

**Main Theorem (Proper Base Change Theorem):** Let  $f : X \rightarrow S$  be a proper morphism of schemes and let

$$\begin{array}{ccc} X_T & \xrightarrow{f'} & T \\ g' \downarrow & \square & \downarrow g \\ X & \xrightarrow{f} & S \end{array}$$

be a cartesian diagram. Let  $\mathcal{F}$  be a torsion sheaf on  $X$ . Then the *base change homomorphism*

$$g^* (R^i f_* \mathcal{F}) \xrightarrow{\sim} R^i f'_* (g'^* \mathcal{F})$$

is an isomorphism.

First we define the **base change homomorphism**: Let

$$\begin{array}{ccc} Y & \xrightarrow{f'} & T \\ g' \downarrow & \circlearrowleft & \downarrow g \\ X & \xrightarrow{f} & S \end{array}$$

be a commutative diagram of schemes. Let  $\mathcal{F}$  be a sheaf on  $X$ . Then we have the map

$$\mathcal{F} \rightarrow g'_* g'^* \mathcal{F}$$

Apply the functor  $f_*$ , we get

$$f_* \mathcal{F} \rightarrow f_* g'_* g'^* \mathcal{F} = g_* f'_* g'_* \mathcal{F}$$

By the adjointness of the functors  $g_*$  and  $g^*$ , for every  $i$ , we have

$$g^* (R^i f_* \mathcal{F}) \rightarrow R^i f'_* (g'^* \mathcal{F})$$

called the *base change homomorphism*.

We here only prove the theorem under the supplementary hypothesis:

- (1)  $\mathcal{F}$  is a sheaf of  $\mathbb{Z}/n\mathbb{Z}$ -modules with  $n$  invertible on  $S$ .
- (2) The morphism  $f : X \rightarrow S$  is projective.

The non-projective case can be reduced to the projective case by using Chow's lemma.

**Remark 1.** The proof for the finite morphism (instead of proper morphism) is much easier than the proof of the proper base change theorem [cf. Freitag, *Étale Cohomology and the Weil Conjecture*, I.3.5]. We here assume the result without proof.

**Remark 2.** If the base change theorem holds for  $f_1 : X' \rightarrow S$  and  $f_2 : X \rightarrow X'$ , then it also holds for  $f_1 \circ f_2 : X \rightarrow S$ .

**proof:** It suffices to prove that it induces isomorphisms on all stalks. By the limit theorem we may assume  $T$  and  $S$  are affine and  $T$  is finitely generated  $S$ -scheme, hence we can restrict to the geometric points  $t \in T$  that are closed in their fibers.

For  $t : \text{Spec } k \rightarrow T$  being a geometric point, let  $T(t) = \text{Spec } \tilde{\mathcal{O}}_{T,t}$ , where  $\tilde{\mathcal{O}}_{T,t} = \varinjlim \mathcal{O}_T(U)$  with  $U$  runs through all étale neighborhood of  $t$ . If  $\mathcal{G}$  is a sheaf on  $X_T$  and  $\mathcal{G}(t)$  is its inverse image on  $X_T \times_T T(t)$ , then in fact we have  $(R^i f'_* \mathcal{G})_t \cong H^i(X_T \times_T T(t), \mathcal{G}(t))$  (which is proved by the limit theorem). Therefore it suffices to show in the following cases:

- (i)  $T = \text{Spec } K \rightarrow \text{Spec } k = S$ , where  $K$  is a finite algebraic extension field of a separably closed field  $k$ .
- (ii)  $S = \text{Spec } A$  with  $A$  a strictly Henselian ring,  $T = \text{Spec } k$  with  $k$  the residue field, and  $T \rightarrow S$  is the natural map.

For the second case, let  $s : T \rightarrow S$ , the theorem is equivalent to saying  $H^i(X, \mathcal{F}) = H^i(X_s, \mathcal{F}_s)$ , where  $X_s = X \times \text{Spec } k$ ,  $\mathcal{F}_s = \mathcal{F}|_{X_s}$ . We first consider the case  $\dim X_s \leq 1$ .

