

Separably closed fields with Hasse derivations

Martin Ziegler

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Abstract

In [6] Messmer and Wood proved quantifier elimination for separably closed fields of finite Ershov invariant e equipped with a (certain) Hasse derivation. We propose a variant of their theory, using a sequence of e commuting Hasse derivations. In contrast to [6] our Hasse derivations are iterative.

1 Introduction

Definition. Let R be a commutative ring. A Hasse derivation is a family $D = (D_0, D_1, \dots)$ of additive maps $D_n : R \rightarrow R$ such that¹

$$D_0(x) = x \tag{1.1}$$

$$D_n(xy) = \sum_{a+b=n} D_a(x)D_b(y) \tag{1.2}$$

$$D_a D_b = \binom{a+b}{a} D_{a+b} . \tag{1.3}$$

Two Hasse derivations D and E commute if $D_m E_n = E_n D_m$ for all m, n .

We fix for the rest of the paper a natural number e and a prime p .

The following notion was introduced by Okugawa in [7]: A \mathcal{D} -field is a pair (K, \mathbf{D}) , where K is a field of characteristic p and $\mathbf{D} = (\mathbf{D}_1, \dots, \mathbf{D}_e)$ is a sequence of commuting Hasse derivations on K . The *field of constants*² C consists of those elements of K on which all derivations $\mathbf{D}_{i,1}$ ($i = 1, \dots, e$) vanish. Clearly C contains K^p . (K, \mathbf{D}) is a *strict* \mathcal{D} -field if $C = K^p$.

Definition. Let L_e be the natural language for \mathcal{D} -fields, which contains symbols $\{0, 1, +, -, \cdot\}$ for the field operations and unary function symbols $D_{i,n}$ ($i \in$

¹Equation (1.3) means that we consider only *iterative* Hasse derivations.

²The definition used here differs from the definition given in [7], where the constants are killed by all $\mathbf{D}_{i,j}$ ($j > 0$)

$\{1, \dots, e\}, n \in \mathbb{N}$). We denote by $\text{SCH}_{p,e}$ the L_e -theory of all separably closed, strict \mathcal{D} -fields which have degree of imperfection e .³

The aim of this article is to prove the following theorem:

Theorem 1.1.

1. $\text{SCH}_{p,e}$ is complete and has quantifier elimination.
2. Every \mathcal{D} -field can be extended to a model of $\text{SCH}_{p,e}$.
3. Every separably closed field of degree of imperfection e can be expanded to a model of $\text{SCH}_{p,e}$.

Our theory is a variant of the theory given by M. Messmer and C. Wood in [6], where a single, non-iterative Hasse derivation was used. For $e = 1$ our two approaches coincide and Theorem 1.1 was proved (slightly differently) in [6].⁴

We will prove the theorem in Section 3. The main algebraic ingredient is the amalgamation property of the class of \mathcal{D} -fields, which we prove in Section 2, Proposition 2.6. In Section 4 we give an alternative proof for quantifier elimination.

I thank Anand Pillay for various helpful discussions.

2 Amalgamation

We will prove in this section that the class of \mathcal{D} -fields has the *amalgamation property*: Any two extensions of a \mathcal{D} -field K can be jointly embedded in a third extension of K .

Lemma 2.1. *For any \mathcal{D} -field K the index of its field C of constants is bounded by p^e . Let K' be an extension of K with constant field C' . Then C' and K are linearly disjoint over C .*

Proof. We write d_i for the derivation $\mathbf{D}_{i,1}$ and C_i for its field of constants in K . By reordering \mathbf{D} we may assume that C is the irredundant intersection of the first f of the C_i . So the $B_i = C_1 \cap \dots \cap C_i$ form a properly descending sequence

$$K = B_0 \supset B_1 \supset \dots \supset B_f = C.$$

The formula (1.3) implies that $d_i^p = 0$ for all i . Since the d_i commute, each d_i maps B_{i-1} into itself. By Theorem 27.3 of [3] we find elements $x_i \in B_{i-1}$ with $d_i(x_i) = 1$ and for any such choice $1, x_i, \dots, x_i^{p-1}$ is a basis of B_{i-1} over B_i .

