ON THE ALGEBRAIC FUNDAMENTAL GROUP
OF SMOOTH VARIETIES IN CHARACTERISTIC \( p > 0 \)

HÉLÈNE ESNAULT AND AMIT HOGADI

Abstract. We define an analog in characteristic \( p > 0 \) of the proalgebraic completion of the topological fundamental group of a complex manifold.

1. Introduction

Let \( X \) be a smooth algebraic variety defined over a field \( k \) endowed with a rational point \( x \in X(k) \).

If \( k \) is the field of complex numbers \( \mathbb{C} \), the proalgebraic completion \( \pi_{\text{alg,rs}}(X,x) \) of the topological fundamental group \( \pi_1^{\text{top}}(X,x) \) is defined as the prosystem \( \lim_{\leftarrow} H \), where \( H \subset GL(n,\mathbb{C}) \) runs over the Zariski closures of the monodromy groups \( \rho(\pi_1^{\text{top}}(X,x)) \) of complex linear representations \( \rho : \pi_1^{\text{top}}(X,x) \to GL(n,\mathbb{C}) \). The profinite completion \( \lim_{\leftarrow} H \), where \( H \) runs over the finite quotients of \( \pi_1^{\text{top}}(X,x) \), is, via the Riemann existence theorem, identified with Grothendieck’s étale fundamental group \( \pi_1^{\text{et}}(X,x) \). Since any finite group is embeddable in \( GL(n,\mathbb{C}) \) for some \( n \), this defines, thinking of \( \pi_1^{\text{et}}(X,x) \) as a complex (constant) proalgebraic group, a surjective homomorphism \( \varphi_C : \pi_{\text{alg,rs}}(X,x) \to \pi_1^{\text{et}}(X,x) \), and in fact \( \pi_1^{\text{et}}(X,x) \) is the profinite quotient of \( \pi_{\text{alg,rs}}(X,x) \). By the Riemann-Hilbert correspondence, \( \pi_{\text{alg,rs}}(X,x) \) is the Tannaka group-scheme of the category of \( \mathcal{O}_X \)-coherent regular singular \( D_X \)-modules, which is a full subcategory of the category of \( \mathcal{O}_X \)-coherent \( D_X \)-modules. We denote by \( \pi_{\text{alg}}(X,x) \) the corresponding Tannaka group-scheme and by \( \varphi_C : \pi_{\text{alg}}(X,x) \to \pi_{\text{alg,rs}}(X,x) \) the composite morphism. It is surjective as well, and since any flat connection with finite monodromy is regular singular, \( \pi_1^{\text{et}}(X,x) \) is the profinite quotient of \( \pi_{\text{alg}}(X,x) \).

If \( k \) is a characteristic 0 field, \( \pi_{\text{alg}}(X,x) \) is defined as the Tannaka group-scheme of the \( k \)-linear tensor category of \( \mathcal{O}_X \)-coherent \( D_X \)-modules equipped with the fiber functor defined as the restriction of the module on \( x \). The full subcategory of finite objects, that is, objects with finite monodromy group-scheme or, said differently, objects which have the property that the full Tannaka subcategory which is spanned by it has a finite Tannaka group-scheme \( \pi_1^{\text{et}}(X,x) \). Since \( \pi_1^{\text{et}}(X,x)(\bar{k}) = \pi_1^{\text{et}}(X,x)(\overline{\mathbb{F}}) \) (Remark 2.10) and both \( \pi_{\text{alg}}(X,x) \) and \( \pi_1^{\text{et}}(X,x) \) satisfy base change for finite extensions \( k \subset L \) (Property 2.54)), we see that the surjection \( \varphi : \pi_{\text{alg}}(X,x) \to \pi_1^{\text{et}}(X,x) \) is a \( k \)-form of \( \varphi_C \) for any complex embedding \( k \subset \mathbb{C} \). Moreover, by definition, \( \varphi \) induces the profinite quotient homomorphism.
If $k$ is a characteristic $p > 0$ field, the category of $\mathcal{O}_X$-coherent $\mathcal{D}_X$-modules is again a $k$-linear abelian tensor rigid category. It is part of Katz’ theorem asserting that this category is equivalent to the category of stratified $\mathcal{O}_X$-coherent sheaves (see [9 Theorem 1.3], [3 Theorem 8], where it is shown over $k = \bar{k}$). If $k = \bar{k}$, its Tannaka group-scheme $\pi_{\text{alg}}(X, x)$ is shown to be prosmooth in [3, Corollary 12] (strictly speaking, it is shown there only for the profinite part, but dos Santos’ proof applies more generally as mentioned in [4, Corollary 7]). The homomorphism $\varphi$ is then defined by the full embedding of the subcategory of objects with finite monodromy group-scheme. So by definition, $\varphi$ induces the profinite quotient homomorphism.

On the other hand, if $X$ is a reduced connected scheme over a characteristic $p > 0$ field $k$, endowed with a rational point $x \in X(k)$, Nori [10, Chapter II] constructed a fundamental group-scheme $\pi^N(X, x)$ as the projective system of finite $k$-group-schemes $G$ for which there is a $G$-torsor $h : Y \to X$ under $G$ with trivialization at $x$. The proétale quotient of $\pi^N(X, x)$ is precisely $\pi^\text{ét}(X, x)$.

Summarizing, one has a diagram

\[
\begin{array}{ccc}
\pi_{\text{alg}}(X, x) & \xrightarrow{\text{surj}} & \pi^\text{ét}(X, x) \\
\downarrow & & \downarrow \\
\pi^N(X, x) & \xrightarrow{\text{surj}} & \\
\end{array}
\]

The aim of our article is to define a Tannaka category $\text{Strat}(X, \infty)$ over a perfect field $k$, which contains the category of $\mathcal{O}_X$-coherent $\mathcal{D}_X$-modules as a full subcategory, in such a way that its Tannaka group-scheme $\pi_{\text{alg}, \infty}(X, x)$, which thus surjects onto $\pi_{\text{alg}}(X, x)$, also surjects onto $\pi^N(X, x)$. In other words, we complete (1.1) to

\[
\begin{array}{ccc}
\pi_{\text{alg}}(X, x) & \xrightarrow{\text{surj}} & \pi^\text{ét}(X, x) \\
\downarrow & & \downarrow \\
\pi_{\text{alg}, \infty}(X, x) & \xrightarrow{\text{surj}} & \pi^N(X, x). \\
\end{array}
\]

As a byproduct, we obtain a purely Tannakian geometric description of $\pi^N(X, x)$ (see Corollary 4.9). Recall that we assume that $X$ is smooth. If in addition $X$ is proper, Nori himself described his fundamental group-scheme $\pi^N(X, x)$ as the Tannaka group-scheme of the category of essentially finite bundles [10 Chapter I]. He extends in [10 Chapter III] his construction to non-proper curves by using parabolic bundles. Lacking desingularization in characteristic $p > 0$ makes it difficult to generalize his construction to the higher dimensional case. If $k$ has characteristic 0, then, as already mentioned, $\pi^N(X, x) = \pi^\text{ét}(X, x)$ is the Tannaka group-scheme of the category of finite flat connections [6, Section 2] or, equivalently, of the category of $\mathcal{O}_X$-coherent $\mathcal{D}_X$-modules with finite monodromy group-scheme.

Our construction (see Section 3, most particularly Definition 3.2) generalizes on a smooth variety defined over a perfect characteristic $p > 0$ field $k$ the construction of the category of flat connections (loc. cit) in characteristic 0 and the construction of the stratified bundles (loc. cit.) in characteristic $p > 0$. We now explain the main idea.

