proof of Theorem 2, it is sufficient to verify the following statement:

Lemma 3. Every congruence of $M_3\langle L\rangle$ is of the form $M_3\langle\Theta\rangle$, for a suitable congruence Θ of L.

Proof. Let Φ be a congruence of $M_3\langle L\rangle$, and let Θ denote the congruence of L obtained by restricting Φ to the diagonal of $M_3\langle L\rangle$, that is, $x\equiv y$ (Θ) in L iff $\langle x,x,x\rangle\equiv\langle y,y,y\rangle$ (Φ) in $M_3\langle L\rangle$. We prove that $\Phi=M_3\langle \Theta\rangle$.

To show that $\Phi \subseteq M_3\langle\Theta\rangle$, let

(1)
$$\langle x_0, y_0, z_0 \rangle \equiv \langle x_1, y_1, z_1 \rangle \quad (\Phi).$$

Define

$$(2) o = x_0 \wedge x_1 \wedge y_0 \wedge y_1 \wedge z_0 \wedge z_1,$$

$$(3) i = x_0 \vee x_1 \vee y_0 \vee y_1 \vee z_0 \vee z_1.$$

Meeting the congruence (1) with $\langle i, o, o \rangle$ yields

(4)
$$\langle x_0, o, o \rangle \equiv \langle x_1, o, o \rangle$$
 (Φ).

Since

$$\langle x_0, o, o \rangle \vee \langle o, o, i \rangle = \overline{\langle x_0, o, i \rangle} = \langle x_0, x_0, i \rangle,$$

joining the congruence (4) with $\langle o, o, i \rangle$ yields

(5)
$$\langle x_0, x_0, i \rangle \equiv \langle x_1, x_1, i \rangle$$
 (Φ).

Similarly,

(6)
$$\langle x_0, i, x_0 \rangle \equiv \langle x_1, i, x_1 \rangle$$
 (Φ).

Now we meet the congruences (5) and (6) to obtain

(7)
$$\langle x_0, y_0, z_0 \rangle \equiv \langle x_1, y_1, z_1 \rangle \quad (\Theta^3)$$

in L^3 , proving that $\Phi \subseteq M_3\langle\Theta\rangle$.

To prove the converse, $M_3\langle\Theta\rangle\subset\Phi$, take

(8)
$$\langle x_0, y_0, z_0 \rangle \equiv \langle x_1, y_1, z_1 \rangle \quad (M_3 \langle \Theta \rangle)$$

in $M_3\langle L\rangle$, that is,

$$x_0 \equiv x_1 \quad (\Theta),$$

$$y_0 \equiv y_1 \quad (\Theta),$$

$$z_0 \equiv z_1 \quad (\Theta)$$

in L. Equivalently,

(9)
$$\langle x_0, x_0, x_0 \rangle \equiv \langle x_1, x_1, x_1 \rangle \quad (\Phi),$$

(10)
$$\langle y_0, y_0, y_0 \rangle \equiv \langle y_1, y_1, y_1 \rangle \quad (\Phi),$$

(11)
$$\langle z_0, z_0, z_0 \rangle \equiv \langle z_1, z_1, z_1 \rangle \quad (\Phi)$$

in $M_3\langle L\rangle$.

Now, define o, i as in (2) and (3). Meeting the congruence (9) with $\langle i, o, o \rangle$, we obtain

(12)
$$\langle x_0, o, o \rangle \equiv \langle x_1, o, o \rangle$$
 (Φ).

Similarly, from (10) and (11), we obtain the congruences

(13)
$$\langle o, y_0, o \rangle \equiv \langle o, y_1, o \rangle \quad (\Phi),$$

(14)
$$\langle o, o, z_0 \rangle \equiv \langle o, o, z_1 \rangle$$
 (Φ).

Finally, joining the congruences (12)–(14), we get

$$\langle x_0, y_0, z_0 \rangle \equiv \langle x_1, y_1, z_1 \rangle \quad (\Phi),$$

that is, $M_3\langle\Theta\rangle\subseteq\Phi$. This completes the proof of this lemma and of Theorem 2. \square

5. Discussion

Special extensions. We can get a slightly stronger result by requiring that the extension preserve the zero and the unit, provided they exist. To state this result, we need the following concept.