³I.e. $[K : K^p] = p^e$

⁴M. Messmer and C. Wood have asked me to point out, that, for $e > 1$, there is a gap in the proof of the main theorem [6], as well as a false claim about the product rule in the non-iterative case.

Whence the $x = x_1^{e_1} \cdots x_f^{e_f}$, ($e_i < p$) form a basis of K over $B_f = C$. For the same reason these elements form a basis of K' over $B'_f \supset C'$. Thus the x are independent over C' . □

An alternative proof uses the Wronskian matrix: Let $\theta_1, \dots, \theta_{p^e}$ be an enumeration of all operators of the form $\mathbf{D}_{1,n_1} \mathbf{D}_{2,n_2} \cdots \mathbf{D}_{e,n_e}$, ($n_i < p$) (or, equivalently, $d_1^{n_1} d_2^{n_2} \cdots d_e^{n_e}$). It can easily be proved by a standard argument that a sequence x_1, \dots, x_N is linearly independent over C iff the matrix $(\theta_\alpha(x_\beta))$ has rank N (see [7, Proposition 5.1]). The Lemma follows immediately from this.

Corollary 2.2. *Let K be a strict \mathcal{D} -field and F a \mathcal{D} -field which extends K . Then F is a separable extension of K . If $[K : K^p] = p^e$, F is strict iff K and F have a common p -basis.*

(See [1] for the definition of p -basis and its basic properties.)

Proof. By the Lemma K and the field C constants of F are linearly disjoint over K^p . This implies that K and F^p are linearly disjoint over K^p . Thus F is separable over K . We have $[K : K^p] \leq [F : C] \leq p^e$. So, if $[K : K^p] = p^e$, we have $[F : C] = p^e$. Therefore $C = F^p$ iff $[F : F^p] = p^e$, which proves the second part. □

Lemma 2.3. *Let (K, \mathbf{D}) be a \mathcal{D} -field and F a field extension of K . Assume that K and F have a common p -basis. Then \mathbf{D} extends uniquely to a sequence \mathbf{E} of commuting Hasse derivations on F . Furthermore, if (F', \mathbf{E}') is an extension of (K, \mathbf{D}) which contains F , the functions in \mathbf{E}' map F into itself, so that $\mathbf{E} = \mathbf{E}' \upharpoonright F$.*

In the special case that F is a separably algebraic extension of K the Lemma is due to F.K. Schmidt ([2]) for $e = 1$ and to Okugawa ([7, Proposition 2.8]) for arbitrary e . We will deduce the general case from a theorem of Matsumara.

Proof. For a single Hasse derivation the lemma follows from the fact that field extensions with a common p -basis are 0 -tale, see [3, 26.7 and 27.2]. So, if \mathbf{E} is a sequence of Hasse derivations of F which extends \mathbf{D} , it remains to show that the \mathbf{E}_i commute. Let us prove that \mathbf{E}_1 and \mathbf{E}_2 commute, i.e. that $\mathbf{E}_{1,i}$ and $\mathbf{E}_{2,j}$ commute for all i, j , by induction on $i + j$. Fix m and n and assume that $\mathbf{E}_{1,i}$ and $\mathbf{E}_{2,j}$ commute for all $i + j < m + n$. It is easy to check (use (1.2)) that then $\mathbf{E}_{1,m} \mathbf{E}_{2,n} - \mathbf{E}_{2,n} \mathbf{E}_{1,m}$ is a derivation. Since \mathbf{D}_1 and \mathbf{D}_2 commute, this derivation vanishes on K and therefore also on F . □

The uniqueness stated in the Lemma follows also from the following recursive formula, which shows that \mathbf{D} can be computed from its values on a basis⁵ of

⁵Even the values on a p -basis would suffice.