For $i \in \mathbb{N}$, let us define inductively the relative Frobenius $F^{(i)} : X^{(i)} \to X^{(i+1)}$ over $k$ in the usual manner. As $k$ is assumed to be perfect, one defines $X^{(-1)} = \ldots$
Let $X \otimes_{k,F^{-1}} k$, where $F_k : \text{Spec } k \to \text{Spec } k$ is the absolute Frobenius of $k$, together with the relative Frobenius $F^{(-1)} : X^{(-1)} \to X^{(0)}$. Then one iterates to define inductively $F^{(i)} : X^{(i)} \to X^{(i+1)}$ for $i \in \mathbb{Z}, i < 0$. For $a, b \in \mathbb{Z}, a < b$ we define $F(a,b) : X^{(a)} \to X^{(b)}$.

Recall that a stratified bundle is a sequence $(E^{(i)}, \sigma^{(i)}, i \in \mathbb{N})$, where $E^{(i)}$ is a bundle on $X^{(i)}$ and $\sigma^{(i)} : E^{(i)} \cong_{E^{(i+1)}} F^{(i+1)}$ is an $O_{X^{(i)}}$-isomorphism. For $t \in \mathbb{N}$, $t \neq 0$, we define an object of $\text{Strat}(X, t)$ to be a sequence $(E^{(i)}, \sigma^{(i)}, i \in \mathbb{N})$, where $E^{(i)}$ is a bundle on $X^{(i)}$ and $\sigma^{(i)} : E^{(i)} \cong_{F^{(i+1)}} F^{(i+1)}$ is an $O_{X^{(i)}}$-isomorphism for all $i \geq 1$, but for $i = 0$, $\sigma_0 : F^{(-1)} \cong_{E^{(0)}} F^{(-1)}$ is a $O_{X^{(-1)}}$-isomorphism.

The morphisms are the ones between the bundles which respect all the structures. We show (Theorem 3.4) that the obvious functor $\text{Strat}(X, t) \subset \text{Strat}(X, t+1)$, which assigns $(E_i, F^{(-1)} \sigma_0, \sigma_i, i \geq 1)$ to $(E_i, \sigma_0, \sigma_i, i \geq 1)$, induces a full embedding of Tannaka categories, where the fiber functor is simply the restriction of $E^{(0)}$ to the rational point $x$. Then $\text{Strat}(X, \infty)$ is defined as the inductive limit over $t \to \infty$ of the categories $\text{Strat}(X, t)$ (Corollary 3.5). In order to show that the Tannaka group-scheme $\pi^{\text{alg, } \infty}(X, x)$ of $\text{Strat}(X, \infty)$ surjicts onto $\pi^N(X, x)$, we use a slight modification of Nori’s reconstruction theorem [10, Chapter I, Proposition 2.9] of a torsor for $\text{Rep}_k(G) \to \text{Coh}(X)$ which assigns to a finite dimensional $k$-linear representation $V$ of $G$ the vector bundle on $X$ which is defined by flat descent for $h$ on $O_Y \times_k V$ (Theorem 2.4).

This allows us to define the group-scheme homomorphism $\pi^{\text{alg, } \infty}(X, x) \to \pi^N(X, x)$ (Theorem 2.5). In order to show that this map induces the profinite quotient, we in particular use the categorial translation of injectivity and surjectivity of homomorphisms of Tannaka group-schemes (2 Proposition 2.12).

2. Nori’s fundamental group-scheme

Let $k$ be a field of characteristic $p > 0$ and $X$ be a $k$-scheme. Let $x \in X(k)$ be a rational point and $i_x : x \to X$ be the closed embedding.

Nori [10, Chapter II] defines the category $\text{N}(X, x)$ of triples $(Y \overset{f}{\to} X, G, y)$ where

(a) $G/k$ is a finite group scheme,
(b) $f : Y \to X$ is a $G$-torsor,
(c) $y$ is a $k$-point of $Y$ lying above $x$.

A morphism between two such triples $(Y_i \overset{f_i}{\to} X, G_i, y_i), i = 1, 2$, is a pair $(\phi : G_1 \to G_2, \psi : Y_1 \to Y_2)$ such that $\psi$ is an $X$-morphism which is $\phi$-equivariant and $\psi(y_1) = y_2$. Nori shows [10, Chapter II, Proposition 2] that if $X$ is reduced and geometrically connected, then the projective limit $\varprojlim_{\text{N}(X, x)} G$ exists. He defines

**Definition 2.1.** Let $X$ be a reduced geometrically connected $k$-scheme. Then its Nori fundamental group-scheme is the profinite $k$-group-scheme

$$\pi^N(X, x) = \varprojlim_{\text{N}(X, x)} G.$$  

Since giving a rational point $y \in f^{-1}(x)$ is the same as giving a trivialization $f^{-1}(x) \cong_k G$, $\text{N}(X, x)$ is equivalent to the category of triples $(h : Y \to X, G, f^{-1}(x) \cong_k G)$, where the morphisms between two such objects are defined by
torsor morphisms which respect the trivialization. We will not need this slightly different phrasing.

**Definition 2.2.** Let $G$ be a finite $k$-group-scheme, and let $h : Y \to X$ be a $G$-torsor. Then it induces a functor $h^# : \text{Rep}_k(G) \to \text{Coh}(X)$ which assigns to a finite dimensional $k$-representation $V$ the bundle on $X$ which comes by flat descent from $\mathcal{O}_Y \otimes_k V$.

**Properties 2.3.**

1) The functor $h^#$ defined in Definition 2.2 is exact, $k$-linear and compatible with the tensor structure. Thus it is a fiber functor in the sense of Deligne [1, 1.9]. Since $\text{Rep}_k(G)$ is a Tannaka category, it follows [1 Corollaire 2.10] that $h^#$ is faithful.

2) The functor $i^*_x : \text{Coh}(X) \to \text{Vec}_k$ defined as the restriction to the rational point, with values in the category of finite dimensional $k$-vector spaces, is a fiber functor on the subcategory of vector bundles. The composite functor $i^*_x \circ h^# : \text{Rep}_k(G) \to \text{Vec}_k$ is a fiber functor.

3) Let $h_i : Y_i \to X$ be $G_i$-torsors where $i = 1, 2$. Let $\phi : G_1 \to G_2$ be a group homomorphism and $\psi : Y_1 \to Y_2$ be an equivariant map with respect to $\phi$. We denote by $\phi^*$ the induced functor $\text{Rep}_k(G_1) \to \text{Rep}_k(G_2)$. Then one has the equality $h_i^# = h_i^\# \circ \phi^*$ of functors. Indeed, if $V$ is a $G_2$-representation, $\psi^* : \mathcal{O}_{Y_2} \otimes_k V \to \mathcal{O}_{Y_1} \otimes_k \phi^*(V))$ induces a $\mathcal{O}_X$-linear map $h_1^#(V) \to h_2^#(V)$ between those two vector bundles, which, after composing with $i^*_x$, is the identity on $V$. So $h_i^#(V) = h_i^\# \circ \phi^*(V)$.

