

A BOUND ON CERTAIN LOCAL COHOMOLOGY MODULES AND APPLICATION TO AMPLE DIVISORS

CLAUDIA ALBERTINI¹ AND MARKUS BRODMANN

Abstract. We consider a positively graded noetherian domain $R = \bigoplus_{n \in \mathbb{N}_0} R_n$ for which R_0 is essentially of finite type over a perfect field K of positive characteristic and we assume that the generic fibre of the natural morphism $\pi : Y = \text{Proj}(R) \rightarrow Y_0 = \text{Spec}(R_0)$ is geometrically connected, geometrically normal and of dimension > 1 . Then we give bounds on the “ranks” of the n -th homogeneous part $H_{R_+}^2(R)_n$ of the second local cohomology module of R with respect to $R_+ := \bigoplus_{m>0} R_m$ for $n < 0$. If Y is in addition normal, we shall see that the R_0 -modules $H_{R_+}^2(R)_n$ are torsion-free for all $n < 0$ and in this case our bounds on the ranks furnish a vanishing result. From these results we get bounds on the first cohomology of ample invertible sheaves in positive characteristic.

§1. Introduction

Let $R = \bigoplus_{n \in \mathbb{N}_0} R_n$ a positively graded noetherian domain such that R_0 is essentially of finite type over a field K of positive characteristic. Assume that the generic fibre of the natural morphism $Y := \text{Proj}(R) \xrightarrow{\pi} Y_0 := \text{Spec}(R_0)$ is geometrically connected, geometrically normal and of dimension > 1 . For all $n \in \mathbb{Z}$ let $H_{R_+}^2(R)_n$ denote the n -th homogeneous part of the second local cohomology module $H_{R_+}^2(R)$ of R with respect to the irrelevant ideal $R_+ := \bigoplus_{m>0} R_m$ of R .

Our aim is to bound “the size” of the R_0 -module $H_{R_+}^2(R)_n$ for negative values of n . More precisely, if L_0 is the quotient field of R_0 , we give bounds on the numbers.

$$h_{R_+}^2(R)_n := \dim_{L_0}(L_0 \otimes_{R_0} H_{R_+}^2(R)_n)$$

in the range $n < 0$ (cf. (3.8)). In addition, we shall see that the R_0 -modules $H_{R_+}^2(R)_n$ are torsion-free for all $n < 0$, whenever Y is normal. So, in this

Received April 2, 1999.

Revised June 8, 2000.

2000 Mathematics Subject Classification: 13D03, 14B15, 14F15, 14F05.

¹Author supported by Swiss National Foundation; Grant Nr. 21-36526.92

case, we have bounded the rank of the R_0 -modules $H_{R_+}^2(R)_n$ in the range $n < 0$.

We apply the previous bounding result in the following geometric context: Let X be an integral projective scheme over an affine integral scheme X_0 which is essentially of finite type over a perfect field K . Assume that the generic fibre of X over X_0 is geometrically connected, geometrically normal and of dimension > 1 . Let \mathcal{L} be an ample invertible sheaf over X . Under these hypotheses we bound the first Serre-cohomology modules $H^1(X, \mathcal{L}^{\otimes n})$ in the range $n < 0$, (s. (4.5)). In particular we consider the case where X is a geometrically connected and geometrically normal projective scheme over a perfect field K of positive characteristic (cf. (4.6), (4.8)). In the special situation in which K is algebraically closed we recover a result of [A], (s. (4.7)).

Finally, we apply our bounds to projective varieties which have only finitely many non-normal points, (s. (5.2)). In the special case of a surface X with only finitely many non-normal points we see that the spaces $H^1(X, \mathcal{L}^{\otimes n})$ have the same dimension for all $n < 0$ if the so called sectional genus $\sigma_{\mathcal{L}}(X)$ of X with respect to \mathcal{L} is smaller than the dimension of the complete linear system $|\mathcal{L}|$, (s. (5.5)). In particular this shows the vanishing of $H^1(X, \mathcal{O}_X(-1))$ if $X \subseteq \mathbb{P}^r$ is a nondegenerate normal projective surface with sectional genus $\sigma(X) < r$. In many cases this latter vanishing result allows to avoid the use of the vanishing theorems of Kodaira [K] or Mumford [Mu] and thus for example gives rise to a characteristic-free approach to projective surfaces of low degree: An application to sectionally rational surfaces immediately shows that the main results of [B-V] remain valid in arbitrary characteristic. Further use of this idea is made in [B₂], [B₃].

Let us recall, that in general, for an ample invertible sheaf \mathcal{L} on a normal projective surface X , $H^1(X, \mathcal{L}^{\otimes -1})$ need not vanish (s. [Mu]), even if X is smooth (s. [Ra]). Observe also that in [L-R] an example of a smooth projective variety $X \subseteq \mathbb{P}^r$ of dimension 6 is constructed for which $H^1(X, \mathcal{O}_X(-1)) \neq 0$. On the other hand it seems that even the powerful vanishing results found in [D-I] and [E-V] and the new techniques developed in [S] do not give the vanishing of $H^1(X, \mathcal{O}_X(-1))$ for smooth projective varieties of dimension ≤ 5 in arbitrary characteristic.

As for unexplained terminology we refer to [H₂] (concerning algebraic geometry) and to [M] (concerning commutative algebra).

We thank the referee for his valuable suggestions and hints.

§2. The Frobenius sequence

Let $R = \bigoplus_{n \in \mathbb{N}_0} R_n$ be a positively graded noetherian domain such that R_0 is essentially of finite type over a given perfect ground field K of characteristic $p > 0$. Choose some positive integer $e \in \mathbb{N}$ and let $R^{(p^e)} := \bigoplus_{n \in \mathbb{N}_0} R_{np^e} \subseteq R$ be the p^e -th Veronesean subring of R . Moreover, consider the e -th Frobenius homomorphism

$$(2.1) \quad F_e : R \longrightarrow R^{(p^e)}; (x \longmapsto x^{p^e}, \forall x \in R).$$

Remark 2.2. Observe that $F_e : R \rightarrow R^{(p^e)}$ is an injective (graded) homomorphism between positively graded noetherian rings. By our hypotheses R is essentially of finite type over the perfect field K , so that the homomorphism F_e is in addition finite.

For a graded R -module $M = \bigoplus_{n \in \mathbb{Z}} M_n$, let $M^{(p^e)} := \bigoplus_{n \in \mathbb{Z}} M_{np^e}$ denote the p^e -th Veronesean transform of M , considered as an $R^{(p^e)}$ -module in the obvious way. Moreover, consider the graded R -module

$$(2.3) \quad M^{[e]} := M^{(p^e)} \upharpoonright_{F_e},$$

where $\cdot \upharpoonright_{F_e}$ denotes scalar restriction to R by means of the homomorphism $F_e : R \rightarrow R^{(p^e)}$.

Remark 2.4. A) Observe that the assignment $M \mapsto M^{[e]}$ extends naturally to graded homomorphisms and thus gives rise to covariant exact functor $\cdot^{[e]} : {}^*\mathcal{C}(R) \rightarrow {}^*\mathcal{C}(R)$ from the category ${}^*\mathcal{C}(R)$ of graded R -modules to itself. Moreover, by (2.2) this functor preserves the property of being a finitely generated (graded) module.

B) For each $n \in \mathbb{N}$ let $\cdot_n : {}^*\mathcal{C}(R) \rightarrow \mathcal{C}(R_0)$ denote the covariant exact functor from the category of graded R -modules to the category $\mathcal{C}(R_0)$ of R_0 -modules, which is given by taking n -th homogeneous parts. Then, for each graded R -module M and for each $n \in \mathbb{Z}$ we have $(M^{[e]})_n = (M_{np^e}) \upharpoonright_{F_{e,0}}$, where $\cdot \upharpoonright_{F_{e,0}}$ denotes scalar restriction to R_0 by means of the restricted Frobenius homomorphism in degree 0, that is $F_{e,0} := F_e \upharpoonright_{R_0} : R_0 \rightarrow (R^{(p^e)})_0 = R_0, (x \mapsto x^{p^e})$.

DEFINITION AND REMARK 2.5. Keep the previous hypotheses and notation. Observe that $R^{[e]}$ carries a natural ring structure inherited from $R^{(p^e)}$

and that the homomorphism of rings $F_e : R \rightarrow R^{[e]}$ is a graded homomorphism between finitely generated and graded R -modules.

A) Let $C_{[e]}$ be the cokernel of the homomorphism $F_e : R \rightarrow R^{[e]}$, a finitely generated and graded R -module. The induced graded short exact sequence

$$(i) \quad 0 \longrightarrow R \xrightarrow{F_e} R^{[e]} \longrightarrow C_{[e]} \longrightarrow 0$$

is called the e -th *arithmetic Frobenius sequence of R* .

