

# COMPOSITIO MATHEMATICA

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*Compositio Mathematica*, tome 63, n° 3 (1987), p. 273-290

[http://www.numdam.org/item?id=CM\\_1987\\_\\_63\\_3\\_273\\_0](http://www.numdam.org/item?id=CM_1987__63_3_273_0)

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## The factoriality of Zariski rings

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Received 10 November 1986; accepted 19 February 1987

### Introduction

Let  $k$  be an algebraically closed field of characteristic  $p \neq 0$ ,  $g \in k[x, y]$  be such that  $g_x$  and  $g_y$  have no common factors in  $k[x, y]$ ,  $E \subset A_k^3$  be the surface defined by the equation  $z^p = g(x, y)$  and  $A = k[x^p, y^p, g]$ . In previous articles (see [1], [3] and [13])  $E$  was called a Zariski surface and attempts were made to find generic conditions on  $g$  that would force the coordinate ring of  $E$  to be factorial. These papers used the fact that the coordinate ring of  $E$  is isomorphic to  $A$  and some partial results were obtained.

In this article the divisor class group of these surfaces is investigated from a slightly different angle. Let  $F$  be a non-algebraically closed field of characteristic  $p \neq 0$ . Let  $\bar{F}$  be an algebraic closure of  $F$ . Given  $g$  in  $\bar{F}[x, y]$  let  $F_g$  be the field extension of  $F$  obtained by adjoining the coefficients of  $g$  to  $F$ . This paper investigates the relationship between the singular points of the surface  $z^p = g(x, y)$  in  $k^2$  and the divisor class group of the ring  $F_g[x^p, y^p, g]$ .

After some preliminary results in Section 1, Zariski rings are discussed in Section 2. In this section singularity conditions affecting the order of the divisor class group of a Zariski ring are presented.

Some general facts about Zariski rings appear in Section 3.

In Section 4, the main section of the article, the fact that for  $p > 3$ , Zariski rings are factorial for a generic choice of  $g$  is proved by showing that for a generic  $g$ , the class group of the surface  $z^p = g$  is trivial.

Section 5 closes this article with a theorem about logarithmic derivatives of the Jacobian derivation and some open problems.

### 0. Notation

- (0.1)  $GF(p^n)$  – the finite field with  $p^n$  elements.
- (0.2)  $F$  – a field of characteristic  $p \neq 0$ .
- (0.3)  $\bar{F}$  – an algebraic closure of  $F$ .

- (0.4) For  $g \in \bar{F}[x, y]$  we denote by  $F_g$  the field extension of  $F$  obtained by adjoining to  $F$  the coefficients of  $g$ .
- (0.5) For  $g \in \bar{F}[x, y]$  we denote by  $A_g$  the ring  $F_g[x^p, y^p, g]$ . We call these rings **Zariski rings**.
- (0.6) If  $A$  is a Krull ring we denote by  $Cl(A)$  the divisor class group of  $A$ .
- (0.7) Surface-irreducible, reduced, two dimensional quasiprojective variety over an algebraically closed field.
- (0.8) If  $E$  is a surface we denote by  $Cl(E)$  the divisor class group of the coordinate ring of  $E$ .
- (0.9)  $k$  – an algebraically closed field of characteristic  $p \neq 0$ .
- (0.10)  $A_k^n$  – affine  $n$ -space over  $k$ .
- (0.11)  $k^n$  – the set of all  $n$ -tuples of elements of  $k$ .
- (0.12) For  $g \in k[x, y]$  we let  $S_g = \{(\alpha, \beta) \in k^2: g_x(\alpha, \beta) = g_y(\alpha, \beta) = 0\}$ .

## 1. Preliminaries

The following results, (1.1) to (1.4), can be found in P. Samuel's 1964 Tata notes [17]. For the definition of a Krull ring the reader is referred to either Samuel's notes or R. Fossum's book, "The Divisor Class Group of a Krull Domain" [5]. All of the rings considered in this paper are noetherian integrally closed domains and are therefore Krull rings.