4) Let $h : Y \to X$ be a $G$-torsor, let $b : X' \to X$ be a morphism, and let $x' \in X'(k)$ be a rational point with $b(x') = x$. Let $Y' = Y \times_X X' \to X'$ and $h' : Y' \to X'$ denote the projection. Then one has the equality $b^* \circ h^# = h'^#$ of functors. Indeed, denoting by $b^* : Y' \to Y$ the induced morphism, if $V$ is a $G$-representation, $(b')^* : \mathcal{O}_Y \otimes_k V \to (b')^* \mathcal{O}_{Y'} \otimes_k V$ induces $\mathcal{O}_X$-linear map $b^* \circ h^#(V) \to (b')^#(V)$ between vector bundles, which is the identity on $V$ after composing with $i^*_x$. So $b^* \circ h^# = (h')^#$.

The following is a direct consequence of [10 Proposition 2.9].

**Theorem 2.4.** Let $G$ be a finite $k$-group-scheme and let $F : \text{Rep}_k(G) \to \text{Coh}(X)$ be a fiber functor such that $i^*_x \circ F$ is the forgetful functor $F_G : \text{Rep}_k(G) \to \text{Vec}_k$. Then there exists a unique object $(Y \xrightarrow{b} X, G, y)$ of $\text{N}(X, x)$ such that $F = h^#$ and $(h^{-1}(x), y) = (G, 1)$. For any other object $(Y' \xrightarrow{h'} X, G, y') \in \text{N}(X, x)$ such that $F = h^#$, there exists a unique isomorphism in $\text{N}(X, x)$ between $(Y \xrightarrow{b} X, G, y)$ and $(Y' \xrightarrow{h'} X, G, y')$.

**Proof.** By Nori’s reconstruction theorem [10 Proposition 2.9], $F(k[G])$, where $k[G]$ is the regular representation of $G$, is a finite $\mathcal{O}_X$-algebra. The $G$-torsor $h : Y \to X$ is defined to be $\text{Spec}_X F(k[G])$. By Property 2.3, $i^*_x \circ F(k[G]) = F_G(k[G]) = k[G]$. Said differently, $h^{-1}(x) = \text{Spec}_X k[G] = G$. Then $y$ is the rational point of $h^{-1}(x)$ which is $1 \in G$. By the unicity in loc. cit., $h$ is uniquely defined. If $y' = g \in h^{-1}(x)(k)$ is another rational point, then multiplication $g : Y \to Y$ by $g$, together with the conjugation $G \to G, h \mapsto ghg^{-1}$, defines an isomorphism $(h : Y \to X, G, y) \to (h : Y \to X, G, y')$ in $\text{N}(X, x)$.  \[ \square \]
3. The category of generalized stratified bundles

The aim of this section is to define the category of generalized stratified bundles. We start with some notation.

**Notation 3.1.** Let $k$ be a perfect field of characteristic $p > 0$ and let $X$ be a smooth scheme over $k$ which is geometrically irreducible.

For $i \in \mathbb{N}$, we define inductively the relative Frobenius $F^{(i)} : X^{(i)} \rightarrow X^{(i+1)}$ over $k$ in the usual manner, by defining $X^{(0)} = X$, $X^{(i+1)}$ to be the fiber product of $X^{(i)} \otimes_k F_k$ over the absolute Frobenius $F_k : \text{Spec } k \rightarrow \text{Spec } k$ of $k$ and defining $F^{(i)}$ to be the factorization of the absolute Frobenius $F_{X^{(i)}} : X^{(i)} \rightarrow X^{(i)}$ morphism.

For $i \in \mathbb{Z}, i < 0$, we define inductively $F^{(i)} : X^{(i)} \rightarrow X^{(i+1)}$ over $k$ as follows. First we set $X^{(-1)} = X \otimes_{F_{-1}} k$. Then we define $F^{(-1)} : X^{(-1)} \rightarrow X$ to be the relative Frobenius. Similarly, we define $X^{(-i-1)} = X^{(-i)} \otimes_{F_{-1}} k$, together with the relative Frobenius $F^{(-i-1)} : X^{(-i-1)} \rightarrow X^{(-i)}$ over $k$.

For $a, b \in \mathbb{Z}, a < b$ we define $F^{(a,b)} : X^{(a)} \rightarrow X^{(b)}$.

Recall that a stratified bundle (see [3] Section 1) is a sequence $(E^{(i)}, \sigma^{(i)}), i \in \mathbb{N}$, where $E^{(i)}$ is a $O_X$-coherent sheaf on $X^{(i)}$ and $\sigma^{(i)} : E^{(i)} \xrightarrow{\cong} F^{(i)*}E^{(i+1)}$ is a $O_{X^{(i)}}$-isomorphism. One defines the category $\text{Strat}(X)$ of stratified bundles by defining

$$\text{Hom}((D^{(i)}, \tau^{(i)}), (E^{(i)}, \sigma^{(i)}))$$

to be a set of sequences $f_i : D^{(i)} \rightarrow E^{(i)}$ of morphisms of $O_{X^{(i)}}$-coherent sheaves, which commute with all the $\sigma_i$ and $\tau_i$. It is a fact (loc. cit.) that if $(E^{(i)}, \sigma^{(i)}, i \in \mathbb{N})$ is a stratified sheaf, the $E^{(i)}$ are all locally free, and if $f = (f)_i, i \in \mathbb{N}$, is a morphism of stratified sheaves, then $f_i$ are vector bundle maps (i.e. locally split), so the category is abelian, rigid, and monoidal. Moreover, the Hom-sets are finite dimensional $k$-vector spaces. As $X$ is geometrically irreducible, the unit object $\mathbb{I} = (O_X, \text{Id}), i \in \mathbb{N},$ fulfills $\text{End}(\mathbb{I}) = k$. If now $X$ is endowed with a rational point $x \in X(k)$, then $\omega_x : \text{Strat}(X) \rightarrow \text{Vec}_k, (E^{(i)}, \sigma^{(i)}) \mapsto E_0|_x$ is a fiber functor in the sense of Deligne [11 1.9] and thus yields the structure of a Tannaka category on $\text{Strat}(X)$.

A fundamental property due to dos Santos is that the corresponding Tannaka $k$-group-scheme $\text{Aut}^\otimes(\omega_x)$ is prosmoooth ([3 Corollary 12], [4 Corollary 7]).

**Definition 3.2.** Let $t \geq 0$ be an integer. A $t$-stratified bundle is a sequence

$$(E^{(i)}, \sigma^{(i)}, i \in \mathbb{N}),$$

where $E^{(i)}$ is a $O_X$-coherent sheaf on $X^{(i)}$,

$$\sigma^{(i)} : E^{(i)} \xrightarrow{\cong} F^{(i)*}E^{(i+1)}$$

is a $O_{X^{(i)}}$-isomorphism for $i \geq 1$, and for $i = 0$,

$$\sigma^{(0)} : F^{(-t,0)*}E^{(0)} \xrightarrow{\cong} F^{(-t,1)*}E^{(1)}$$

is a $O_{X^{(-t)}}$-isomorphism.

One defines the category $\text{Strat}(X,t)$ of $t$-stratified bundles by defining

$$\text{Hom}((D^{(i)}, \tau^{(i)}), (E^{(i)}, \sigma^{(i)}))$$

to be a set of sequences $f_i : D^{(i)} \rightarrow E^{(i)}$ of morphisms of $O_X$-coherent sheaves, which commute with all the $\sigma_i$ and $\tau_i$.