An extension K of a lattice L is *extensive*, provided that the convex sublattice of K generated by L is K.

Note that if L has a zero, 0, then an extensive extension is a $\{0\}$ -extension (and similarly for the unit, 1); if L has a zero, 0, and unit 1, then an extensive extension is a $\{0,1\}$ -extension.

Theorem 4. Every lattice L with more than one element has a proper congruence-preserving extensive extension K.

Proof. Indeed, every $\langle x, y, z \rangle \in M_3 \langle L \rangle$ is in the convex sublattice generated by L since

$$\langle x \wedge y \wedge z, x \wedge y \wedge z, x \wedge y \wedge z \rangle \le \langle x, y, z \rangle \le \langle x \vee y \vee z, x \vee y \vee z, x \vee y \vee z \rangle. \quad \Box$$

In Theorem 3.(iii), we pointed out that $M_3[D]$ is a congruence-preserving extension of $D = \overline{D}$, where \overline{D} is an ideal of $M_3[D]$. This raises the question whether Theorem 2 can be strengthened by requiring that L be an ideal in K. This is easy to do, if L has a zero, 0, since then we can identify $x \in L$ with $\langle x, 0, 0 \rangle \in M_3 \langle L \rangle$.

Theorem 5. Every lattice L with more than one element has a proper congruence-preserving extension K with the property that L is an ideal in K.

Proof. Take an element $a \in L$ such that [a) (the dual ideal generated by a) has more than one element. Then by Lemma 1.(v), $A = M_3\langle [a) \rangle$ is a proper congruence-preserving extension of [a) and I = [a) is an ideal in A. Now form the lattice K by gluing L with the dual ideal [a) to A with the ideal I. It is clear that K is a proper congruence-preserving extension of L.

Modularity and semimodularity. R. W. Quackenbush [8] proved that if L is a modular lattice, then $M_3[L]$ is a semimodular lattice. For our construction, the analogous result fails: $M_3\langle P\rangle$ is not semimodular, where P is a projective plane (a modular lattice). Indeed, let a, b, c be a triangle in P, with sides l, m, n, that is, let l, m, n be three distinct lines in the plane P, and define the points $a = n \wedge m$, $b = n \wedge l$, $c = m \wedge l$. Let p be a point in P not on any one of these lines. Then $\langle p, \varnothing, \varnothing \rangle$ is an atom in $M_3\langle P \rangle$, $\langle a, b, c \rangle \in M_3\langle P \rangle$ but

$$\langle \{p\},\varnothing,\varnothing\rangle \vee \langle a,b,c\rangle = \overline{\langle p\vee a,b,c\rangle} = \langle P,l,l\rangle$$

and

$$\langle a, b, c \rangle < \langle n, b, l \rangle < \langle P, l, l \rangle,$$

showing that $M_3\langle P\rangle$ is not semimodular.

Now we characterize when $M_3\langle L\rangle$ is modular.

Theorem 6. Let L be a lattice with more than one element. Then $M_3\langle L \rangle$ is modular iff L is distributive.

Proof. If L is distributive, then $M_3\langle L\rangle=M_3[L]$, so $M_3\langle L\rangle$ is modular by Theorem 3.

Conversely, if $M_3\langle L\rangle$ is modular, then L is modular since it is a sublattice of $M_3\langle L\rangle$. Now if L is not distributive, then L contains an $M_3=\{o,a,b,c,i\}$ as a sublattice. By Lemma 1.(vi), the elements

$$\langle o, o, a \rangle, \langle o, c, a \rangle, \langle c, c, i \rangle, \langle i, i, i \rangle, \langle b, o, a \rangle$$

belong to $M_3\langle L\rangle$. Obviously,

$$\langle o, o, a \rangle < \langle o, c, a \rangle < \langle c, c, i \rangle < \langle i, i, i \rangle$$

and

$$\langle o, o, a \rangle < \langle b, o, a \rangle < \langle i, i, i \rangle.$$

To prove that these five elements form an N_5 , it is enough to prove that

$$\langle c, c, i \rangle \land \langle b, o, a \rangle = \langle o, o, a \rangle$$

and

$$\langle o, c, a \rangle \vee \langle b, o, a \rangle = \langle i, i, i \rangle.$$