B) Keep the above notations and set in addition $Y := \text{Proj}(R)$. Let $\mathcal{K}_{[e]} := (C_{[e]})^\sim$ be the coherent sheaf of \mathcal{O}_Y -modules induced by $C_{[e]}$ and let $\mathcal{O}_Y^{[e]}$ denote the coherent sheaf of \mathcal{O}_Y -modules induced by $R^{[e]}$. Observe that $\mathcal{O}_Y^{[e]}$ carries a natural structure of sheaf of \mathcal{O}_Y -algebras which results from the fact that $F_e : R \rightarrow R^{[e]}$ is a homomorphism of rings. Now, the induced short exact sequence of coherent sheaves of \mathcal{O}_Y -modules

$$(ii) \quad 0 \longrightarrow \mathcal{O}_Y \xrightarrow{\tilde{F}_e} \mathcal{O}_Y^{[e]} \longrightarrow \mathcal{K}_{[e]} \longrightarrow 0$$

is called the e -th (*geometric*) *Frobenius sequence of R* . It incorporates the “iterated Frobenius morphism” $\tilde{F}_e : \mathcal{O}_Y \rightarrow \mathcal{O}_Y$ (cf. [H₁, §6, pg. 128]) into a short exact sequence, which shall play a crucial rôle in our arguments. For $y \in Y$, the corresponding short exact sequence of finitely generated $\mathcal{O}_{Y,y}$ -modules

$$(iii) \quad 0 \longrightarrow \mathcal{O}_{Y,y} \xrightarrow{(\tilde{F}_e)_y} (\mathcal{O}_Y^{[e]})_y \longrightarrow (\mathcal{K}_{[e]})_y \longrightarrow 0$$

ist called the e -th (*local*) *Frobenius sequence of R at y* .

The splitting of the Frobenius sequence is known to furnish vanishing statements of Kodaira type in positive characteristic, (s. [Me-Ram]). Clearly, in our situation we cannot expect the Frobenius sequence to be split. As a certain substitute for the splitting in question we now shall prove that the cokernel $\mathcal{K}_{[e]}$ of \tilde{F}_e is torsion-free, provided that Y is normal.

LEMMA 2.6. *Let the notations and hypotheses be as in (2.5) and let $y \in Y = \text{Proj}(R)$ be a regular point. Then, the e -th local Frobenius sequence of R at y*

$$0 \longrightarrow \mathcal{O}_{Y,y} \xrightarrow{(\tilde{F}_e)_y} (\mathcal{O}_Y^{[e]})_y \longrightarrow (\mathcal{K}_{[e]})_y \longrightarrow 0$$

splits. Moreover if $L = \kappa(Y)$ is the field of rational functions of Y , the $\mathcal{O}_{Y,y}$ -module $(\mathcal{O}_Y^{[e]})_y$ is free of rank $r := [L : L^p]^e (< \infty)$ and the $\mathcal{O}_{Y,y}$ -module $(\mathcal{K}_{[e]})_y$ is free of rank $r - 1$.

Proof. Keep in mind that $(\mathcal{O}_Y^{[e]})_y$ carries a natural ring structure and that we may naturally identify this ring with $\mathcal{O}_{Y,y}$. Under this identification, $(\tilde{F}_e)_y : \mathcal{O}_{Y,y} \rightarrow (\mathcal{O}_Y^{[e]})_y$ corresponds to the e -th Frobenius map $f_e : \mathcal{O}_{Y,y} \rightarrow \mathcal{O}_{Y,y}$, $(a \mapsto a^{p^e})$.

By our assumptions, $\mathcal{O}_{Y,y}$ is a regular local ring and so the flatness-criterion of Kunz [Ku] shows that the finite homomorphism $f_e : \mathcal{O}_{Y,y} \rightarrow \mathcal{O}_{Y,y}$ is flat and hence splits. Therefore the e -th local Frobenius sequence of R at y splits and $(\mathcal{K}_{[e]})_y$ becomes a free $\mathcal{O}_{Y,y}$ -module of rank $r - 1$ where $r = [L : L^p]^e$. □

PROPOSITION 2.7. *Let the notations and hypotheses be as in (2.5) and let $y \in Y = \text{Proj}(R)$ be a normal point. Then, the stalk $(\mathcal{K}_{[e]})_y$ is a torsion-free $\mathcal{O}_{Y,y}$ -module.*

Proof. By our hypothesis, $\mathcal{O}_{Y,y}$ is a noetherian normal local ring. Let $\mathfrak{p} \in \text{Ass}_{\mathcal{O}_{Y,y}}((\mathcal{K}_{[e]})_y)$. We have to show that $\text{height}(\mathfrak{p}) = 0$. The localized Frobenius sequence $0 \rightarrow (\mathcal{O}_{Y,y})_{\mathfrak{p}} \rightarrow ((\mathcal{O}_Y^{[e]})_y)_{\mathfrak{p}} \rightarrow ((\mathcal{K}_{[e]})_y)_{\mathfrak{p}} \rightarrow 0$ shows that $\text{depth}((\mathcal{O}_Y^{[e]})_y)_{\mathfrak{p}} = 0$ or that $\text{depth}(\mathcal{O}_{Y,y})_{\mathfrak{p}} \leq 1$. As $R^{[e]}$ is a torsion free R -module, $(\mathcal{O}_Y^{[e]})_y$ is a torsion free module over $\mathcal{O}_{Y,y}$. As $\mathcal{O}_{Y,y}$ is a normal noetherian ring, it satisfies the second Serre condition S_2 . Altogether we thus obtain that $\text{height}(\mathfrak{p}) \leq 1$. Now, let $z \in Y$ be the point which corresponds to \mathfrak{p} , so that $y \in \overline{\{z\}}$ and $\mathcal{O}_{Y,z} = (\mathcal{O}_{Y,y})_{\mathfrak{p}}$. As $\mathcal{O}_{Y,y}$ is normal, $\text{height}(\mathfrak{p}) \leq 1$ implies that $\mathcal{O}_{Y,z}$ is a regular ring and therefore we get by (2.6) that $(\mathcal{K}_{[e]})_z \cong ((\mathcal{K}_{[e]})_y)_{\mathfrak{p}}$ is a free module over $(\mathcal{O}_{Y,y})_{\mathfrak{p}}$. As $\mathfrak{p} \in \text{Ass}((\mathcal{K}_{[e]})_y)$ we thus get $\mathfrak{p} \in \text{Ass}(\mathcal{O}_{Y,y})$ and hence our claim. □

COROLLARY 2.8. *Let the notations and hypotheses be as in (2.5) and assume that $Y = \text{Proj}(R)$ is normal. Then $\mathcal{K}_{[e]}$ is a torsion-free sheaf of \mathcal{O}_Y -modules.*

§3. Structure of the second local cohomology module

Let $R = \bigoplus_{n \in \mathbb{N}_0} R_n$ be as in Section 2 and let $R_+ := \bigoplus_{n \in \mathbb{N}} R_n$ be the irrelevant ideal of R . For an R -module M and for $i \in \mathbb{N}_0$ let $D_{R_+}(M) :=$

$\varinjlim_t \text{Hom}_R((R_+)^t, M)$ denote the R_+ -transform of M and let $H_{R_+}^i(M)$ denote the i -th local cohomology module of M with respect to R_+ . Keep in mind that the R_+ -transform and local cohomology with respect to R_+ give rise respectively to a left exact covariant functor $D_{R_+} : {}^*\mathcal{C}(R) \rightarrow {}^*\mathcal{C}(R)$ from the category of graded R -modules to itself or a universal δ -functor $(H_{R_+}^i)_{i \in \mathbb{N}_0} : {}^*\mathcal{C}(R) \rightarrow {}^*\mathcal{C}(R)$.

Remark 3.1. A) Let M be a graded R -module. Remember that there is a natural exact sequence of graded R -modules

$$0 \longrightarrow H_{R_+}^0(M) \longrightarrow M \xrightarrow{\eta_{R_+}} D_{R_+}(M) \longrightarrow H_{R_+}^1(M) \longrightarrow 0$$

and that there are natural isomorphisms of graded R -modules $\mathcal{R}^i D_{R_+}(M) \cong H_{R_+}^{i+1}(M)$ for all $i \in \mathbb{N}$, where \mathcal{R}^i denotes the i -th right derivation of covariant functors in the category $\mathcal{C}(R)$ or in the category ${}^*\mathcal{C}(R)$ (s. [B-S, Chap. 13]).