In particular, $\text{Strat}(X, 0) = \text{Strat}(X)$. 
Example 3.3. We now give an example of a non-trivial 1-stratified bundle on $X = \mathbb{A}_k^1 = \text{Spec}(k[[x]])$. Thus $X^{(i)} = \text{Spec}(k[x])$, where the relative Frobenius $X^{(i)} \to X^{(i+1)}$ is induced by $x_{i+1} \to x_i^p$. For simplicity let us assume $p = \text{char}(k) = 2$. Let $V$ be a 2-dimensional vector space over $k$ with basis $e_1, e_2$. Define

$$E^{(i)} = \mathcal{O}_{X^{(i)}} \otimes_k V \quad \forall \ i \geq 0$$

and

$$\sigma^{(i)} : E^{(i)} \to F^{(i)}*E^{(i+1)}, \quad i \geq 1,$$

to be the isomorphism induced by the identity on $V$. We define

$$\sigma^{(0)} : F^{-1,0}*E^{(0)} \to F^{-1,1}*E^{(1)}$$

to be the isomorphism defined by sending

$$e_1 \to e_1, \quad e_2 \to x_{-1}e_1 + e_2.$$ 

We claim that the $-1$-stratified bundle thus defined is not isomorphic to the trivial stratified bundle of rank 2. If indeed this were the case, then we would have a $k[x]$-module automorphism $\phi : k[x] \otimes_k V \to k[x] \otimes_k V$ such that

$$\phi \otimes k[x] k[x_{-1}] = \sigma^{(0)}.$$ 

This is impossible since $x_{-1}$ is not contained in $k[x]$. It can be shown (see [4.3]) that this $-1$-stratified bundle “arises” from the non-trivial $\alpha_p$-torsor on $\mathbb{A}_k^1$ defined by the relative Frobenius of $\mathbb{A}_k^1$.

Theorem 3.4. The notation is as in Notation 3.1

1) For every integer $t \geq 0$, Strat$(X,t)$ is a $k$-linear, abelian, rigid, tensor category.

2) The functor

$$(+) : \text{Strat}(X,t) \subset \text{Strat}(X, t+1),$$

$$(E_i, \sigma_0, \sigma_i, i \geq 1) \mapsto (E_i, F^{(-t-1)}*\sigma_0, \sigma_i, i \geq 1)$$

induces a full faithful embedding of $k$-linear, abelian, rigid, tensor categories.

3) If $x \in X(k)$ is a rational point, the functor

$$\omega_x : \text{Strat}(X,t) \to \text{Vec}_k,$$

$$(E^{(i)}, \sigma^{(i)}) \mapsto E_0|_{x}$$

is a fiber functor, which makes $(\text{Strat}(X,t), \omega_x)$ a Tannaka category.

Proof. We show 1). Since Strat$(X,0) = \text{Strat}(X)$, we assume $t > 0$. If $(E^{(i)}, \sigma^{(i)}, i \in \mathbb{N})$ is an object in Strat$(X,t)$, then $(E_+^{(i)} = E^{(i+1)}, \sigma_+^{(i)} = \sigma^{(i+1)}, i \in \mathbb{N})$ is an object Ver$(E^{(i)}, \sigma^{(i)}, i \in \mathbb{N}) \in \text{Strat}(X^{(1)})$. Since $E^{(i)}$ is locally free, by the isomorphism $\sigma^{(0)}$, $F^{(-1,0)}*E^{(0)}$ is locally free. Since $X$ is smooth, the relative Frobenius is flat; thus by flat descent, $E^{(0)}$ is locally free as well. So Strat$(X)$ is rigid and monoidal. On the other hand,

$$(3.1) \quad \text{Hom}((D^{(i)}, \tau^{(i)}, i \in \mathbb{N}), (E^{(i)}, \sigma^{(i)}, i \in \mathbb{N}))$$

$$\subset \text{Hom}(\text{Ver}(D^{(i)}, \tau^{(i)}, i \in \mathbb{N}), \text{Ver}(E^{(i)}, \sigma^{(i)}, i \in \mathbb{N}))$$

and is obviously a $k$-vector space. So the Hom-sets are finite dimensional $k$-vector spaces. Moreover, any morphism $f = (f^{(i)}, i \in \mathbb{N})$ is such that $f^i, i \geq 1$, is a
morphism of vector bundles. Thus by the isomorphisms \( \tau^{(0)} \) and \( \sigma^0 \), \( \text{Ker} \), \( \text{Im} \) and \( \text{Coker} \) of \( f^{(0)} \) are pulled back to vector bundles on \( X^{(-t)} \) via \( F^{(-t,0)} \). Thus by flat descent again, there are vector bundles on \( X \). We conclude that \( \text{Strat}(X,t) \) is an abelian category. This shows 1).

2) follows immediately from the factorization of \( (3.1) \) through \( (+) \).

We show 3): the point \( x \in X(k) \) maps to \( x^{(1)} \in X^{(1)}(k) \), and the map \( x \to x^{(1)} \) is the identity on the residue fields \( k(x) = k(x^{(1)}) = k \). If \( 0 \to A \to B \to C \to 0 \) is an exact sequence in \( \text{Strat}(X,t) \), then \( 0 \to \text{Ver}(A) \to \text{Ver}(B) \to \text{Ver}(C) \to 0 \) is an exact sequence in \( \text{Strat}(X^{(1)}) \). Thus \( 0 \to \omega_x(\text{Ver}(A)) \to \omega_x(\text{Ver}(B)) \to \omega_x(\text{Ver}(C)) \to 0 \) is an exact sequence in \( \text{Vec}_k \). But

\[
(3.2) \quad \omega_x(\text{Ver}(A)) = \omega_x(A).
\]

This shows that \( \omega_x \) is exact. Furthermore, \( \omega_x \) is obviously \( k \)-linear and compatible with the tensor structure. This finishes the proof.

**Corollary 3.5.** Let the notation be as in Theorem 3.4. The category

\[
\text{Strat}(X,\infty) = \lim_{+t \in \mathbb{N}} \text{Strat}(X,t)
\]

is a \( k \)-linear, abelian, rigid tensor category on which, if \( X \) has a rational point \( x \in X(k) \), the functor \( \omega_x \) is a fiber functor.

**Definition 3.6.** The notation is as in Theorem 3.4

1) We define \( \pi^{al\kappa}(X,x) \) to be the Tannaka \( k \)-group scheme \( \text{Aut}^\otimes(\omega_x) \) of \( (\text{Strat}(X),\omega_x) \).

2) We define \( \pi^{al\kappa,\infty}(X,x) \) to be the Tannaka \( k \)-group scheme \( \text{Aut}^\otimes(\omega_x) \) of \( (\text{Strat}(X,\infty),\omega_x) \).

The functor \( (+) : \text{Strat}(X) \to \text{Strat}(X,\infty) \) defines the homomorphism

\[
(+)^* : \pi^{al\kappa,\infty}(X,x) \to \pi^{al\kappa}(X,x).
\]

**Lemma 3.7.** The homomorphism \( (+)^* \) in \( (3.3) \) is faithfully flat.

**Proof.** We apply [2, Proposition 2.21]. As \( (+) \) is fully faithful, the lemma is equivalent to saying that if \( A \) is an object on \( \text{Strat}(X) \) and \( B \subset (+)A \) is a subobject in \( \text{Strat}(X,\infty) \), then there is a subobject \( B' \subset A \) in \( \text{Strat}(X) \) such that \( B = (+)B' \).