The meet is obvious. Now the join:

$$\langle o, c, a \rangle \vee \langle b, o, a \rangle = \overline{\langle b, c, a \rangle} = \langle i, i, i \rangle.$$

So $M_3\langle L\rangle$ contains N_5 as a sublattice, contradicting the assumption that $M_3\langle L\rangle$ is modular. Therefore, L is distributive.

Further results. $M_3[L]$ is not a lattice for a general L. See, however, G. Grätzer and F. Wehrung [6], where a new concept of n-modularity is introduced, for any natural number n. Modularity is the same as 1-modularity.

By definition, n-modularity is an identity; for larger n, a weaker identity. For an n-modular lattice L, $M_3[L]$ is a lattice, a congruence-preserving extension of L.

For distributive lattices (in fact, for n-modular lattices), the construction $M_3[L]$ is a special case of the tensor product construction of two semilattices with zero, see, for instance, G. Grätzer, H. Lakser, and R. W. Quackenbush [2] and R. W. Quackenbush [8]. The $M_3\langle L\rangle$ construction is generalized in G. Grätzer and F. Wehrung [7] to two bounded lattices; the new construction is called box product. Some of the arguments of this paper carry over to box products.

PROBLEMS

Lattices. As usual, let us denote by \mathbf{T} , \mathbf{D} , \mathbf{M} , and \mathbf{L} the variety of one-element, distributive, modular, and all lattices, respectively. A variety \mathbf{V} is *nontrivial* if $\mathbf{V} \neq \mathbf{T}$.

Let us say that a variety $\mathbf V$ of lattices has the Congruence Preserving Extension Property (CPEP, for short), if every lattice in $\mathbf V$ with more than one element has a proper congruence-preserving extension in $\mathbf V$. It is easy to see that no finitely generated lattice variety has CPEP. (Indeed, by Jónsson's lemma, a nontrivial finitely generated lattice variety $\mathbf V$ has a finite maximal subdirectly irreducible member L; if K is a proper congruence-preserving extension of L, then K is also subdirectly irreducible and |L|>|K|, a contradiction.) In particular, $\mathbf D$ does not have CPEP.

Theorem 2 can be restated as follows: L has CPEP.

Problem 1. Find all lattice varieties V with CPEP. In particular, does M have CPEP?

Groups. Let us say that a variety V of groups has the *Normal Subgroup Preserving Extension Property* (NSPEP, for short), if every group G in V with more than one element has a proper supergroup \overline{G} in V with the following property: every normal subgroup N in G can be uniquely represented in the form $\overline{N} \cap G$, where \overline{N} is a normal subgroup of \overline{G} .

Not every group variety V has NSPEP, for instance, the variety A of Abelian groups does not have NSPEP.

Problem 2. Does the variety **G** of all groups have NSPEP? Find all group varieties having NSPEP?

Rings. For ring varieties, we can similarly introduce the *Ideal Preserving Extension Property* (IPEP, for short). The variety **R** of all (not necessarily commutative) rings has IPEP. Indeed, if R is a ring with more than one element, then embed R into $M_2(R)$ (the ring of 2×2 matrices over R) with the diagonal map. The two-sided ideals of $M_2(R)$ are of the form $M_2(I)$, where I is a two-sided ideal of R, and $I = M_2(I) \cap R$.

Problem 3. Find all ring varieties having IPEP? In particular, does the variety of all commutative rings have IPEP?

The second author found a positive answer for Dedekind domains: every Dedekind domain with more than one element has a proper ideal-preserving extension that is, in addition, a principal ideal domain.

ACKNOWLEDGMENT

This work was partially completed while the second author was visiting the University of Manitoba. The excellent conditions provided by the Mathematics Department, and, in particular, a quite lively seminar, were greatly appreciated.

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