**Claim:** Let  $\dim X_s \leq 1$  and  $n$  be invertible in  $\mathcal{O}_X$ . The natural map

$$H^i(X, \mathbb{Z}/n\mathbb{Z}) \rightarrow H^i(X_s, \mathbb{Z}/n\mathbb{Z})$$

is bijective for  $i = 0$  and surjective for  $i > 0$ .

Recall that for  $i \geq 3$ ,  $H^i(X_s, \mathbb{Z}/n\mathbb{Z}) = 0$ . For  $i = 0$ , the Zariski connectedness theorem for a proper scheme over a Henselian ring says that the number of connected components of  $X$  and  $X_s$  is the same.

For  $i = 1$ , it is enough to prove that every Galois étale covering space of the special fiber can be extended to a Galois étale covering space of  $X$ . Let  $X_n = X \times \text{Spec } (A/\mathfrak{m}^n)$ . Then the functor  $t(X_n) \rightarrow t(X_{n-1})$  is an equivalence of categories. Therefore a Galois étale covering space of the special fiber  $X_s = X_1$  can be extended to  $X_n$  inductively, and then can be extended to a Galois covering space of the formal completion of  $X$  along  $X_s$ . By the Grothendieck existence theorem: one can lift infinitesimal deformations of a scheme to a deformation, we see that a Galois covering space of the special fiber can be extended to a Galois covering space of  $X \times \text{Spec } (\hat{A})$ , where  $\hat{A} = \varprojlim A/\mathfrak{m}^n$ .

Now consider a functor  $F$  on the category of  $A$ -algebras  $B$  assigning  $F(B)$  to be the set of isomorphism classes of étale Galois  $\mathbb{Z}/n\mathbb{Z}$ -covering spaces of  $X \times \text{Spec } B$ . In fact,  $F$  is *locally of finite presentation*, that is,  $F(\varinjlim B_n) = \varinjlim F(B_n)$  [cf. Algebraic approximation of structures over complete local rings. Inst. Hautes Etudes sci. Publ. Math. 36 (1969), 23-58. ]. Recall that

**Theorem 3** (Artin Approximation Theorem). Let  $R$  be a field and let  $A$  be the henselization of an  $R$ -algebra of finite type at a prime ideal, let  $\mathfrak{m}$  be a proper ideal of  $A$  and let  $\widehat{A}$  be the  $\mathfrak{m}$ -adic completion of  $A$ , and let  $F : (A\text{-algebras}) \rightarrow (\text{Sets})$  be a locally of finite presentation functor. Then for any  $n \in \mathbb{N}$  and any  $\bar{\xi} \in F(\widehat{A})$ , there is a  $\xi \in F(A)$  such that

$$\bar{\xi} \equiv \xi \pmod{\mathfrak{m}^n}.$$

By the Artin approximation theorem, there is a Galois covering space of  $X$  that agrees over  $X \times \text{Spec}(A/\mathfrak{m}^n)$  with the covering space constructed for  $X \times \text{Spec}(\widehat{A})$ .

For  $i = 2$ , consider the Kummer sequence

$$\begin{array}{ccc} \text{Pic}X & \longrightarrow & H^2(X, \mu_n) \\ \downarrow & \circlearrowleft & \downarrow \\ \text{Pic}X_s & \twoheadrightarrow & H^2(X_s, \mu_n) \longrightarrow H^2(X_s, \mathcal{O}_{X_s}^*) \end{array}$$

Since  $k$  is separably algebraically closed, the Henselian ring  $A$  contains a primitive  $n$ -th root of unity whose image in  $k$  is also a primitive  $n$ -th root of unity. Hence we may identify the constant sheaf  $\mathbb{Z}/n\mathbb{Z}$  with the sheaf  $\mu_n$  of  $n$ -th roots of unity. Hence it suffices to show that every line bundle on the special fiber  $X_s$  can be extended to all of  $X$ . Similarly to the previous case, it is enough to show that every line bundle on  $X_n = X \times \text{Spec}(A/\mathfrak{m}^n)$  can be extended to  $X_{n+1}$ . We may consider the structure sheaf  $\mathcal{O}_{X_n}$  as a sheaf on  $X_s$  (w.r.t. the Zariski topology). Let  $\mathcal{I} = \ker(\mathcal{O}_{X_{n+1}} \rightarrow \mathcal{O}_{X_n})$ . Then the sequence