**THEOREM 1.1.** *Let  $A \subset B$  be Krull rings. If each height one prime of  $B$  contracts to a prime of height less than or equal to one of  $A$  then there is a well defined group homomorphism  $\phi: Cl(A) \rightarrow Cl(B)$ . If  $B$  is integral over  $A$  or if  $B$  is  $A$ -flat then this condition is satisfied. (See [17] pp. 19–20 for details.)*

**REMARK 1.2.** Let  $B$  be a Krull ring of characteristic  $p \neq 0$ . Let  $\Delta$  be a derivation of the quotient field of  $B$  such that  $\Delta(B) \subset B$ . Let  $K = \ker \Delta$  and  $A = B \cap K$ . Then  $A$  is a Krull ring with  $B$  integral over  $A$ . Thus by (1.1) there is a well-defined map  $\phi: Cl(A) \rightarrow Cl(B)$ . Set  $\mathcal{L} = \{t^{-1}\Delta t: t \text{ belongs to the quotient field of } B \text{ and } t^{-1}\Delta t \in B\}$  and  $\mathcal{L}' = \{u^{-1}\Delta u: u \text{ is a unit in } B\}$ . Then  $\mathcal{L}'$  is a subgroup of  $\mathcal{L}$ .

**THEOREM 1.3.**

- (a) *There exists a canonical homomorphism  $\bar{\phi}: \ker \phi \rightarrow \mathcal{L}/\mathcal{L}'$ .*
- (b) *If  $L$  is the quotient field of  $B$  and  $[L:K] = p$  and  $\Delta(B)$  is not contained in any height one prime of  $B$ , then  $\bar{\phi}$  is an isomorphism ([17] pp. 63–64).*

**THEOREM 1.4.** *If  $[L:K] = p$ , then*

- (a) *there exists an  $\alpha \in A$  such that  $\Delta^p = \alpha\Delta$  and*
- (b) *an element  $t \in K$  is equal to  $Dv/v$  for some  $v \in K$  if and only if  $\Delta^{p-1}t - \alpha t = -t^p$  ([17] pp. 63–64.).*

**REMARK 1.5.** These results, (1.6) and (1.8) are to be found in [11] pages 394–395. These theorems assume that  $F$  is a field of characteristic  $p \neq 0$ ,  $g(x, y) \in F[x, y]$  is such that  $g_x$  and  $g_y$  have no common factors in  $\bar{F}[x, y]$ .

**THEOREM 1.6.** (*Ganong’s Formula*) *Let  $D: F(x, y) \rightarrow F(x, y)$  be the  $F$  derivation defined by  $D = g_y(\partial/\partial x) - g_x(\partial/\partial y)$ . Then for each  $\alpha \in F(x, y)$ ,*

$$D^{p-1}\alpha - c\alpha = - \sum_{j=0}^{p-1} g^j \nabla(g^{p-j-1}\alpha)$$

where  $D^p = cD$  and  $\nabla = \partial^{2p-2}/\partial x^{p-1}\partial y^{p-1}$ .

**REMARK 1.7.** In [11] the writer proved this result for the case  $\deg(g_x) = \deg(g) - 1$ . In [16] Stöhr and Voloch proved this formula in general.

**THEOREM 1.8.** *Let  $D = g_y(\partial/\partial x) - g_x(\partial/\partial y)$ . Let  $\mathcal{L}$  be the additive group of logarithmic derivatives of  $D$  in  $F[x, y]$  (See (1.2).) and  $A = F[x^p, y^p, g]$ . Then*

- (i)  $D^{-1}(0) \cap F[x, y] = A$ ,
- (ii)  $Cl(A) \cong \mathcal{L}$ ,
- (iii)  $t \in \mathcal{L}$  implies that  $\deg t \leq \deg(g) - 2$ ,
- (iv) *The coordinate ring of the surface defined by  $z^p = g(x, y)$  is isomorphic to  $A \otimes \bar{F}$ .*

(See [11] pp. 393–394.)

## 2. Singularity conditions on Zariski rings

**REMARK 2.1.** A surface in affine 3-space defined by an equation of the form  $z^p = g(x, y)$  with only a finite number of isolated singularities is called a Zariski surface, where the ground field is algebraically closed of characteristic  $p \neq 0$ . The coordinate ring of such a surface is isomorphic to  $k[x^p, y^p, g]$  where  $k$  is the ground field ([11] p. 393). Hereafter, in this paper all rings of the form  $F[x^p, y^p, g]$  where  $F$  is a field, not necessarily algebraically closed, of characteristic  $p \neq 0$  will be referred to as Zariski rings. This section studies Zariski rings defined over non-algebraically closed fields.

An important tool is the following lemma.

LEMMA 2.2. Let  $D : k(x, y) \rightarrow k(x, y)$  be the  $k$ -derivation defined by  $D = g_y(\partial/\partial x) - g_x(\partial/\partial y)$  and  $c$  be such that  $D^p = cD$ . If  $(a, b) \in k^2$  is such that  $g_x(a, b) = g_y(a, b) = 0$ , then  $c(a, b) = (\sqrt{H(a, b)})^{p-1}$  where  $H(x, y) = g_{yy}^2 - g_{xx}g_{yy}$ .