B) Let $e \in \mathbb{N}$. Then, in the notations of Section 2 we have $\sqrt{F_e(R_+)R^{(p^e)}} = (R^{(p^e)})_+ = (R_+)^{(p^e)}$. Now, let M be a graded R -module and keep in mind that taking the ideal transform or local cohomology of M with respect to graded ideals commutes with graded scalar restriction (s. [B-S, 13.1.3, 13.1.6]) and with Veronesean transforms (s. [B-S, 12.4.6]). We thus get natural isomorphisms of graded R -modules

$$\begin{aligned} D_{R_+}(M^{[e]}) &= D_{R_+}(M^{(p^e)} \upharpoonright_{F_e}) \cong D_{F_e(R_+)R^{(p^e)}}(M^{(p^e)}) \upharpoonright_{F_e} \\ &= D_{(R_+)^{(p^e)}}(M^{(p^e)}) \upharpoonright_{F_e} \cong D_{R_+}(M)^{(p^e)} \upharpoonright_{F_e} = D_{R_+}(M)^{[e]}, \end{aligned}$$

hence

(i)
$$D_{R_+}(M^{[e]}) \cong D_{R_+}(M)^{[e]}$$

and, similarly

(ii)
$$H_{R_+}^i(M^{[e]}) \cong H_{R_+}^i(M)^{[e]}, \quad \text{for all } i \in \mathbb{N}_0.$$

C) Fix $e \in \mathbb{N}$. If we apply the cohomology sequence derived from the functor D_{R_+} to the e -th arithmetic Frobenius sequence (2.5) A) (i) and observe the natural isomorphism $\mathcal{R}^1 D_{R_+}(R) \cong H_{R_+}^2(R)$ of (3.1) A) and the above natural isomorphisms (3.1) B) (i) and (ii), we get the following exact sequence of graded R -modules

(iii)
$$0 \longrightarrow D_{R_+}(R) \longrightarrow D_{R_+}(R)^{[e]} \longrightarrow D_{R_+}(C_{[e]}) \xrightarrow{\delta_e} H_{R_+}^2(R) \longrightarrow H_{R_+}^2(R)^{[e]}.$$

So, for each $n \in \mathbb{Z}$, (2.4) B) gives rise to an exact sequence of R_0 -modules

$$\begin{aligned}
 \text{(iv)} \quad 0 &\longrightarrow D_{R_+}(R)_n \longrightarrow (D_{R_+}(R)_{np^e})|_{F_{e,0}} \longrightarrow D_{R_+}(C_{[e]})_n \\
 &\xrightarrow{\delta_{e,n}} H_{R_+}^2(R)_n \longrightarrow (H_{R_+}^2(R)_{np^e})|_{F_{e,0}}.
 \end{aligned}$$

LEMMA 3.2. *Assume that $Y := \text{Proj}(R)$ is normal and that $\text{height}(R_+) > 2$. Let $e \in \mathbb{N}$ and let L denote the field of rational functions $\kappa(Y)$ on Y . Then, the graded R -module $D_{R_+}(C_{[e]})$ is finitely generated and torsion-free of rank $[L : L^p]^e - 1$. Moreover, the R -modules $H_{R_+}^i(R)$ are finitely generated for $i = 1, 2$.*

Proof. As Y is normal, the sheaf $\tilde{R} = \mathcal{O}_Y$ satisfies the second Serre condition S_2 , so that $\text{depth}(R_{\mathfrak{q}}) \geq \min\{2, \text{height}(\mathfrak{q})\}$ for each prime $\mathfrak{q} \in \text{Proj}(R)$. As R is essentially of finite type over a field, it is catenarian. As moreover R is a domain and as $\text{height}(R_+) > 2$ it follows easily that $\text{depth}(R_{\mathfrak{q}}) + \text{height}((\mathfrak{q} + R_+)/\mathfrak{q}) \geq 3$ for all $\mathfrak{q} \in \text{Proj}(R)$. So, by (the graded version of) Grothendiecks Finiteness Theorem for local cohomology (s. [B-S, 13.1.7]), the R -modules $H_{R_+}^i(R)$ are finitely generated for all $i \leq 2$. But obviously, now the four term exact sequence of (3.1) A) applied to $M = R$ tells us that $D_{R_+}(R)$ is finitely generated. So, by the observations made in (2.4) A), the R -module $D_{R_+}(R)^{[e]}$ is finitely generated. By the exact sequence (3.1) C) (iii) the R -module $D_{R_+}(C_{[e]})$ is finitely generated.

Observe that in view of the exact sequence (3.1) A), the exactness of the functor $\tilde{}$ and the fact that R_+ -torsion modules induce the zero sheaf, we may write $D_{R_+}(C_{[e]})^{\sim} \cong (C_{[e]})^{\sim}$.

Now, by (2.8) the sheaf of \mathcal{O}_Y -modules $D_{R_+}(C_{[e]})^{\sim} \cong (C_{[e]})^{\sim} = \mathcal{K}_{[e]}$ is torsion free, so that $\text{Ass}_R(D_{R_+}(C_{[e]})) \subseteq \{0\} \cup \text{Var}(R_+)$. As $D_{R_+}(C_{[e]})$ has no R_+ -torsion (s. [B-S, 2.2.8]) we thus see that $D_{R_+}(C_{[e]})$ is torsion-free. Finally, by (2.6) we get that $\text{rank}_{R_+}(D_{R_+}(C^{[e]})) = \text{rank}_{\mathcal{O}_{Y,0}}((\mathcal{K}_{[e]})_0) = [L : L^p]^e - 1$. □

LEMMA 3.3. *Assume that $Y := \text{Proj}(R)$ is normal and that $\text{height}(R_+) > 2$. Then:*

- a) *There is some $e_0 \in \mathbb{N}$ such that the homomorphism $\delta_{e,n} : D_{R_+}(C_{[e]})_n \rightarrow H_{R_+}^2(R)_n$ in the sequence (3.1) C) (iv) is an isomorphism for all $e \geq e_0$ and all $n < 0$.*

b) The R_0 -modules $H^2_{R_+}(R)_n$ are torsion-free for all $n < 0$.

Proof. By (3.2) and (3.1) A) we know that $H^2_{R_+}(R)$ and $D_{R_+}(R)$ are finitely generated R -modules. So, there is a $t \in \mathbb{N}$ such that $H^2_{R_+}(R)_m = D_{R_+}(R)_m = 0$ for all $m \leq -t$. Let $e_0 \in \mathbb{N}$ be such that $p^{e_0} \geq t$ and let $e \geq e_0$. Then the homomorphism $\delta_{e,n}$ in the exact sequence (3.1) C) (iv) is an isomorphism for each $n < 0$. This proves claim a). Claim b) is immediate from claim a) and the fact that $D_{R_+}(C_{[e]})$ is torsion-free, which was shown in (3.2). □

Now, let L_0 be the quotient field of the domain R_0 , e.g. the field $\kappa(Y_0)$ of rational functions on the affine scheme $Y_0 := \text{Spec}(R_0)$. Let M be a finitely generated and graded R -module. As $H^i_{R_+}(M)_n$ is a finitely generated R_0 -module for all $n \in \mathbb{Z}$ and all $i \in \mathbb{N}_0$, it makes sense to introduce the numbers

$$(3.4) \quad h^i_{R_+}(M)_n := \dim_{L_0}(L_0 \otimes_{R_0} H^i_{R_+}(M)_n)$$

for all such n and i .

Remark 3.5. A) Let R'_0 be a flat and noetherian R_0 -algebra. Then $R'_0 \otimes_{R_0} R$ carries a natural structure of positively graded ring, by a grading which is given by $(R'_0 \otimes_{R_0} R)_n = R'_0 \otimes_{R_0} R_n$ for all $n \in \mathbb{Z}$. As R is of finite type over R_0 , the ring $R'_0 \otimes_{R_0} R$ is of finite type over R'_0 and hence is noetherian. Moreover, if $M = \bigoplus_{n \in \mathbb{Z}} M_n$ is a graded R -module, the $R'_0 \otimes_{R_0} R$ -module $(R'_0 \otimes_{R_0} R) \otimes_R M = R'_0 \otimes_{R_0} M$ carries a natural grading, given by $(R'_0 \otimes_{R_0} M)_n = R'_0 \otimes_{R_0} M_n$ for all $n \in \mathbb{Z}$.