$$0 \longrightarrow \mathcal{I} \longrightarrow \mathcal{O}_{X_{n+1}}^* \longrightarrow \mathcal{O}_{X_n}^* \longrightarrow 1$$

$$\alpha \longmapsto 1 + \alpha$$

is exact. Now the sheaf  $\mathcal{I}$  is coherent and  $\dim X_s \leq 1$ , the cohomology  $H^2(X_s, \mathcal{I})$  vanished. Hence  $H^1(X_s, \mathcal{O}_{X_n}^*) \rightarrow H^1(X_s, \mathcal{O}_{X_{n+1}}^*)$  is surjective. The claim is proved.

Now apply the result to schemes  $X' \xrightarrow{p} X$  finite over  $X$ , then we see that the map

$$H^i(X, \mathcal{F}) \rightarrow H^i(X_s, \mathcal{F}_s)$$

is bijective for  $i = 0$  and surjective for  $i > 0$  for all sheaves  $\mathcal{F}$  that are isomorphic to a finite direct sum of sheaves of the form  $p_*((\mathbb{Z}/n\mathbb{Z})_{X'})$ . Recall that every constructible sheaf on  $X$  is a subsheaf of a finite direct sum of sheaves of the form  $p_*((\mathbb{Z}/n\mathbb{Z})_{X'})$ . Therefore we get that every constructible sheaf  $\mathcal{F}$  (of  $\mathbb{Z}/n\mathbb{Z}$ -modules) on  $X$  is a subsheaf of a constructible sheaf  $\mathcal{G}$  with the map

$$H^i(X, \mathcal{G}) \rightarrow H^i(X_s, \mathcal{G}_s)$$

being bijective for  $i = 0$  and surjective for  $i > 0$ . Consider the diagram

$$\begin{array}{ccccccc} 0 & \longrightarrow & H^0(X, \mathcal{F}) & \longrightarrow & H^0(X, \mathcal{G}) & \longrightarrow & H^0(X, \mathcal{G}/\mathcal{F}) \\ & & \downarrow & & \wr \downarrow & & \downarrow \\ 0 & \longrightarrow & H^0(X_s, \mathcal{F}_s) & \longrightarrow & H^0(X_s, \mathcal{G}_s) & \longrightarrow & H^0(X_s, (\mathcal{G}/\mathcal{F})_s) \end{array}$$

Clearly, the map

$$H^0(X, \mathcal{F}) \rightarrow H^0(X_s, \mathcal{F}_s)$$

is injective. This holds for all constructible sheaves, and hence it holds also for the map

$$H^0(X, \mathcal{G}/\mathcal{F}) \rightarrow H^0(X_s, (\mathcal{G}/\mathcal{F})_s)$$

Then we conclude that the map

$$H^0(X, \mathcal{F}) \rightarrow H^0(X_s, \mathcal{F}_s)$$

is bijective for constructible sheaves  $\mathcal{F}$ , and hence for all sheaves of  $\mathbb{Z}/n\mathbb{Z}$ -modules (such sheaves is a filtered direct limit of its constructible subsheaves). Suppose that we have proved the map

$$H^{m-1}(X, \mathcal{F}) \rightarrow H^{m-1}(X_s, \mathcal{F}_s)$$

is bijective for some  $m \in \mathbb{N}$ . We may assume  $\mathcal{F}$  is constructible. Embedding  $\mathcal{F}$  in a torsion sheaf  $\mathcal{G}$  for which the map

$$H^i(X, \mathcal{G}) \rightarrow H^i(X_s, \mathcal{G}_s)$$

is surjective for all  $i$ . Consider the exact sequence  $0 \rightarrow \mathcal{G} \rightarrow \mathcal{J} \rightarrow \mathcal{K} \rightarrow 0$  where  $\mathcal{J}$  is injective in the category of  $\mathbb{Z}/n\mathbb{Z}$ -modules. Then

$$\begin{array}{ccccccc} H^{m-1}(X, \mathcal{J}) & \longrightarrow & H^{m-1}(X, \mathcal{K}) & \longrightarrow & H^m(X, \mathcal{G}) & \longrightarrow & 0 \\ & & \wr \downarrow & & \downarrow & & \\ H^{m-1}(X_s, \mathcal{J}_s) & \longrightarrow & H^{m-1}(X_s, \mathcal{K}_s) & \longrightarrow & H^m(X_s, \mathcal{G}_s) & & \end{array}$$