One has that \( \text{Ver}(B) \subset \text{Ver}(A) \) is a subobject in \( \text{Strat}(X^{(1)}) \). Thus \( F^{(0)}\ast B^{(1)} \subset A^{(0)} \) is a subvector bundle with the property that \( F^{(-t,0)}\ast F^{(0)}\ast B^{(1)} = F^{(-t,1)}\ast B^{(1)} \). Thus \( B' = (F^{(0)}\ast B^{(1)}, B^{(i)}, i \geq 1, F^{(0)}\ast \sigma^{(i)}, i \geq 1) \subset A \) is a subobject of \( A \) such that \( (+)B' = B \). This finishes the proof.

4. Comparison of \( \pi^{al\kappa,\infty}(X,x) \) with \( \pi^{N}(X,x) \)

In order to achieve the comparison, we start with a construction.

**Construction 4.1.** The notation is as in Notation 3.1 and \( x \in X(k) \) is a rational point. Let \( (h : Y \to X,G,y) \) be an object of \( N(X,x) \). Using this object, we construct a tensor functor

\[
h^* : \text{Rep}_k(G) \to \text{Strat}(X,\infty)
\]
together with a factorization of functors

\[
\begin{array}{ccc}
\text{Rep}_k(G) & \xrightarrow{h^*} & \text{Strat}(X, \infty) \\
\downarrow F_G & & \downarrow \omega_x \\
\text{Vec}_k.
\end{array}
\]

Here \(F_G : \text{Rep}_k(G) \to \text{Vec}_k\) is the forgetful functor.

Recall that if \(G\) is a finite \(k\)-group-scheme, there is an exact sequence of finite \(k\)-group schemes \(1 \to G_0 \to G \to G_{\text{et}} \to 1\), where \(G_0\) is the 1-component of \(G\) and \(G_{\text{et}}\) is étale. Furthermore, as \(k\) is perfect, \(G_{\text{red}} \subset G\) is a closed subgroup-scheme and the composite \(G_{\text{red}} \to G \to G_{\text{et}}\) is an isomorphism. Thus \(\iota\) yields on \(G\) the structure of a semi-direct product of \(G_{\text{et}}\) by \(G_0\). The construction of \(h^*\) will be such that the image of \(h^*\) is contained in \(\text{Strat}(X,t)\), where \(t\) is a natural number such that the image of the \(k\)-group-scheme homomorphism \(G^{(-t)} \to G\) is equal to \(G_{\text{et}}\).

Let \(V\) be a finite dimensional \(k\)-representation of \(G\). We set

\[
(4.1) \quad E^{(0)} = h^#(V).
\]

For \(i \in \mathbb{N} \setminus \{0\}\), the relative Frobenius is an isomorphism of the étale \(k\)-group-schemes

\[
(4.2) \quad F^{(0,i)} : G_{\text{et}} \xrightarrow{\cong} G_{\text{et}}^{(i)}.
\]

Thus \(\iota(G) \circ F^{(0,i)-1} : G_{\text{et}}^{(i)} \subset G\) is a closed embedding, and composing with it defines a \(G_{\text{et}}^{(i)}\)-action on \(V\). Since \(h : Y \to X\) is a \(G\)-torsor, for \(i \geq 0\), \(h^{(i)} : Y^{(i)} \to X^{(i)}\) is also a \(G^{(i)}\)-torsor. Let \(h_{\text{et}}^{(i)} : Y_{\text{et}}^{(i)} \to X^{(i)}\) be the induced \(G_{\text{et}}^{(i)}\)-torsor obtained by moding out by \(G_0^{(i)}\). We define

\[
(4.3) \quad E^{(i)} = (h_{\text{et}}^{(i)})^#(V).
\]

One has

\[
(4.4) \quad \sigma^{(i)} : E^{(i)} \cong F^{(i)*} E^{(i+1)}, \quad i \in \mathbb{N} \setminus \{0\}.
\]

The object \(h^*(V) \in \text{Strat}(X,t)\) which we wish to construct will have the property

\[
(4.5) \quad \text{Ver}(h^*(V)) = (E^{(i)}, \sigma^{(i)}, i \geq 1).
\]

It remains to define \(\sigma^{(0)}\). By definition,

\[
(4.6) \quad F^{(0)*} E^{(1)} = (h_{\text{et}}^{(0)})^#(V) = (h_{\text{et}})^#(V).
\]

Let \(t\) be a natural number such that the image of \(G^{(-t)} \to G\) is equal to \(G_{\text{et}}\). One has the following commutative diagram of \(k\)-varieties:

\[
(4.7) \quad \begin{array}{ccc}
Y^{(-t)} & \xrightarrow{F^{(-t)}} & Y \\
\downarrow \exists ! \lambda & & \downarrow \exists ! \lambda \\
Y_{\text{et}}^{(-t)} & \xrightarrow{F^{(-t)}} & Y_{\text{et}} \\
\downarrow h^{(-t)} & & \downarrow h \\
X^{(-t)} & \xrightarrow{F^{(-t)}} & X
\end{array}
\]
The morphism $F^{(-t,0)} : Y^{(-t)} \to Y$ is equivariant under $F^{(-t,0)} : G^{(-t)} \to G$. Likewise, the morphism $F^{(-t,0)} : Y_{\text{ét}}^{(-t)} \to Y_{\text{ét}}$ is equivariant under $F^{(-t,0)} : G_{\text{ét}}^{(-t)} \to G_{\text{ét}}$. The commutativity of the diagram implies that

\begin{equation}
\lambda^*(O_Y \otimes_k V) = F^{(-t,0)*}(O_{Y_{\text{ét}}} \otimes_k V) = F^{(-t,1)*}(O_{Y_{\text{ét}}}^{(1)} \otimes_k V)
\end{equation}

equivariantly for the action of $G_{\text{ét}}^{(-t)}$. Thus

\begin{equation}
(h_{\text{ét}}^{(-t)})^*(V) = F^{(-t,0)*}E^{(0)} = F^{(-t,1)*}E^{(1)}.
\end{equation}

We define $\sigma^{(0)} : F^{(-t,0)*}E^{(0)} = F^{(-t,1)*}E^{(1)}$ to be the equality of (4.10).

Thus, starting with $V \in \text{Rep}_k(G)$, we have constructed an object $h^*(V) = (E^{(i)}, \sigma^{(i)}, i \in \mathbb{N}) \in \text{Strat}(X,t)$. Clearly, any $\phi \in \text{Hom}_{\text{Rep}_k(G)}(V,W)$ induces $h^*(\phi) \in \text{Hom}_{\text{Strat}(X,t)}(h^*(V),h^*(W))$. This defines the functor

\begin{equation}
h^* : \text{Rep}_k(G) \to \text{Strat}(X,\infty)
\end{equation}

by composing with $(+)$. Moreover, one has

\begin{equation}
h^*(V)_x = (O_Y \otimes_k V)_y = V.
\end{equation}

This shows the commutativity of (4.11).

**Remark 4.2.** In the above construction we use the fact that for a finite flat group scheme $G$ over a perfect field $k$, the epimorphism $G \to G_{\text{red}}$ admits a section (necessarily unique). In other words $G_{\text{red}}$ can be canonically thought of as a subgroup scheme of $G$ via the identification $G_{\text{red}} = G_{\text{ét}}$. When $k$ is not a perfect field, $G_{\text{red}}$ may not be a subgroup scheme (for example, $G = \text{Spec} \,(k[t]/(tp^2 - at^p))$, $a \in k \setminus k^p$; see [8], Chapter III, Exercise (3.2))] and the above construction of $h^*$ does not make sense. This is the reason why we assume throughout that $k$ be perfect. We thank Nguyễn Duy Tấn for this important remark.