F/F^p : Let D be any Hasse derivation. Then (2.2) below implies for $r < p$ that

$$D_{pn+r}(x^p b) = \sum_{m \leq n} D_m(x)^p D_{p(n-m)+r}(b). \quad (2.1)$$

Lemma 2.4. *Any \mathcal{D} -field K has a smallest strict extension K^{strict} , which is a purely inseparable extension of K .*

Proof. Consider an arbitrary Hasse derivation D . We note first that (1.2) implies

$$D_n(x^p) = \begin{cases} D_{\frac{n}{p}}(x)^p & \text{if } p|n \\ 0 & \text{otherwise} \end{cases} \quad (2.2)$$

Also, by (1.3), if $D_1(x) = 0$, we have $D_m(x) = 0$ for all m which are not divisible by p . It follows that

$$D' = (D_0, D_p, D_{2p}, \dots)$$

is a Hasse derivation on the constant field of D_1 .⁶

Let C be the constant field of (K, \mathbf{D}) . Since the \mathbf{D}_i commute, all $\mathbf{D}_{i,n}$ map C into itself. By the last remark $\mathbf{D}' = (\mathbf{D}'_1, \dots, \mathbf{D}'_e)$ is a sequence of commuting Hasse derivations on C . We transport \mathbf{D}' from C to $K^* = C^{\frac{1}{p}}$ via the Frobenius map:

$$\mathbf{D}_{i,n}^*(x) = \mathbf{D}_{pn,i}(x^p)^{\frac{1}{p}}.$$

\mathbf{D}^* extends \mathbf{D} by (2.2). We repeat this process and get an infinite sequence of purely inseparable extensions. The union of this sequence is K^{strict} . \square

Note that K^{strict} is separably closed if K is separably closed.

Lemma 2.5. *Let F and L be \mathcal{D} -fields which both extend the \mathcal{D} -field K . Assume that, in a common field extension, F and L are linearly disjoint over K . Then FL has a unique \mathcal{D} -structure which extends the \mathcal{D} -structures of F and L .*

Proof. A \mathcal{D} -module over K is a K -vector space V with a family $\mathbf{D}_{i,n}$ ($i \in \{1, \dots, e\}, n \in \mathbb{N}$) of commuting additive maps $V \rightarrow V$ such that for all $D = \mathbf{D}_i$, $x \in K$ and $v \in V$.

$$D_0(v) = v \quad (2.3)$$

$$D_n(xv) = \sum_{a+b=n} D_a(x)D_b(v) \quad (2.4)$$

$$D_a D_b(v) = \binom{a+b}{a} D_{a+b}(v). \quad (2.5)$$

A commutative K -algebra R is a \mathcal{D} -algebra if it is a \mathcal{D} -module and the \mathbf{D}_i are Hasse derivations on R .

The following statements are easy to check (cf. [4]):

⁶Note that $\binom{n}{i} \equiv \binom{pn}{pi} \pmod{p}$.

- If V and W are \mathcal{D} -modules over K , the tensor product $V \otimes_K W$ becomes a \mathcal{D} -module by the definition

$$\mathbf{D}_{i,n}(v \otimes w) = \sum_{a+b=n} \mathbf{D}_{i,a}(v) \otimes \mathbf{D}_{i,b}(w).$$

- If R and S are \mathcal{D} -algebras over K , their tensor product is also a \mathcal{D} -algebra.

If R and S have unit-elements, R and S are subrings of $R \otimes_K S$. It is clear that the \mathcal{D} -structure of $R \otimes_K S$ is the only common extension of the \mathcal{D} -structures of R and S ⁷.

If F and L are linearly disjoint over D , FL is the quotient field of $F \otimes_K L$. By [2] and [7, Proposition 2.3] a sequence of commuting Hasse derivations on a domain extends uniquely to the quotient field. This proves the Lemma. \square

Proposition 2.6. *The class of \mathcal{D} -fields has the amalgamation property.*

Proof. Let F and L be \mathcal{D} -fields which both extend the \mathcal{D} -field K . If we apply Lemma 2.3 and Lemma 2.4 to the separable algebraic closures of F and L , we see that we may assume that F and L are separably closed and strict. Then $(K^{\text{sep}})^{\text{strict}}$ is a \mathcal{D} -subfield of F and L (again by Lemmas 2.3 and 2.4), so we may assume that K is separably closed and strict. We may also assume that F and L are situated in a common extension field and are algebraically independent over K . By Corollary 2.2 F is a separable extension of K and therefore a regular extension, since K is separably closed. This implies that F and L are linearly independent over K and that we can extend the \mathcal{D} -structure of F and L to FL . \square

3 Proof of the Theorem

1. Quantifier elimination and completeness

To prove that $\text{SCH}_{p,e}$ has quantifier elimination, we have to show that the following is true: If F and L are models of $\text{SCH}_{p,e}$ with a common substructure R , we can embed F over R in an elementary extension of L . Let K be the quotient field of R in F and K' the copy of K in L .