B) Keep the hypotheses and notation of A). Then, the graded version of the flat base change property for local cohomology induces natural isomorphisms of R'_0 -modules $(R'_0 \otimes_{R_0} H^i_{R_+}(M))_n = R'_0 \otimes_{R_0} H^i_{R_+}(M)_n \cong H^i_{(R'_0 \otimes_{R_0} R)_+}(R'_0 \otimes_{R_0} M)_n$ for all $i \in \mathbb{N}_0$ and all $n \in \mathbb{Z}$ (s. [B-S, 14.2.6]). If we apply this in the case where $R'_0 = L'_0$ is an arbitrary extension field of L_0 , we thus get

$$\begin{aligned} h^i_{R_+}(M)_n &= \dim_{L'_0}(L'_0 \otimes_{R_0} H^i_{R_+}(M)_n) \\ &= \dim_{L'_0}(H^i_{(L'_0 \otimes_{R_0} R)_+}(L'_0 \otimes_{R_0} M)_n) \\ &= h^i_{(L'_0 \otimes_{R_0} R)_+}(L'_0 \otimes_{R_0} M)_n \end{aligned}$$

for each finitely generated and graded R -module M and for all $i \in \mathbb{N}_0$ and all $n \in \mathbb{Z}$.

Now, we shall attack the principal goal of this section: to give upper bounds on the numbers $h_{R_+}^2(R)_n$ for $n < 0$. We start with the following auxiliary result:

LEMMA 3.6. *Assume that $Y := \text{Proj}(R)$ is normal and that $\text{height}(R_+) > 2$. Let $t \in \mathbb{N}$ and let $f \in R_t \setminus \{0\}$. Then*

a) *The multiplication homomorphism*

$$f : H_{R_+}^2(R)_n \longrightarrow H_{R_+}^2(R)_{n+t}$$

is injective for all $n < -t$.

b) *If in addition R_0 is a perfect field, the multiplication homomorphism*

$$f : H_{R_+}^2(R)_{-t} \longrightarrow H_{R_+}^2(R)_0$$

is injective, too.

Proof. Let $n \in \mathbb{Z}$ with $n \leq -t$. For each $e \in \mathbb{N}$ we have the following commutative diagram, in which the vertical maps are the connecting homomorphism in the sequences (3.1) C) (iv).

$$\begin{array}{ccc} D_{R_+}(C_{[e]})_n & \xrightarrow{f} & D_{R_+}(C_{[e]})_{n+t} \\ \downarrow \delta_{e,n} & & \downarrow \delta_{e,n+t} \\ H_{R_+}^2(R)_n & \xrightarrow{f} & H_{R_+}^2(R)_{n+t} \end{array}$$

By (3.2) we know that $D_{R_+}(C_{[e]})$ is a torsion free R -module, so that the upper horizontal map is injective. By (3.3) a) we may choose $e \in \mathbb{N}$ such that $\delta_{e,m}$ is an isomorphism for all $m < 0$. This proves statement a).

Assume now that R_0 is a perfect field. Then, the Frobenius homomorphism $F_{e,0} : R_0 \rightarrow R_0$ is an isomorphism so that $D_{R_+}(R)_0$ and $(D_{R_+}(R)_0) \downarrow_{F_{e,0}}$ are R_0 -vector spaces of the same dimension (which is finite, as $D_{R_+}(R)$ is a finitely generated R -module by (3.2) and (3.1) A)). But now, the sequence (3.1) C) (iv), applied with $n = 0$, shows that the map $\delta_{e,0}$ is injective, and this proves statement b). □

LEMMA 3.7. *Let V and W be non-zero vector spaces of finite dimension over an algebraically closed field K . Let $r \in \mathbb{N}$ and let $l_1, \dots, l_r : V \rightarrow W$ be K -linear maps.*

a) If $\sum_{i=1}^r \alpha_i l_i : V \rightarrow W$ is injective for all $(\alpha_1, \dots, \alpha_r) \in K^r \setminus \{(0)\}$, then

$$\dim_K(W) \geq \dim_K(V) + r - 1.$$

b) If $\sum_{i=1}^r \alpha_i l_i : V \rightarrow W$ is surjective for all $(\alpha_1, \dots, \alpha_r) \in K^r \setminus \{(0)\}$, then

$$\dim_K(V) \geq \dim_K(W) + r - 1.$$

Proof. [B₁, (3.1), (3.2)]. □

Now, we are ready to prove the main result of this section.

THEOREM 3.8. *Assume that the generic fibre of the natural morphism*

$$\pi : Y = \text{Proj}(R) \longrightarrow Y_0 = \text{Spec}(R_0)$$

is geometrically connected, geometrically normal and of dimension > 1 . For each $t \in \mathbb{N}$, let $r_t := \text{rank}_{R_0}(R_t)$. Then:

a) *For each $t \in \mathbb{N}$ with $r_t > 0$ and for each $n \in \mathbb{Z}$ with $n \leq -t$, we have*

$$h_{R_+}^2(R)_n \leq \max\{0, h_{R_+}^2(R)_{n+t} - r_t + 1\}.$$

b) *If Y is in addition normal, then $H_{R_+}^2(R)_n$ is a torsion-free R_0 -module of rank $h_{R_+}^2(R)_n$ for all $n < 0$. Moreover, if $r_1 > 1$, then $H_{R_+}^2(R)_n = 0$ as soon as $n \leq \min \left\{ -1, -\frac{h_{R_+}^2(R)_0}{r_1 - 1} \right\}$.*

Proof. a): Fix some $t \in \mathbb{N}$ with $r_t > 0$ and some $n \in \mathbb{Z}$ with $n \leq -t$. Let L'_0 be an algebraic closure of the quotient field L_0 of R_0 . Then, the graded ring $R' := L'_0 \otimes_{R_0} R$ is a flat and integral extension of the graded ring $L_0 \otimes_{R_0} R =: R''$. Therefore $\text{height}(R'_+) = \text{height}(R''_+) = \dim(Z) + 1$ where $Z := \text{Proj}(R'')$ is the generic fibre of the morphism $\pi : Y \rightarrow Y_0$. So $\text{height}(R'_+) > 2$. As $Z \rightarrow \text{Spec}(L_0)$ is geometrically connected and geometrically normal, we know that $Y' := \text{Proj}(R') \cong \text{Spec}(L'_0) \times_{\text{Spec}(L_0)} Z$ is a connected and normal scheme over $Y'_0 := \text{Spec}(L'_0)$. In particular Y' is integral. As R' is flat and hence torsion-free over R , this shows that R' is an integral domain.

Keep in mind that $R'_t \cong L'_0 \otimes_{L_0} (L_0 \otimes_{R_0} R_t)$ is a vector-space of dimension r_t over L'_0 .

Now, choose a basis f'_1, \dots, f'_{r_t} of R'_t and keep in mind that $R'_0 = L'_0$ is an algebraically closed and hence perfect field and that Y' is normal. So, by (3.6) the multiplication map $\sum_{i=1}^{r_t} \alpha_i f'_i : H^2_{R'_+}(R')_n \rightarrow H^2_{R'_+}(R')_{n+t}$ is injective whenever $(\alpha_1, \dots, \alpha_{r_t}) \in L'_0 \setminus \{(\underline{0})\}$. So, (3.7) a) gives $h^2_{R'_+}(R')_n \leq \max\{0, h^2_{R'_+}(R')_{n+t} - r_t + 1\}$. In view of the equations given in (3.5) B) this proves our claim.

b): Let Y in addition be normal. Then (3.3) b) shows that $H^2_{R_+}(R)_n$ is torsion-free over R_0 for all $n < 0$. This allows to conclude by statement a), applied repeatedly with $t = 1$. □

Remark 3.9. If in (3.8) b) R_0 is a perfect field, (3.6) b) allows to replace

$$\min\left\{-1, -\frac{h^2_{R_+}(R)_0}{r_1 - 1}\right\} \quad \text{by} \quad -\frac{h^2_{R_+}(R)_0}{r_1 - 1}.$$

§4. Ample invertible sheaves

Let X_0 be an affine integral scheme which is essentially of finite type over a perfect field K of positive characteristic p . Moreover let X be an integral and projective scheme over X_0 with surjective structure morphism $\rho : X \rightarrow X_0$. Finally, let \mathcal{L} be an ample invertible sheaf of \mathcal{O}_X -modules.