**Example 4.3.** Let $p = \text{char}(k) = 2$ for simplicity and let $G = \alpha_2 = \text{Spec} \,(k[t]/(t^2))$. Let $X = \mathbb{A}_k^1 = \text{Spec} \,(k[x])$. Let $P = \text{Spec} \,(k[u])$ and $h : P \to X$ be the relative Frobenius defined by $x \to u^2$. Then $h$ is a $G$-torsor. Thus by Construction 4.1 one has a functor

\begin{equation}
h^* : \text{Rep}_k(G) \to \text{Strat}(X,-1).
\end{equation}

We now compute that $h^*(k[G])$ is nothing but the $-1$-stratified bundle defined in Example 3.3. Here $k[G] = k[v]/(v^2)$ is the regular representation of $G$. As in Example 3.3, let $X^{(i)} = k[x_i]$. Let $h^*(k[G]) = (E^{(i)}, \sigma^{(i)}, i \in \mathbb{N})$. As all schemes are affine, we confuse coherent sheaves with corresponding modules. Since $G_{\text{ét}}$ is trivial, by definition of $h^*$ we see that

\begin{equation}
E^{(i)} = k[x_i] \otimes_k k[v]/(v^2) \quad \forall \ i \geq 1
\end{equation}

with

\begin{equation}
\sigma^{(i)} : E^{(i)} \to F^{(i)*}E^{(i+1)}, \quad i \geq 1,
\end{equation}

induced by the identity map on $k[v]/(v^2)$. Then $E^{(0)}$ is by definition the $k[x]$-module of invariants of $k[u] \otimes_k k[v]/(v^2)$, where the action of $G = \text{Spec} \,(k[t]/(t^2))$ is defined by

\begin{equation}
u \to u + t, \quad v \to v + t.
\end{equation}

Since $(u + v)^2 = u^2$, one has $E^{(0)} = k[x] \cdot 1 \oplus k[x] \cdot (u+v)$. On $P$ we have an identification

\begin{equation}h^* E^{(0)} = k[u] \otimes_k k[v]/(v^2)\end{equation}
defined by \( \tau : 1 \mapsto 1 \otimes 1, u + v \mapsto u \otimes 1 + 1 \otimes v \). The map \( \sigma^{(0)} \) is nothing but the pull back of \( \tau \) via the isomorphism \( X^{(-1)} \to P \) defined by

\[
 k[u] \to k[x_{-1}], \quad u \to x_{-1}.
\]

We thus see that

\[
 \sigma^{(0)} : k[x_{-1}] \cdot 1 + k[x_1] \cdot (u + v) \to k[x_{-1}] \otimes k[v]/(v^2)
\]
is defined by \( 1 \mapsto 1 \otimes, (u + v) \mapsto u \otimes 1 + 1 \otimes v \). It is then an elementary exercise to see that the stratified bundle \( h^*(k[G]) \) is isomorphic to the \(-1\)-stratified bundle defined in Example 4.3.

**Lemma 4.4.** The functor \( h^* \) defined in (4.11) is \( k \)-linear, exact, compatible with the tensor structure and faithful.

**Proof.** As already recalled in the Properties (2.3.1), faithfulness follows from the remaining properties. On the other hand, \( k \)-linearity and compatibility with the tensor structures are straightforward. Exactness is proven by using \( \text{Ver} \) as in Theorem 3.4 3). Indeed, \( \text{Ver} \circ h^* \) with values in \( \text{Strat}(X^{(1)}) \) is obviously exact, while a sequence in \( \text{Strat}(X, \infty) \) is exact if and only if it remains exact after applying \( \text{Ver} \).

If \( (h_i : Y_i \to X, G_i, y_i) \) are objects in \( N(X, x) \) for \( i = 1, 2 \) and \( (\psi : Y_1 \to Y_2, \phi : G_1 \to G_2, y_1 \to y_2) \) is a morphism in \( N(X, x) \), then Property 2.3 3) implies that \( h_2^* = h_1^* \circ \phi^* \). On the other hand, the projective system of \( \phi \) in \( N(X, x) \) induces an inductive system \( \lim_{N(X, x)} \text{Rep}_k(G) \) which is a Tannaka category, with the forgetful functor \( F_G \) as the fiber functor. The Tannaka \( k \)-group-scheme \( \text{Aut}^\otimes(F_G) \) is simply \( \lim_{N(X, x)} G \), which is precisely Nori’s fundamental group-scheme \( \pi^N(X, x) \).

As in addition the construction is obviously functorial in \( h \), we conclude:

**Theorem 4.5.** Let the notation be as in Construction 4.1. The functor \( h^* \) defined in (4.11) for one object \( (h : Y \to X, G, y) \) of \( N(X, x) \) induces a functor of Tannakian categories

\[
 h^* : \left( \lim_{N(X, x)} \text{Rep}_k(G), F_G \right) \to \left( \text{Strat}(X, \infty), \omega_x \right)
\]

and the Tannaka-dual homomorphism of \( k \)-group-schemes

\[
 h^{*V} : \pi^\text{alg,}\infty(X, x) \to \pi^N(X, x),
\]

which is functorial in \( X \).

The aim of the rest of the section is to show that the homomorphism \( h^{*V} \) is faithfully flat and induces the profinite quotient homomorphism.

**Proposition 4.6.** Let \( (Y \leftarrow h : X, G, y) \) be an object of \( N(X, x) \). The following conditions are equivalent:

1. The induced map \( \pi^\text{alg,}\infty(X, x) \to G \) (see (4.11)) is an epimorphism.
2. The induced map \( \pi^N(X, x) \to G \) is an epimorphism.
3. The functor \( h^* \) is fully faithful, and its image is closed under taking subquotients in \( \text{Strat}(X, \infty) \).
Proof. The equivalence (1) ⇔ (3) follows from [2] Proposition 2.21. Moreover, since by construction the map $\pi^{alg, \infty}(X, x) \to G$ factors through $\pi^N(X, x)$, (1) \(\Rightarrow\) (2) is obvious.

We show (2) \(\Rightarrow\) (3). Let $C$ denote the full subcategory of $\text{Strat}(X, \infty)$ generated by subquotients in $\text{Strat}(X, \infty)$ of objects which are in the image of $h^* : \text{Rep}_k(G) \to \text{Strat}(X, \infty)$. Property 3) is equivalent to saying that $h^* : \text{Rep}_k(G) \to C$ is an equivalence of categories. By standard Tannaka formalism, $C$ itself is a $k$-linear, abelian, rigid tensor subcategory of $\text{Strat}(X, \infty)$. Property 3) is equivalent to saying that every object of $C$ is a subquotient in $C$ of objects in $h^*(\text{Rep}_k(G))$. By definition of $C$, subquotient in $C$ of objects in $h^*(\text{Rep}_k(G))$ is the same as a subquotient in $\text{Strat}(X, \infty)$ of objects in $h^*(\text{Rep}_k(G))$.

We now show that $h^* : \text{Rep}_k(G) \to C$ is an equivalence of categories. Let $H = \text{Aut}(\rho_x)$ be the Tannaka $k$-group-scheme of $(C, \rho_x)$. We claim that the induced homomorphism $H \to G$ is a closed immersion. This is equivalent ([2] Proposition 2.21) to saying that every object of $C$ is a subquotient in $C$ of an object in $h^*(\text{Rep}_k(G))$, which is true since by definition of $C$ a subquotient in $C$ of objects in $h^*(\text{Rep}_k(G))$ is the same as a subquotient in $\text{Strat}(X, \infty)$ of objects in $h^*(\text{Rep}_k(G))$.