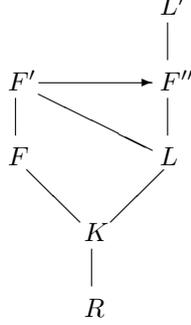
For all Hasse derivations D we have the recursion formula

$$D_n\left(\frac{r}{s}\right) = \frac{D_n(r) - \sum_{a < n} D_a\left(\frac{r}{s}\right) D_{n-a}(s)}{s}$$

This shows that K and K' are \mathcal{D} -subfields of F and L and are, over R , isomorphic as \mathcal{D} -fields. So we can assume that $R = K$.

⁷Note that $D_n(1) = 0$ for any Hasse derivation D and $n > 0$.

By amalgamation we find a \mathcal{D} -field F' which extends F and L . We may assume that F' is strict. By Corollary 2.2 F' is a separable extension of L . Since L is separably closed, we can embed F' over L in an elementary extension L' of L (see [1, Claim 2.2]). Let F'' be the copy of F' in L' .



It remains to show, that F'' is a \mathcal{D} -subfield of L' which, over L , is isomorphic to F' . But this follows immediately from Lemma 2.3, since F' and L have a common p -basis by Corollary 2.2. Note that the assumption that F is a model of $\text{SCH}_{p,e}$ was not used.

$\text{SCH}_{p,e}$ is complete since it is consistent by part 3 below and since all models contain the trivial \mathcal{D} -field \mathbb{F}_p .

2. Every \mathcal{D} -field is contained in a model

Let F be a \mathcal{D} -field and L be any model of $\text{SCH}_{p,e}$. (We will see below that $\text{SCH}_{p,e}$ is consistent.). By the proof of quantifier elimination we can embed F (over \mathbb{F}_p) in an elementary extension of L .

3. Every separably closed field with degree of imperfection e can be expanded to model

Let F be a separably closed field of imperfection degree e . Let b_1, \dots, b_e be a p -basis of F . Then the b_i are algebraically independent over \mathbb{F}_p and form a p -basis of $K = \mathbb{F}_p(b_1, \dots, b_e)$. Define a sequence of commuting Hasse derivations on K by

$$f(b_1, \dots, b_i + t, \dots, b_e) = \sum_{n=0}^{\infty} \mathbf{D}_{i,n}(f(b_1, \dots, b_e)) t^n. \quad (3.1)$$

or, equivalently, by

$$\mathbf{D}_{i,n}(b_1^{k_1} \dots b_e^{k_e}) = \binom{k_i}{n} b_1^{k_1} \dots b_i^{k_i-n} \dots b_e^{k_e} \quad (3.2)$$

It is easy to check, and well-known, that this definition turns K into a strict \mathcal{D} -field (see [7, Section I.1]). By Lemma 2.3 we can extend \mathbf{D} to F . F is strict since $[F : F^p] = p^e$ (Corollary 2.2). So (F, \mathbf{D}) is a model of $\text{SCH}_{p,e}$.

4 Remarks

Stability and elimination of imaginaries

Using the methods of [1] and [6] it is easy to prove that $\text{SCH}_{p,e}$ is stable and has elimination of imaginaries. The stability of $\text{SCH}_{p,e}$ can also be derived directly from the stability of separably closed fields ([8]) as follows: Let F be a separably closed field with p -basis b_1, \dots, b_e and D a Hasse derivation of F . The formula (2.1) shows that all D_n are definable in the field F using the parameters $D_n(b_1^{k_1} \dots b_e^{k_e})$.⁸ This implies that F together with any sequence of Hasse derivations is stable.