NOTATION AND REMARK 4.1. A) We use \mathcal{L}^* to denote the tensor algebra $\bigoplus_{n \geq 0} \mathcal{L}^{\otimes n}$ so that \mathcal{L}^* is a sheaf of positively graded integral \mathcal{O}_X -algebras. Moreover we shall consider the positively graded ring $\Gamma(\mathcal{L}^*) := \Gamma(X, \mathcal{L}^*) = \bigoplus_{n \geq 0} \Gamma(X, \mathcal{L}^{\otimes n})$ and the induced projective scheme $Y(\mathcal{L}) := \text{Proj}(\Gamma(\mathcal{L}^*))$. As \mathcal{L}^* is a sheaf of integral domains, $\Gamma(\mathcal{L}^*)$ is a domain and $Y(\mathcal{L})$ is an integral projective scheme over $\text{Spec}(\Gamma(X, \mathcal{O}_X)) =: Y_0$. Finally, if \mathcal{F} is a sheaf of \mathcal{O}_X -modules, we denote by $\Gamma(\mathcal{F}, \mathcal{L}^*)$ the graded $\Gamma(\mathcal{L}^*)$ -module

$$\bigoplus_{n \geq 0} \Gamma(X, \mathcal{F} \otimes_{\mathcal{O}_X} \mathcal{L}^{\otimes n}).$$

B) By [H₂, II, Thm. 7.6] there is some $r \in \mathbb{N}$ such that $\mathcal{L}^{\otimes r}$ is very ample with respect to the to the structure morphism ρ . But this means that the r -th Veronesean subring $\Gamma(\mathcal{L}^*)^{(r)} = \Gamma((\mathcal{L}^{\otimes r})^*) = \bigoplus_{n \geq 0} \Gamma(X, \mathcal{L}^{\otimes rn})$ is noetherian and that for each coherent sheaf of \mathcal{O}_X -modules \mathcal{F} the r -th Veronesean transform $\Gamma(\mathcal{F}, \mathcal{L}^*)^{(r)} = \Gamma(\mathcal{F}, (\mathcal{L}^{\otimes r})^*) = \bigoplus_{n \geq 0} \Gamma(X, \mathcal{F} \otimes_{\mathcal{O}_X} \mathcal{L}^{\otimes rn})$ is finitely generated over $\Gamma(\mathcal{L}^*)^{(r)}$ [G, Cor. (2.3.2)]. If we apply this to the

coherent sheaves $\mathcal{L}^{\otimes i} \otimes \mathcal{F}$ we then get that the $\Gamma(\mathcal{L}^*)^{(r)}$ -module $\Gamma(\mathcal{F}, \mathcal{L}^*) = \bigoplus_{i=0}^{r-1} \Gamma(\mathcal{L}^{\otimes i} \otimes \mathcal{F}, (\mathcal{L}^{\otimes r})^*) = \bigoplus_{i=0}^{r-1} \Gamma(\mathcal{L}^{\otimes i} \otimes \mathcal{F}, \mathcal{L}^*)^{(r)}$ is finitely generated. If we apply this with $\mathcal{F} = \mathcal{O}_X$, we see that $\Gamma(\mathcal{L}^*)$ is a finite integral extension of $\Gamma(\mathcal{L}^*)^{(r)}$. In particular we now see that $\Gamma(\mathcal{L}^*)$ is noetherian and that $\Gamma(\mathcal{F}, \mathcal{L}^*)$ is a finitely generated $\Gamma(\mathcal{L}^*)$ -module for each coherent sheaf of \mathcal{O}_X -modules \mathcal{F} .

Remark 4.2. (cf. [G]) Keep the previous hypotheses and notation. Then, there is a natural isomorphism of schemes.

$$\alpha_{\mathcal{L}} := (\alpha_{\mathcal{L}}, \alpha_{\mathcal{L}}^{\#}) : (X, \mathcal{O}_X) \longrightarrow (Y(\mathcal{L}), \mathcal{O}_{Y(\mathcal{L})}).$$

Now, let $k \in \mathbb{Z}$ and let \mathcal{F} be a quasi-coherent sheaf of \mathcal{O}_X -modules. Then we have a natural isomorphism of sheaves of $\mathcal{O}_{Y(\mathcal{L})}$ -modules

$$\eta_{\mathcal{F}, \mathcal{L}}^{(k)} = \eta^{(k)} : (\Gamma(\mathcal{F}, \mathcal{L}^*)^{(k)})^{\sim} \xrightarrow{\cong} (\alpha_{\mathcal{L}})_*(\mathcal{F} \otimes_{\mathcal{O}_X} \mathcal{L}^{\otimes k}).$$

in which $\cdot^{(k)}$ is used to denote the k -th shift functor on graded $\Gamma(\mathcal{L}^*)$ -modules.

Remark 4.3. Keep the previous notation and hypothesis. Let \mathcal{F} be a quasi-coherent sheaf of \mathcal{O}_X -modules and let $k \in \mathbb{Z}$ and $i \in \mathbb{N}$. Then, there is a natural isomorphism of $\Gamma(X, \mathcal{O}_X)$ -modules

$$H^i(X, \mathcal{F} \otimes \mathcal{L}^{\otimes k}) \cong H_{\Gamma(\mathcal{L}^*)_+}^{i+1}(\Gamma(\mathcal{F}, \mathcal{L}^*))_k,$$

induced by the isomorphism $\eta^{(k)}$ of (4.2) and the Serre-Grothendieck correspondence (s. [B-S, 20.4.4]).

For $i \in \mathbb{N}_0$ and for an arbitrary coherent sheaf \mathcal{G} of \mathcal{O}_X -modules, we use the notation

$$(4.4) \quad h^i(X, \mathcal{G}) := \dim_{\kappa(Y_0)}(\kappa(Y_0) \otimes_{\Gamma(X, \mathcal{O}_X)} H^i(X, \mathcal{G})),$$

where $\kappa(Y_0)$ is the field of rational functions on the scheme $Y_0 := \text{Spec}(\Gamma(X, \mathcal{O}_X))$, (s. (4.1) A).

Now, we are ready to prove the main result of this section. We assume that X , X_0 and $\varrho : X \rightarrow X_0$ are as introduced at the beginning of this section.

THEOREM 4.5. *Assume that the generic fibre of the structural morphism $\varrho : X \rightarrow X_0$ is geometrically connected, geometrically normal and of dimension > 1 . Let \mathcal{L} be an ample invertible sheaf of \mathcal{O}_X -modules. Then:*

- a) *For each $t \in \mathbb{N}$ with $h^0(X, \mathcal{L}^{\otimes t}) > 0$ and for each $n \in \mathbb{Z}$ with $n \leq -t$, we have*

$$h^1(X, \mathcal{L}^{\otimes n}) \leq \max\{0, h^1(X, \mathcal{L}^{\otimes(n+t)}) - h^0(X, \mathcal{L}^{\otimes t}) + 1\}.$$

- b) *If X is in addition normal, then $H^1(X, \mathcal{L}^{\otimes n})$ is a torsion-free $\Gamma(X, \mathcal{O}_X)$ -module of rank $h^1(X, \mathcal{L}^{\otimes n})$ for all $n < 0$. If $h^0(X, \mathcal{L}) > 1$, then $H^1(X, \mathcal{L}^{\otimes n})$ vanishes as soon as $n \leq \min\{-1, -\frac{h^1(X, \mathcal{O}_X)}{h^0(X, \mathcal{L}) - 1}\}$.*

Proof. By our hypothesis, $\Gamma(X, \mathcal{O}_X)$ is a finite integral extension domain of $\Gamma(X_0, \mathcal{O}_{X_0})$. So, in view of (4.2) and using the notation of (4.1) A), we get the following commutative diagram of schemes

$$\begin{array}{ccc} X & \xrightarrow{\varrho} & X_0 \\ \alpha_{\mathcal{L}} \downarrow \cong & & \uparrow \nu \\ Y(\mathcal{L}) = \text{Proj}(\Gamma(\mathcal{L}^*)) & \xrightarrow{\pi} & \text{Spec}(\Gamma(\mathcal{L}^*)_0) = Y_0 \end{array}$$

in which the morphism ν is finite.

As $\Gamma(\mathcal{L}^*)_0 = \Gamma(X, \mathcal{O}_X)$ is an integral extension domain of $\Gamma(X_0, \mathcal{O}_{X_0})$, we have

$$\kappa(Y_0) = \kappa(X_0) \otimes_{\Gamma(X_0, \mathcal{O}_{X_0})} \Gamma(\mathcal{L}^*)_0,$$

where $\kappa(X_0)$ denotes the field of rational functions on X_0 . So the generic fibre

$$F_{\pi} := \text{Spec}(\kappa(Y_0)) \times_{Y_0} Y = \text{Proj}(\kappa(Y_0) \otimes_{\Gamma(\mathcal{L}^*)_0} \Gamma(\mathcal{L}^*))$$

of π may be written as

$$\begin{aligned} \text{Proj}(\kappa(X_0) \otimes_{\Gamma(X_0, \mathcal{O}_{X_0})} \Gamma(\mathcal{L}^*)) &\cong \text{Spec}(\kappa(X_0)) \times_{X_0} Y(\mathcal{L}) \\ &\cong \text{Spec}(\kappa(X_0)) \times_{X_0} X =: F_{\varrho} \end{aligned}$$

and thus is X_0 -isomorphic to the generic fibre F_{ϱ} of ϱ . This induces, that the generic fibre F_{π} of π is of dimension > 1 . Now, let L' be an arbitrary

algebraic extension field of $\kappa(Y_0)$. Then L' is an algebraic extension field of $\kappa(X_0)$ and therefore by our hypothesis on F_ρ we see that

$$\text{Spec}(L') \times_{\text{Spec}(\kappa(X_0))} F_\pi \cong \text{Spec}(L') \times_{\text{Spec}(\kappa(X_0))} F_\rho$$

is a normal and integral scheme. Moreover, the natural morphism

$$\text{Spec}(L') \times_{\text{Spec}(\kappa(Y_0))} F_\pi \longrightarrow \text{Spec}(L') \times_{\text{Spec}(\kappa(X_0))} F_\pi$$

is a closed immersion between two schemes of the same dimension. Hence it is an isomorphism. So $\text{Spec}(L') \times_{\text{Spec}(\kappa(Y_0))} F_\pi$ is a normal and integral scheme. This shows that the generic fibre of π is geometrically connected and geometrically normal.