gives the injectivity of  $H^m(X, \mathcal{G}) \rightarrow H^m(X_s, \mathcal{G}_s)$  (and thus isomorphism). Consider the long exact sequences

$$\begin{array}{ccccccccccc} H^{m-1}(X, \mathcal{G}) & \longrightarrow & H^{m-1}(\mathcal{G}/\mathcal{F}) & \longrightarrow & H^m(X, \mathcal{F}) & \longrightarrow & H^p(X, \mathcal{G}) & \longrightarrow & H^m(\mathcal{G}/\mathcal{F}) \\ \wr \downarrow & & \wr \downarrow & & \downarrow & & \wr \downarrow & & \downarrow \\ H^{m-1}(X_s, \mathcal{G}_s) & \longrightarrow & H^{m-1}(X_s, (\mathcal{G}/\mathcal{F})_s) & \longrightarrow & H^m(X_s, \mathcal{F}_s) & \longrightarrow & H^m(X_s, \mathcal{G}_s) & \longrightarrow & H^m(X_s, (\mathcal{G}/\mathcal{F})_s) \end{array}$$

First we see that the map  $H^m(X, \mathcal{F}) \rightarrow H^m(X_s, \mathcal{F}_s)$  is injective, which also holds for the sheaf  $\mathcal{G} / \mathcal{F}$ , and therefore the map is bijective.

Now we have showed the case for  $f : X \rightarrow S$  whose geometric fibers are at most one-dimensional, hence the theorem holds for those map  $f$  which can be written as products of proper maps with at most one-dimensional fibers, in particular, for  $X = \mathbb{P}_S^1 \times \dots \times \mathbb{P}_S^1$ . Now we prove the base change theorem for  $f : \mathbb{P}_S^n \rightarrow S$ . Consider  $p : \mathbb{P}_S^1 \times \dots \times \mathbb{P}_S^1 \rightarrow \mathbb{P}_S^n$ , then the base change theorem holds for sheaves of the form  $p_*\mathbb{F}$ . Note that the map  $\mathcal{G} \rightarrow p_*p^*\mathcal{G}$  is injective for every sheaf  $\mathcal{G}$  on  $\mathbb{P}_S^n$ , then we see that  $\mathbb{G}$  is quasi-isomorphic to a bounded-below complex of sheaves  $\mathcal{F}^\bullet$  for which the base change theorem hold. Hence the base change theorem holds for  $\mathcal{G}$ . Now every projective morphism  $f : X \rightarrow S$  can be written as  $X \hookrightarrow \mathbb{P}_S^n \rightarrow S$ , hence the base change theorem holds for arbitrary projective morphisms.  $\square$

Here we state two theorems [cf. Freitag, Étale Cohomology and the Weil Conjecture, I.7.3, I.7.4]:

**Theorem 4** (Smooth Base Change Theorem). Let

$$\begin{array}{ccc} X_T & \xrightarrow{f'} & T \\ g' \downarrow & \square & \downarrow g \\ X & \xrightarrow{f} & S \end{array}$$

be a cartesian diagram of schemes. The base change homomorphism

$$g^* R^i f_* \mathcal{F} \rightarrow R^i f'_* (g'^* \mathcal{F})$$

is an isomorphism if

- (1)  $g$  is smooth
- (2)  $\mathcal{F}$  is a torsion sheaf with torsion relatively prime to the residue characteristic of the scheme  $S$ .

**Theorem 5** (Acyclicity Theorem). Let  $A \rightarrow B$  be a smooth homomorphism of strict Henselian rings. Then the morphism  $g : \text{Spec } B \rightarrow \text{Spec } A$  is acyclic, that is, for all torsion sheaves  $\mathcal{F}$  on  $\text{Spec } A$  with torsion relatively prime to the residue characteristic of  $A$ , we have

- (i)  $\mathcal{F} \rightarrow g_* g^* \mathcal{F}$  is an isomorphism.
- (ii)  $R^i g_* (g^* \mathcal{F}) = 0$  for all  $i > 0$ .