We conclude in particular that $H$ is a finite group-scheme.

The fiber functor (in the sense of Deligne [1, 1.9]; see Properties 2.3) $\omega_X : \text{Strat}(X, \infty) \to \text{Coh}(X)$ defined by $(E_i, \sigma_i, i \in \mathbb{N}) \mapsto E_0$ restricts to the fiber functor $\rho_X : C \to \text{Coh}(X)$. One has a commutative diagram of functors

$$\begin{array}{ccc}
\text{Rep}_k(G) & \xrightarrow{h^*} & C \\
\downarrow h^\# & & \downarrow \rho_X \\
\text{Coh}(X) & \leq & \\
\end{array}$$

and, upon applying $i_x$, (4.11) implies that $i_x \circ h^\# = F_G$. By applying Theorem 2.4, we obtain a morphism

$$\begin{array}{ccc}
(h_H : Y_H \to X, H, y_H) & \to (h : Y \to X, G, y) \\
\end{array}$$

in $\text{N}(X, x)$. This in turn induces a factorization of $\pi^N(X, x) \to G$ as

$$\begin{array}{ccc}
\pi^N(X, x) & \longrightarrow & G \\
\downarrow & & \downarrow H \\
H & \leq & \\
\end{array}$$

But $\pi^N(X, x) \to G$ is assumed to be an epimorphism. Thus $H \to G$ must be an epimorphism. Since it is also a closed immersion, we conclude that

$$H \cong G.$$

In other words,

$$h^* : \text{Rep}_k(G) \leq C.$$

This finishes the proof. \qed

Recall that $k$ is perfect.

Lemma 4.7. Let $G$ be a finite $k$-group-scheme, and let $h : Y \to X$ be a $G$-torsor. Then the following conditions are equivalent:

(i) $h$ admits a reduction (necessarily unique) of structure group to $G_{\text{red}} = G_{\text{et}} \subset G$. 

Proof. The equivalence (1) ⇔ (3) follows from [2] Proposition 2.21. Moreover, since by construction the map $\pi^{alg, \infty}(X, x) \to G$ factors through $\pi^N(X, x)$, (1) \(\Rightarrow\) (2) is obvious.

We show (2) \(\Rightarrow\) (3). Let $C$ denote the full subcategory of $\text{Strat}(X, \infty)$ generated by subquotients in $\text{Strat}(X, \infty)$ of objects which are in the image of $h^* : \text{Rep}_k(G) \to \text{Strat}(X, \infty)$. Property 3) is equivalent to saying that $h^* : \text{Rep}_k(G) \to C$ is an equivalence of categories. By standard Tannaka formalism, $C$ itself is a $k$-linear, abelian, rigid tensor subcategory of $\text{Strat}(X, \infty)$. Property 3) is equivalent to saying that every object of $C$ is a subquotient in $C$ of objects in $h^*(\text{Rep}_k(G))$.

We now show that $h^* : \text{Rep}_k(G) \to C$ is an equivalence of categories. Let $H = \text{Aut}(\rho_x)$ be the Tannaka $k$-group-scheme of $(C, \rho_x)$. We claim that the induced homomorphism $H \to G$ is a closed immersion. This is equivalent ([2] Proposition 2.21) to saying that every object of $C$ is a subquotient in $C$ of an object in $h^*(\text{Rep}_k(G))$, which is true since by definition of $C$ a subquotient in $C$ of objects in $h^*(\text{Rep}_k(G))$ is the same as a subquotient in $\text{Strat}(X, \infty)$ of objects in $h^*(\text{Rep}_k(G))$.

We conclude in particular that $H$ is a finite group-scheme.

The fiber functor (in the sense of Deligne [1, 1.9]; see Properties 2.3) $\omega_X : \text{Strat}(X, \infty) \to \text{Coh}(X)$ defined by $(E_i, \sigma_i, i \in \mathbb{N}) \mapsto E_0$ restricts to the fiber functor $\rho_X : C \to \text{Coh}(X)$. One has a commutative diagram of functors

$$\begin{array}{ccc}
\text{Rep}_k(G) & \xrightarrow{h^*} & C \\
\downarrow h^\# & & \downarrow \rho_X \\
\text{Coh}(X) & \leq & \\
\end{array}$$

and, upon applying $i_x$, (4.11) implies that $i_x \circ h^\# = F_G$. By applying Theorem 2.4, we obtain a morphism

$$\begin{array}{ccc}
(h_H : Y_H \to X, H, y_H) & \to (h : Y \to X, G, y) \\
\end{array}$$

in $\text{N}(X, x)$. This in turn induces a factorization of $\pi^N(X, x) \to G$ as

$$\begin{array}{ccc}
\pi^N(X, x) & \longrightarrow & G \\
\downarrow & & \downarrow H \\
H & \leq & \\
\end{array}$$

But $\pi^N(X, x) \to G$ is assumed to be an epimorphism. Thus $H \to G$ must be an epimorphism. Since it is also a closed immersion, we conclude that

$$H \cong G.$$

In other words,

$$h^* : \text{Rep}_k(G) \leq C.$$

This finishes the proof. \qed

Recall that $k$ is perfect.

Lemma 4.7. Let $G$ be a finite $k$-group-scheme, and let $h : Y \to X$ be a $G$-torsor. Then the following conditions are equivalent:

(i) $h$ admits a reduction (necessarily unique) of structure group to $G_{\text{red}} = G_{\text{et}} \subset G$. 

(ii) For every natural number $n$, there is a $G$-torsor $h_n : Y_n \to X^{(n)}$ which pulls back via $X \xrightarrow{F^{(0,n)}} X^{(n)}$ to $h$.

Proof. We show (i) $\Rightarrow$ (ii). Let $h_{\text{ét}} : Y_{\text{ét}} \to X$ be a $G_{\text{ét}}$-torsor which is a reduction of structure of $h$ for the closed embedding $G_{\text{ét}} \subset G$. Thus $Y = Y_{\text{ét}} \times_{G_{\text{ét}}} G$. The isomorphism \[Y \simeq (Y_{\text{ét}})^{(n)} \otimes_{F^{(n,0)}} F^{(0,n)} \otimes_{F^{(n,0)}} F_{k} \] induces a cartesian diagram

\[
\begin{array}{ccc}
Y_{\text{ét}} & \xrightarrow{F^{(0,n)}} & (Y_{\text{ét}})^{(n)} \\
\downarrow h_{\text{ét}} & & \downarrow (h_{\text{ét}})^{(n)} \\
X & \xrightarrow{F^{(0,n)}} & X^{(n)}
\end{array}
\]

We set $Y_n = (Y_{\text{ét}})^{(n)} \times_{G_{\text{ét}}} G$ and $h_n = (h_{\text{ét}})^{(n)} \times_{G_{\text{ét}}} G$.