Next observe that $\Gamma(\mathcal{L}^*)_t = H^0(X, \mathcal{L}^{\otimes t})$ is a torsion-free $\Gamma(\mathcal{L}^*)_0$ -module of rank $h^0(X, \mathcal{L}^{\otimes t})$ for all $t \in \mathbb{N}$. Finally (4.3) gives us isomorphisms of $\Gamma(\mathcal{L}^*)_0$ -modules $H^1(X, \mathcal{L}^{\otimes n}) \cong H^2_{\Gamma(\mathcal{L}^*)_+}(\Gamma(\mathcal{L}^*))_n$ and hence $h^1(X, \mathcal{L}^{\otimes n}) = h^2_{\Gamma(\mathcal{L}^*)_+}(\Gamma(\mathcal{L}^*))_n$ for all $n \in \mathbb{Z}$.

Therefore we get our statements if we apply (3.8) with $R = \Gamma(\mathcal{L}^*)$. \square

COROLLARY 4.6. *Let X be a geometrically connected and geometrically normal projective scheme of dimension > 1 over a perfect field K of positive characteristic p . Let \mathcal{L} be an ample invertible sheaf of \mathcal{O}_X -modules. Then:*

- a) *For each $t \in \mathbb{N}$ with $h^0(X, \mathcal{L}^{\otimes t}) > 0$ and for each $n \in \mathbb{N}$ with $n \leq -t$ we have*

$$h^1(X, \mathcal{L}^{\otimes n}) \leq \max\{0, h^1(X, \mathcal{L}^{\otimes(n+t)}) - h^0(X, \mathcal{L}^{\otimes t}) + 1\}.$$

- b) *If $h^0(X, \mathcal{L}) > 1$, then $H^1(X, \mathcal{L}^{\otimes n}) = 0$ for all integers*

$$n \leq -\frac{h^1(X, \mathcal{O}_X)}{h^0(X, \mathcal{L}) - 1}.$$

Proof. Clear from (4.5) and (3.9). \square

COROLLARY 4.7. (s. [A, (5.6), (5.8)]) *Let X be a normal projective variety of dimension > 1 over an algebraically closed field K of positive characteristic p . Let \mathcal{L} be an ample invertible sheaf of \mathcal{O}_X -modules. Then:*

- a) *For each $t \in \mathbb{N}$ with $h^0(X, \mathcal{L}^{\otimes t}) > 0$ and for each $n \in \mathbb{Z}$ with $n \leq -t$ we have*

$$h^1(X, \mathcal{L}^{\otimes n}) \leq \max\{0, h^1(X, \mathcal{L}^{\otimes(n+t)}) - h^0(X, \mathcal{L}^{\otimes t}) + 1\}.$$

b) If $h^0(X, \mathcal{L}) > 1$, then $H^1(X, \mathcal{L}^{\otimes n}) = 0$ for all integers

$$n \leq -\frac{h^1(X, \mathcal{O}_X)}{h^0(X, \mathcal{L}) - 1}.$$

PROPOSITION 4.8. *Let X be as in (4.6) and let D be an effective ample Cartier divisor on X . Then, the restriction homomorphism $\Gamma(X, \mathcal{O}_X) \rightarrow \Gamma(X, \mathcal{O}_D)$ is an isomorphism.*

Proof. Let $\mathcal{L} := \mathcal{L}(D)$ be the invertible sheaf associated to D . Then, \mathcal{L} is ample and as D is effective, we have a short exact sequence of coherent sheaves of \mathcal{O}_X -modules $0 \rightarrow \mathcal{L}^{\otimes -1} \xrightarrow{\varphi} \mathcal{O}_X \rightarrow \mathcal{O}_D \rightarrow 0$. If we apply cohomology we thus see, that it is sufficient to prove that the induced homomorphism $H^1(X, \varphi) : H^1(X, \mathcal{L}^{\otimes -1}) \xrightarrow{\bar{\varphi}} H^1(X, \mathcal{O}_X)$ is injective.

To do so, consider the induced monomorphism

$$0 \longrightarrow \Gamma(X, \mathcal{O}_X) \xrightarrow{\Gamma(X, \varphi \otimes \mathcal{L})} \Gamma(X, \mathcal{L}).$$

Then, $f := \Gamma(X, \varphi \otimes \mathcal{L})(1) \in \Gamma(X, \mathcal{L}) = \Gamma(\mathcal{L}^*)_1$, $f \neq 0$ and $\bar{\varphi}$ corresponds to the multiplication map $f : H^2_{\Gamma(\mathcal{L}^*)_+}(\Gamma/(\mathcal{L}^*))_{-1} \rightarrow H^2_{\Gamma(\mathcal{L}^*)_+}(\Gamma(\mathcal{L}^*))_0$ under the natural isomorphisms of (4.3). Now, we may conclude by (3.6) b), applied with $R = \Gamma(\mathcal{L}^*)$, $Y = Y(\mathcal{L})$ and $t = 1$. □

COROLLARY 4.9. (s. [Mu, Prop. 3], [A, (5.17)]) *Let X be a normal projective variety of dimension > 1 over an algebraically closed field K of positive characteristic p . Let D be an effective ample Cartier divisor on X . Then $\Gamma(X, \mathcal{O}_D) = K$.*

§5. Applications to projective varieties

In this section, we apply the previous results to ample invertible sheaves over projective varieties of dimension > 1 over an algebraically closed field K of positive characteristic. Our main interest is focused to the case of surfaces.

For a reduced and irreducible variety X of dimension > 1 over an algebraically closed field K we introduce the invariant.

$$(5.1) \quad e^1(X) := \sum_{p \in X, p \text{ closed}} \text{length}_{\mathcal{O}_{X,p}}(H^1_{\mathfrak{m}_{X,p}}(\mathcal{O}_{X,p})),$$

which is finite and which counts in a “weighted way” the number of (closed) points $p \in X$ in which X has depth ≤ 1 (s. [B, (5.7)]).

Throughout this section, let K be an algebraically closed field of positive characteristic p .

PROPOSITION 5.2. *Let X be a projective variety of dimension > 1 over K . Assume that X has only finitely many non-normal points. Let \mathcal{L} be an ample invertible sheaf of \mathcal{O}_X -modules such that $h^0(X, \mathcal{L}) \geq 1$. Then*

- a) $e^1(X) \leq h^1(X, \mathcal{L}^{\otimes n}) \leq \max\{e^1(X), h^1(X, \mathcal{L}^{\otimes(n+1)}) - h^0(X, \mathcal{L}) + 1\}$ for all negative integers n .
- b) $e^1(X) \leq h^1(X, \mathcal{L}^{\otimes n}) \leq \max\{e^1(X), h^1(X, \mathcal{O}_X) + n(h^0(X, \mathcal{L}) - 1)\}$ for all $n \leq 0$.

Proof. Let $\nu : \tilde{X} \rightarrow X$ be the normalization of X and let $Z \subseteq X$ be the finite set of non-normal points of X . Then, we have an exact sequence of coherent sheaves of \mathcal{O}_X -modules $0 \rightarrow \mathcal{O}_X \xrightarrow{\nu^\#} \nu_*\mathcal{O}_{\tilde{X}} \rightarrow \mathcal{F} \rightarrow 0$ with $\text{supp}(\mathcal{F}) = Z$.