Let me also indicate why $\text{SCH}_{p,e}$ has elimination of imaginaries, following [5]. One notes first, that, working in fields, it suffices to show that $\text{SCH}_{p,e}$ has weak elimination of imaginaries (see [5, Fact 5.5]). By a theorem of Evans, Pillay and Poizat (see [5, Proposition 5.8]) it is enough to show that every type $q(x_1, \dots, x_m)$ over a model (F, \mathbf{D}) has a canonical base. Let $\theta_1, \theta_2, \dots$ be an enumeration of all operators of the form $\mathbf{D}_{1,n_1} \mathbf{D}_{2,n_2} \dots \mathbf{D}_{e,n_e}$, ($n_i = 0, 1, \dots$) and let I_q be the ideal of all polynomials $f \in F[X_{\alpha,j}]_{\alpha=1,2,\dots; j=1,\dots,m}$ such that the formula $f(\theta_\alpha(x_j)) \doteq 0$ belongs to q . By quantifier elimination q is determined by I_q . Thus the field of definition of I_q serves as a canonical base of q .

Canonical p -bases

Let (F, \mathbf{D}) be a \mathcal{D} -field with degree of imperfection e . A p -basis b_1, \dots, b_e is *canonical* if for all $n > 0$

$$\mathbf{D}_{i,n}(b_j) = \begin{cases} 1 & \text{if } n = 1 \text{ and } i = j \\ 0 & \text{otherwise} \end{cases}. \quad (4.1)$$

Lemma 4.1. *Let F be a field with with degree of imperfection e . Every p -basis of F is a canonical p -basis of a uniquely determined sequence of commuting Hasse derivations.*

Proof. A canonical p -basis b_1, \dots, b_e determines \mathbf{D} uniquely: $\mathbf{D}_{i,n}(b_1^{k_1} \dots b_e^{k_e})$ is given by (3.2). To compute $\mathbf{D}_{i,n}(x)$ for arbitrary x , write

$$x = \sum_{0 \leq k_1, \dots, k_e < p^m} x_{k_1 \dots k_e}^{p^m} b_1^{k_1} \dots b_e^{k_e}$$

for some m with $n < p^m$. Then

$$\mathbf{D}_{i,n}(x) = \sum_{0 \leq k_1, \dots, k_e < p^m} x_{k_1 \dots k_e}^{p^m} \mathbf{D}_{i,n}(b_1^{k_1} \dots b_e^{k_e}). \quad (4.2)$$

Now let b_1, \dots, b_e be any p -basis. The construction at the end of the last section shows that (3.2) and (4.2) define a sequence \mathbf{D} of commuting Hasse derivations with canonical p -basis b_1, \dots, b_e . \square

⁸Actually the parameters b_i and $D_{p^m}(b_i)$ suffice.

The \mathbf{D} constructed in in the last part of the proof is strict. So we conclude, that only a strict sequence \mathbf{D} can have a canonical p -basis. The converse is true if (F, \mathbf{D}) is ω -saturated:

Remark. *Every ω -saturated strict \mathcal{D} -field has a canonical p -basis.*

I will give the proof only in the following special case, which will be used later.

Corollary 4.2. *Every ω -saturated model of $\text{SCH}_{p,e}$ has a canonical p -basis.*

Proof. To have a canonical p -basis means that a certain countable set $\Sigma(x_1, \dots, x_e)$ of formulas is realized. Since $\text{SCH}_{p,e}$ is complete, it is enough to show that *some* model of $\text{SCH}_{p,e}$ has a canonical p -basis. For this take a separably closed field F of imperfection degree e and fix a p -basis \bar{b} . Let \mathbf{D} be the unique sequence which has \bar{b} as a canonical p -basis. (F, \mathbf{D}) is a model of $\text{SCH}_{p,e}$. \square

Lemma 4.1 and the last remark allow us to determine all strict sequences of commuting Hasse derivations of an ω -saturated field F . We note first that, if b_1, \dots, b_e is a canonical p -basis for \mathbf{D} , then b'_1, \dots, b'_e is a canonical p -basis for \mathbf{D} iff the differences $b_i - b'_i$ belong to

$$F^{p^\infty} = \bigcap_{k=1}^{\infty} F^{p^k} = \{a \in F \mid \mathbf{D}_{i,n}(x) = 0 \ (i = 1, \dots, e; n = 1, 2, \dots)\}.$$