We show (ii) $\Rightarrow$ (i). For a large enough positive integer $n$, we consider the commutative diagram similar to \[\text{Diagram 4.8}]:

\[
\begin{array}{ccc}
Y_n^{(-n)} & \xrightarrow{\gamma} & Y_n \\
\downarrow & & \downarrow \\
Y_n^{(-n)}_{\text{ét}} \quad h_n & \quad & Y_n^{(-n)}_{\text{ét}} \quad X^{(n)}
\end{array}
\]

We explain the terms in the diagram: with Notation 3.1 one has $Y_n^{(-n)} = Y_n \otimes_{F^{(n,0)}} k$. Thus $h_n$ induces $h_n \otimes_{F^{(n,0)}} k : Y_n^{(-n)} \rightarrow (X^{(n)})^{(-n)} = X$, which is a principal $G^{(-n)}$-bundle. The top horizontal map $\gamma$ is equivariant with respect to $G^{(-n)} \xrightarrow{F^{(-n,0)}} G$. Since $n$ is large, the image of $G^{(-n)} \rightarrow G$ is precisely $G_{\text{ét}} \subset G$. Therefore, $\gamma$ factors uniquely through $(Y_n^{(-n)})_{\text{ét}}$. Via the identification $G^{(-n)} \xrightarrow{F^{(-n,0)}} G_{\text{ét}}$, the morphism $(Y_n^{(-n)})_{\text{ét}} \rightarrow X^{(n)}$ is a $G_{\text{ét}}$-torsor. The above commutative diagram shows the existence of an equivariant map $(Y_n^{(-n)})_{\text{ét}} \rightarrow Y_n \times_{X^{(n)}} X$. We conclude that the $G$-torsor $Y_n \times_{X^{(n)}} X \rightarrow X$ has a reduction of structure group to $G_{\text{ét}}$. \hfill $\Box$

**Theorem 4.8.** Let the notation be as in Notation 3.1 and let $x \in X(k)$ be a rational point. Then the homomorphism $h^* : \pi^{\text{alg,}\infty}(X,x) \rightarrow \pi^N(X,x)$ is the profinite quotient homomorphism.

Proof. We have already shown in Proposition 4.7 that the homomorphism $h^*$ is surjective. In order to show that $h^*$ is the profinite completion homomorphism, we need to show that any epimorphism

$$\phi : \pi^{\text{alg,}\infty}(X,x) \rightarrow G,$$

where $G$ is a $k$-finite group-scheme, factors through $\pi^N(X,x)$. This is equivalent to showing that given any finite Tannaka subcategory $\mathcal{T} \subset \text{Strat}(X,\infty)$ (i.e. with $G = \text{Aut}^\otimes(\mathcal{T},\rho_x)$ finite), where $\rho_x = \omega_x|_{\mathcal{T}}$, there exists an object $(h : Y \rightarrow X,G,y)$
in $N(X, x)$ such that $\mathcal{T}$ is the image of the functor $h^*$ constructed in (4.11). We do this in two steps.

**Step 1.** For each $n \geq 0$, we consider the fiber functor
\begin{equation}
(4.20) \quad \omega_{X(n)} : \text{Strat}(X, \infty) \to \text{Coh}(X^{(n)}), \quad (E(i), \sigma(i), i \in \mathbb{N}) \mapsto E^{(n)}.
\end{equation}
It restricts to a fiber functor
\[ P_n : \mathcal{T} \to \text{Coh}(X^{(n)}). \]
Let $\delta : \text{Rep}_k(G) \to \mathcal{T}$ be the equivalence of Tannaka categories defined by the inverse functor to the equivalence induced by $\rho_x$. Consider
\[ P_n \circ \delta : \text{Rep}_k(G) \to \text{Coh}(X^{(n)}). \]
By Theorem 2.4 we obtain $G$-torsors $(h_n : Y_n \to X^{(n)})$ for every $n$ such that
\begin{equation}
(4.21) \quad h_n^* = P_n \circ \delta.
\end{equation}
Since the $G$-torsors thus obtained are unique up to isomorphism, the equality
\[ P_n = F^{(n)*} \circ P_{n+1}, \quad \forall \ n \geq 1, \]
implies that the torsor $h_{n+1}$ pulls back to $h_n$. Thus by Lemma 4.7 each $Y_n$ admits a reduction of structure group to $G_{\text{et}} \subset G$ for all $n \geq 1$.

**Step 2.** Composing $\delta$ with the inclusion $\mathcal{T} \hookrightarrow \text{Strat}(X, \infty)$ we obtain a functor from $\text{Rep}_k(G) \to \text{Strat}(X, \infty)$. We also have the functor $h_0^* : \text{Rep}_k(G) \to \text{Strat}(X, \infty)$ (see (4.11)) defined by the $G$-torsor $h_0 : Y_0 \to X$. In order to finish the proof we have to show that these two functors coincide. This is equivalent to saying that the following diagram of functors commutes:
\begin{equation}
(4.22) \quad \begin{array}{ccc}
\text{Rep}_k(G) & \overset{\delta}{\longrightarrow} & \mathcal{T} \\
\downarrow h_0 & & \downarrow \text{incl.} \\
\text{Strat}(X, \infty).
\end{array}
\end{equation}
Let $V$ be an object of $\text{Rep}_k(G)$. We will show that there is an isomorphism between $\iota(V)$ and $h_0^*(V)$, which is functorial in $V$. This will finish the proof. Let $\delta(V) = (\delta(V)^{(n)}, \sigma^{(n)}, n \in \mathbb{N})$ and $h_0(V) = (E^{(n)}, \tau^{(n)}, n \in \mathbb{N})$.

We let $h_{n, \text{et}} : Y_{n, \text{et}} \to X^{(n)}$ be the $G_{\text{et}}$-torsor induced by $h_n$ for $n \geq 1$. Note that by Construction 4.11 of the functor $h_0^*$, one has
\begin{equation}
(4.23) \quad E^{(n)} = h_{n, \text{et}}^*(V) \quad \forall \ n \geq 1 \quad \text{and} \quad E^{(0)} = h_0^*(V).
\end{equation}
On the other hand, by definition of the functors $P_n$,
\[ P_n(\iota(V)) = i(V)^{(n)}. \]
Thus by (4.21), one has
\begin{equation}
(4.24) \quad i(V)^{(n)} = h_n^*(V) \quad \forall \ n \geq 0.
\end{equation}
But as explained before, for every $n \geq 1$, $h_n : Y_n \to X^{(n)}$ admits a reduction of structure group to $G_{\text{et}}$. Thus by Proposition 2.3 (3),
\begin{equation}
(4.25) \quad h_n^*(V) = h_{n, \text{et}}^*(V) \quad \forall \ n \geq 1.
\end{equation}
Thus we conclude that

\[(4.26) \quad i(V) = h^*_0(V). \]

If \( T \) is any \( k \)-linear, abelian, rigid tensor category, together with a neutral fiber functor \( \omega: T \to \text{Vec}_k \), we denote by \( T^\text{fin} \) the full subcategory spanned by objects \( E \) which have the property that the full tensor subcategory \( \langle E \rangle \subset T \) spanned by \( E \) and its dual \( E^\vee \) has a finite Tannaka group scheme \( \text{Aut}^\otimes(\langle E \rangle, \omega|_{\langle E \rangle}) \). So by construction, Theorem 4.8 has the following consequence:

**Corollary 4.9.** With the notation as in Theorem 4.8 the full embedding

\[ \text{Strat}(X, x)^\text{fin} \subset \text{Strat}(X, x) \]

induces via the fiber functor \( \omega_x \) the quotient homomorphism

\[ \pi_{\text{alg}, \infty}(X, x) \to \pi^N(X, x). \]

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**References**


Department of Mathematics, Universität Duisburg-Essen, 45117 Essen, Germany

E-mail address: esnault@uni-due.de

School of Mathematics, Tata Institute of Fundamental Research, Homi Bhabha Road, Colaba, Mumbai 400005, India

E-mail address: amit@math.tifr.res.in