Now, let $p \in X$ be an arbitrary closed point. As \tilde{X} is normal, the direct image $\nu_*\mathcal{O}_{\tilde{X}}$ has the second Serre property S_2 , so that $H_{\mathfrak{m}_{X,p}}^1((\nu_*\mathcal{O}_{\tilde{X}})_p) = 0$. As $\dim(Z) = 0$ we moreover have $\mathcal{F}_p \cong H_{\mathfrak{m}_{X,p}}^0(\mathcal{F}_p)$. So, passing to stalks in the above exact sequence and applying local cohomology at all closed points $p \in X$ we see that $\text{length}_{\mathcal{O}_{X,p}}(\mathcal{F}) = e^1(X)$. As \mathcal{L} is invertible we thus obtain $\text{length}_{\mathcal{O}_{X,p}}(\mathcal{F} \otimes_{\mathcal{O}_X} \mathcal{L}^{\otimes n}) = e^1(X)$ and hence $h^0(X, \mathcal{F} \otimes_{\mathcal{O}_X} \mathcal{L}^{\otimes n}) = e^1(X)$ and moreover $H^1(X, \mathcal{F} \otimes_{\mathcal{O}_X} \mathcal{L}^{\otimes n}) = 0$ for all $n \in \mathbb{Z}$.

Moreover, for each $n \in \mathbb{Z}$ we get an exact sequence

$$\begin{aligned}
 (*) \quad 0 &\longrightarrow H^0(X, \mathcal{L}^{\otimes n}) \longrightarrow H^0(X, \nu_*\mathcal{O}_{\tilde{X}} \otimes_{\mathcal{O}_X} \mathcal{L}^{\otimes n}) \longrightarrow H^0(X, \mathcal{F} \otimes_{\mathcal{O}_X} \mathcal{L}^{\otimes n}) \\
 &\longrightarrow H^1(X, \mathcal{L}^{\otimes n}) \longrightarrow H^1(X, \nu_*\mathcal{O}_{\tilde{X}} \otimes_{\mathcal{O}_X} \mathcal{L}^{\otimes n}) \longrightarrow 0.
 \end{aligned}$$

By use of the projection formula [H₂, II Ex. 5.1 (d)], we have

$$\nu_*\mathcal{O}_{\tilde{X}} \otimes_{\mathcal{O}_X} \mathcal{L}^{\otimes n} \cong \nu_*(\mathcal{O}_{\tilde{X}} \otimes_{\mathcal{O}_{\tilde{X}}} \nu^*(\mathcal{L}^{\otimes n})) \cong \nu_*\nu^*(\mathcal{L}^{\otimes n}) \cong \nu_*((\nu^*\mathcal{L})^{\otimes n}).$$

As ν is an affine morphism we thus get isomorphisms $H^i(X, \nu_*\mathcal{O}_{\tilde{X}} \otimes_{\mathcal{O}_X} \mathcal{L}^{\otimes n}) \cong H^i(\tilde{X}, (\nu^*\mathcal{L})^{\otimes n})$ for all $i \in \mathbb{N}_0$ and all $n \in \mathbb{Z}$, (s. [H₂, III Ex. 4.1]). As ν is finite and surjective, $\nu^*\mathcal{L}$ is an ample invertible sheaf of $\mathcal{O}_{\tilde{X}}$ -modules (s. [H₂, III Ex. 5.7 (d)]).

So, first of all $H^0(X, \nu_*\mathcal{O}_{\tilde{X}} \otimes_{\mathcal{O}_X} \mathcal{L}^{\otimes n})$ vanishes for $n < 0$ and equals K for $n = 0$. But now, the sequences (*) show that $h^1(X, \mathcal{L}^{\otimes n}) = e^1(X) + h^1(\tilde{X}, (\nu^*\mathcal{L})^{\otimes n})$ for all $n \leq 0$.

Moreover, if we apply the sequence (*) with $n = 1$ we see that $h^0(\tilde{X}, \nu^*\mathcal{L}) \geq h^0(X, \mathcal{L})$. Therefore we get our claims if we apply (4.7) a) to the normal projective variety \tilde{X} and the ample invertible sheaf $\nu^*\mathcal{L}$ with $t = 1$. □

For a coherent sheaf \mathcal{F} over a projective variety X let $\chi(\mathcal{F})$ denote the characteristic of \mathcal{F} so that $\chi(\mathcal{F}) = \sum_{i \geq 0} (-1)^i h^i(X, \mathcal{F})$.

DEFINITION AND REMARK 5.3. A) Let X be a projective surface over K and let \mathcal{L} be an ample invertible sheaf of \mathcal{O}_X -modules. We define the *sectional genus of X with respect to \mathcal{L}* by

$$\sigma_{\mathcal{L}}(X) := \chi(\mathcal{L}^{\otimes -1}) - \chi(\mathcal{O}_X) + 1.$$

As X is a surface, $\sigma_{\mathcal{L}}(X)$ coincides indeed with the sectional genus of the pair (X, \mathcal{L}) as introduced by Fujita in [F, pg. 25].

B) Let $f \in \Gamma(X, \mathcal{L}) \setminus \{0\}$. Then, there is an effective divisor D_f on X with $\mathcal{L} = \mathcal{L}(D_f)$ and we have an exact sequence

$$0 \longrightarrow \mathcal{L}^{\otimes -1} \xrightarrow{f} \mathcal{O}_X \longrightarrow \mathcal{O}_{D_f} \longrightarrow 0$$

which tells us that

$$\sigma_{\mathcal{L}}(X) = -\chi(\mathcal{O}_{D_f}) + 1 = h^1(D_f, \mathcal{O}_{D_f}) - h^0(D_f, \mathcal{O}_{D_f}) + 1.$$

If X is normal, (4.9) gives $h^0(D_f, \mathcal{O}_{D_f}) = h^0(X, \mathcal{O}_{D_f}) = 1$ and so we get $\sigma_{\mathcal{L}}(X) = h^1(D_f, \mathcal{O}_{D_f}) \geq 0$ if $h^0(X, \mathcal{L}) > 0$.

C) Assume now that \mathcal{L} is very ample, so that it occurs as the twisting sheaf of some non-degenerate closed immersion $X \xrightarrow{i} \mathbb{P}_K^r$. If we choose $f \in \Gamma(X, \mathcal{L}) \setminus \{0\}$ generically, then D_f is a generic hyperplane section of X in \mathbb{P}_K^r and thus is reduced and irreducible by Bertini. Therefore $h^0(D_f, \mathcal{O}_{D_f}) = 1$ and it follows again that $\sigma_{\mathcal{L}}(X) = h^1(D_f, \mathcal{O}_{D_f})$, but this time without the assumption that X is normal. In particular $\sigma_{\mathcal{L}}(X)$ coincides with the arithmetic genus of the generic hyperplane section D_f and thus is nothing else than the usual sectional genus of X with respect to the embedding $i : X \hookrightarrow \mathbb{P}_K^r$.

PROPOSITION 5.4. (s. [A, (5.19)]) *Let X be a normal projective surface over K . Let \mathcal{L} be an ample invertible sheaf of \mathcal{O}_X -modules such that $0 \leq \sigma_{\mathcal{L}}(X) < h^0(X, \mathcal{L}) - 1$. Then:*

- a) $H^1(X, \mathcal{L}^{\otimes n}) = 0$ for all $n < 0$.
- b) $H^2(X, \mathcal{L}^{\otimes n}) = 0$ for all $n \geq 0$.
- c) $h^1(X, \mathcal{O}_X) + h^2(X, \mathcal{L}^{\otimes -1}) = \sigma_{\mathcal{L}}(X)$.

Proof. By our hypothesis we have $\Gamma(X, \mathcal{L}) \neq 0$. Choose $f \in \Gamma(X, \mathcal{L}) \setminus \{0\}$ arbitrarily. As – in the notations of (5.3) B) – we have $H^0(X, \mathcal{L}^{\otimes -1}) = H^2(D_f, \mathcal{O}_{D_f}) = 0$, the short exact sequence of (5.3) B) together with (4.9) gives rise to an exact sequence

$$\begin{aligned} 0 \longrightarrow H^1(X, \mathcal{L}^{\otimes -1}) \xrightarrow{f} H^1(X, \mathcal{O}_X) \longrightarrow H^1(D_f, \mathcal{O}_{D_f}) \\ \longrightarrow H^2(X, \mathcal{L}^{\otimes -1}) \xrightarrow{f} H^2(X, \mathcal{O}_X) \longrightarrow 0. \end{aligned}$$

By (5.3) B) we have $h^1(D_f, \mathcal{O}_{D_f}) = \sigma_{\mathcal{L}}(X)$ so that $h^1(X, \mathcal{O}_X) - h^1(X, \mathcal{L}^{\otimes -1})$ and $h^2(X, \mathcal{L}^{\otimes -1}) - h^2(X, \mathcal{O}_X)$ are both $\leq \sigma_{\mathcal{L}}(X) < h^0(X, \mathcal{L}) - 1$. If we make run f through all of $\Gamma(X, \mathcal{L}) \setminus \{0\}$ we now may conclude from (3.7) a) that $H^1(X, \mathcal{L}^{\otimes -1}) = 0$ and from (3.7) b) that $H^2(X, \mathcal{O}_X) = 0$. Now, the above sequence gives statement c). In particular we have $h^1(X, \mathcal{O}_X) \leq \sigma_{\mathcal{L}}(X) < h^0(X, \mathcal{L}) - 1$ and so, statement a) follows from (4.7) b). Finally, statement b) is a consequence of the epimorphisms $H^2(X, \mathcal{L}^{\otimes n}) \xrightarrow{f} H^2(X, \mathcal{L}^{\otimes (n+1)}) \rightarrow 0$ for all $n \in \mathbb{Z}$ and all $f \in \Gamma(X, \mathcal{O}_X) \setminus \{0\}$. □