This gives

Remark. *Let F be an ω -saturated field with degree of imperfection e . There is a natural 1-1-correspondence between the set of all strict sequences of commuting Hasse derivations and the set of all p -bases modulo F^{p^∞} .*

Lambda functions

Let b_1, \dots, b_e be a p -basis of F . The functions $\lambda_{k_1 \dots k_e}^m$ are defined by

$$x = \sum_{0 \leq k_1, \dots, k_e < p^m} \lambda_{k_1 \dots k_e}^m(x) p^m b_1^{k_1} \dots b_e^{k_e}$$

Fix a natural number m . For a multi-index $\kappa = (k_1, \dots, k_e) \in \{0, \dots, p^m - 1\}^e$ and a sequence \mathbf{D} of Hasse derivations let us use the notations

$$b^\kappa = b_1^{k_1} \dots b_e^{k_e} \quad \text{and} \quad \mathbf{D}_\kappa = \mathbf{D}_{1,k_1} \mathbf{D}_{2,k_2} \dots \mathbf{D}_{e,k_e}.$$

If we apply \mathbf{D}_κ to the equation

$$x = \sum_{\mu} \lambda_{\mu}^m(x) p^m b^{\mu},$$

we obtain

$$\mathbf{D}_\kappa(x) = \sum_{\mu} \lambda_{\mu}^m(x)^{p^m} \mathbf{D}_\kappa(b^{\mu}).$$

If \mathbf{D} is strict, the Wronski matrix $(\mathbf{D}_\kappa(b^{\mu}))$ is always regular. If b_1, \dots, b_e is canonical for \mathbf{D} , its entries are, up to factors from \mathbb{F}_p , monomials in the b_i . It is also easy to see that the determinant is 1. This yields

Lemma 4.3. *Let (F, \mathbf{D}) be a \mathcal{D} -field with canonical p -basis b_1, \dots, b_e . Then the functions $(\lambda_{\mu}^m(x))^{p^m}$ are polynomials in b_1, \dots, b_e and the $\mathbf{D}_\kappa(x)$. \square*

Quantifier elimination

Let $T_{p,e}$ denote the theory of separably closed fields F of characteristic p with a named p -basis b_1, \dots, b_e . It is shown in [1] that $T_{p,e}$ is complete and has quantifier elimination if one adds function symbols for the λ_{μ}^m to the language.⁹

This fact can be used to give an alternative proof for the quantifier elimination of $\text{SCH}_{p,e}$: Let $\phi(\bar{x})$ be an L_e -formula and (F, \mathbf{D}) a saturated model of $\text{SCH}_{p,e}$. By Corollary 4.2 we can find a canonical p -basis b_1, \dots, b_e . Since we can define the $\mathbf{D}_{i,n}$ in (F, b_1, \dots, b_e) , $\phi(\bar{x})$ is equivalent to a Boolean combination of polynomial equations between b_1, \dots, b_e and terms of the form $\lambda_{\mu}^m(x_i)$, for sufficiently large m . By taking p^m -th powers we can replace the $\lambda_{\mu}^m(x_i)$ by $\lambda_{\mu}^m(x_i)^{p^m}$. By the last lemma we obtain an equivalent Boolean combination of equations of the form

$$\sum_{\kappa} q_{\kappa}(\bar{x}) b^{\kappa} \doteq 0 \tag{4.3}$$

where the $q_{\kappa}(\bar{x})$ are terms in the $\mathbf{D}_{\kappa}(x_i)$. The equivalence holds for any choice of the canonical p -basis b_1, \dots, b_e . Since $F^{p^{\infty}}$ is infinite, we can find the b_1, \dots, b_e algebraically independent over any given tuple \bar{x} . This shows that we can replace each equation (4.3) by $\bigwedge_{\kappa} q_{\kappa}(\bar{x}) \doteq 0$. We observe finally that the resulting quantifier free L_e -formula does not depend on the choice of F .

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⁹Only the λ_{μ}^1 are needed for quantifier elimination. As Françoise Delon has explained to me, also the constants for the p -basis can be disposed of.

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MATHEMATISCHES INSTITUT
ECKERSTRASSE 1
79104 FREIBURG, GERMANY
ziegler@uni-freiburg.de