COROLLARY 5.5. *Let X be a projective surface over K which has only finitely many non-normal points and let $e^1(X)$ be as in (5.1). Assume that $0 \leq \sigma_{\mathcal{L}}(X) < h^0(X, \mathcal{L}) - 1$. Then:*

- a) $h^1(X, \mathcal{L}^{\otimes n}) = e^1(X)$ for all $n < 0$.
- b) $h^2(X, \mathcal{L}^{\otimes n}) = 0$ for all $n \geq 0$.
- c) $h^1(X, \mathcal{O}_X) + h^2(X, \mathcal{L}^{\otimes -1}) = \sigma_{\mathcal{L}}(X) + e^1(X)$.

Proof. Let $\nu : \tilde{X} \rightarrow X$ be the normalization of X and let $Z \subseteq X$ be the finite set of non-normal points of X and consider the short exact sequence $0 \rightarrow \mathcal{O}_X \xrightarrow{\nu^\#} \mathcal{O}_{\tilde{X}} \rightarrow \mathcal{F} \rightarrow 0$ in which \mathcal{F} is a coherent sheaf with support Z and of length $e^1(X)$ as we have seen in the proof of (5.2). We know already from that same proof that $\nu^*\mathcal{L}$ is an ample invertible sheaf of $\mathcal{O}_{\tilde{X}}$ -modules and that $h^i(X, \nu_*\mathcal{O}_{\tilde{X}} \otimes_{\mathcal{O}_X} \mathcal{L}^{\otimes n}) = h^i(\tilde{X}, (\nu^*\mathcal{L})^{\otimes n})$ for all $i \in \mathbb{N}_0$ and all $n \in \mathbb{Z}$. So, we may apply cohomology to the exact sequences

$$0 \longrightarrow \mathcal{L}^{\otimes n} \longrightarrow \nu_*\mathcal{O}_{\tilde{X}} \otimes_{\mathcal{O}_X} \mathcal{L}^{\otimes n} \longrightarrow \mathcal{F} \otimes_{\mathcal{O}_X} \mathcal{L}^{\otimes n} \longrightarrow 0$$

in order to get $h^2(\tilde{X}, (\nu^*\mathcal{L})^{\otimes n}) = h^2(X, \mathcal{L}^{\otimes n})$ for all $n \in \mathbb{Z}$. Moreover we have $h^0(X, (\nu^*\mathcal{L})^{\otimes n}) = h^0(X, \mathcal{L}^{\otimes n}) = 0$ for all $n \leq 0$. Finally we know from the proof of (5.2) that $h^1(X, \mathcal{L}^{\otimes n}) = e^1(X) + h^1(\tilde{X}, (\nu^*\mathcal{L})^{\otimes n})$ for all $n \leq 0$.

Thus, we get

$$\begin{aligned} \sigma_{\nu^*\mathcal{L}}(\tilde{X}) &= \chi((\nu^*\mathcal{L})^{\otimes -1}) - \chi(\mathcal{O}_{\tilde{X}}) + 1 \\ &= h^2(X, \mathcal{L}^{\otimes -1}) - (h^1(X, \mathcal{L}^{\otimes -1}) - e^1(X)) \\ &\quad - h^2(X, \mathcal{O}_X) + (h^1(X, \mathcal{O}_X) - e^1(X)) - 1 + 1 \\ &= \chi(\mathcal{L}^{\otimes -1}) - \chi(\mathcal{O}_X) + 1 = \sigma_{\mathcal{L}}(X). \end{aligned}$$

Finally, if we apply the sequence (*) of the proof of (5.2) with $n = 1$, we see that $h^0(\tilde{X}, \nu^*\mathcal{L}) \geq h^0(X, \mathcal{L})$ and hence that $\sigma_{\nu^*\mathcal{L}}(\tilde{X}) \leq h^0(\tilde{X}, \nu^*\mathcal{L}) - 1$.

Now, we get our claims if we apply (5.4) to the normal surface \tilde{X} and the ample invertible sheaf of $\mathcal{O}_{\tilde{X}}$ -modules $\nu^*\mathcal{L}$. □

REFERENCES

- [A] C. Albertini, Schranken für die Kohomologie ample Divisoren über normalen projektiven Varietäten in positiver Charakteristik, Dissertation, Universität Zürich, 1996.
- [B₁] M. Brodmann, *Bounds on the cohomological Hilbert functions of a projective variety*, Journal of Algebra, **109** (1987), 352–380.
- [B₂] M. Brodmann, *Cohomology of certain projective surfaces with low sectional genus and degree*, Commutative Algebra, Algebraic Geometry and Computational Methods (D. Eisenbud, ed.), Springer, New York (1999), pp. 173–200.
- [B₃] M. Brodmann, *Cohomology of surfaces $X \subseteq \mathbb{P}^r$ with degree $\leq 2r - 2$* , Commutative Algebra and Algebraic Geometry (F. van Oystaeyen, ed.), M. Dekker Lecture Notes **206**, M. Dekker (1999), pp. 15–33.
- [B-N] M. Brodmann and U. Nagel, *Bounding cohomological Hilbert functions by hyperplane sections*, Journal of Algebra, **174** (1995), 323–348.
- [B-S] M. Brodmann and R. Y. Sharp, *Local cohomology – An algebraic introduction with geometric applications*, Cambridge Studies in Advanced Mathematics **60**, Cambridge University Press, 1998.
- [B-V] M. Brodmann and W. Vogel, *Bounds for the cohomology and the Castelnuovo regularity of certain surfaces*, Nagoya Math. Journal, **131** (1993), 109–126.
- [D-I] P. Deligne and L. Illusie, *Relèvements modulo p^2 et décomposition du complexe de Rham*, Invent. Math., **89** (1987), 247–270.
- [E-V] H. Esnault and E. Viehweg, *Lectures on vanishing theorems*, DMV Seminar, Birkhäuser, Basel, 1992.
- [F] Fujita, *Classification theories of polarized varieties*, LMS lecture notes **155**, Cambridge University Press, 1990.

- [G] A. Grothendieck, *Eléments de géométrie algébrique III*, Publ. Math. IHES **11**, 1961.
- [H₁] R. Hartshorne, *Ample subvarieties of algebraic varieties*, Lecture Notes in Mathematics **156**, Springer, Berlin, 1970.
- [H₂] R. Hartshorne, *Algebraic geometry*, Graduate Text in Mathematics **52**, Springer, New York, 1977.
- [K] K. Kodaira, *On a differential geometric method in the theory of analytic stacks*, Proc. Nat. Acad. Sci. USA, **39** (1953), 1268–1273.
- [Ku] E. Kunz, *Characterizations of regular local rings of characteristic p* , American Journal of Mathematics, **91** (1969), 772–784.
- [L-R] N. Lauritzen and A. P. Rao, *Elementary counterexamples to Kodaira vanishing in prime characteristic*, Proc. Indian Acad. Sci. Math. Sci., **107** (1997), no. 1, 21–25.
- [M] H. Matsumura, *Commutative ring theory*, Cambridge Studies in Advanced Mathematics **8**, Cambridge University Press, 1989.
- [Me-Ram] V. B. Mehta and A. Ramanathan, *Frobenius splitting and cohomology vanishing for Schubert varieties*, Ann. Math., **122** (1985), 27–40.
- [Mu] D. Mumford, *Pathologies III*, American Journal of Mathematics, **89** (1967), 96–104.
- [Ra] M. Raynaud, *Contre-exemple au “vanishing theorem” en caractéristique $p > 0$* , C. P. Ramanujam – a tribute, TIFR Studies in Mathematics **8**, Springer, Oxford (1978), pp. 273–278.
- [S] K. Smith, *Fujita’s freeness conjecture in terms of local cohomology*, Journal of Algebraic Geometry, **6** (1997), 417–429.

Claudia Albertini
Kantonsschule Zuercher Oberland
Fachkreis Mathematik
8620 Wetzikon
Switzerland

Markus Brodmann
Institute of Mathematics
University of Zurich
Winterthurerstrasse 190
8057 Zürich
Switzerland
`brodmann@math.unizh.ch`