*Proof.* For each  $\alpha \in k(x, y)$ ,

$$D^{p-1}\alpha - c\alpha = - \sum_{i=0}^{p-1} g^i \nabla(g^{p-i-1}\alpha) \tag{2.2.1}$$

by (1.6).

Set  $\alpha = 1$ , then  $c = \sum_{i=0}^{p-1} g^i \nabla(g^{p-i-1})$ .

Let  $\bar{g} = g(x + a, y + b)$  and  $\bar{c} = \sum_{i=0}^{p-1} \bar{g}^i \nabla(\bar{g}^{p-i-1})$ . Then  $\bar{c}(0, 0) = \sum_{i=0}^{p-1} g(a, b)^i \nabla(g^{p-i-1})(a, b) = c(a, b)$ . By Taylor's formula,

$$\begin{aligned} g(x, y) &= g(a, b) + g_{xx}(a, b) \frac{(x - a)^2}{2} + g_{xy}(a, b) (x - a) (y - b) \\ &\quad + g_{yy}(a, b) \frac{(y - b)^2}{2} + (\text{higher degree terms}). \end{aligned}$$

Thus

$$\begin{aligned} \bar{g}(x, y) &= g(a, b) + g_{xx}(a, b) \frac{x^2}{2} + g_{xy}(a, b)xy \\ &\quad + g_{yy}(a, b) \frac{y^2}{2} + (\text{higher degree terms}). \end{aligned}$$

Let  $\bar{g} = \bar{g} - g(a, b)$  and  $\bar{c} = - \sum_{i=0}^{p-1} \bar{g}^i \nabla(\bar{g}^{p-i-1})$ . Since  $(\bar{g})_x = (g)_x$  and  $(\bar{g})_y = (g)_y$ , it follows that  $\bar{c}(x, y) = \bar{c}(x, y)$  and  $\bar{c}(0, 0) = c(a, b)$ . Since  $\bar{g}(0, 0) = 0$  it follows that  $\bar{c}(0, 0) = \nabla(\bar{g}^{p-1})(0, 0)$ . A simple calculation yields that the lowest degree term in  $\bar{g}^{p-1}$  is

$$\left\{ \sum_{i=0}^{(p-1)/2} \binom{p-1}{2i} \binom{2i}{i} g_{xy}^{p-2i-1} \left(\frac{g_{xx}}{2}\right)^i \left(\frac{g_{yy}}{2}\right)^i \right\} (a, b) \cdot x^{p-1} y^{p-1}.$$

Thus the lowest degree term of  $\nabla(\bar{g}^{p-1})$  is the constant term,

$$\sum_{i=0}^{(p-1)/2} (-1)^i \binom{(p-1)/2}{i} g_{xy}^{p-2i-1} (g_{xx}g_{yy})^i.$$

In the previous step a combinatorial identity was used (see [6] page 90, identity z.40). Thus the constant term in  $\nabla(\bar{g}^{p-1})$  is  $(H(a, b))^{(p-1)/2}$ . Therefore  $\nabla(\bar{g}^{p-1})(0, 0) = (\sqrt{H(a, b)})^{p-1}$ .

REMARK 2.3. Let  $F$  be a non-algebraically closed field of characteristic  $p \neq 0$  and  $\bar{F}$  an algebraic closure of  $F$ . For  $g \in \bar{F}[x, y]$ , let  $F_g$  be the field extension of  $F$  obtained by adjoining to  $F$  the coefficients of  $g$ . Throughout the remainder of this article  $g$  will always satisfy two conditions

- (1)  $g_x$  and  $g_y$  have no common factors in  $\bar{F}[x, y]$  and that  $g_x$  and  $g_y$  intersect in the maximum possible number of points in  $\bar{F}^2((n - 1)^2$  if  $n \not\equiv 0 \pmod{p}$ ,  $n^2 - 3n + 3$  otherwise, where  $n = \deg(g)$ ), and
- (2)  $g_x, g_y$  and  $H = g_{xy}^2 - g_{xx}g_{yy}$  are never simultaneously zero at any point in  $\bar{F}^2$  (see [1] for the generic nature of these conditions). The effect of these conditions and others on the divisor class group of  $A_g = F_g[x^p, y^p, g]$  will be explored in the rest of this paper. The assumption will always be made that  $g$  has no monomials of the form  $x^{rp}y^{sp}$ , since  $F_g[x^p, y^p, g] = F_g[x^p, y^p, g + x^{rp}y^{sp}]$ .

THEOREM 2.4. *If the ideal  $I = (g_x, g_y)F_g[x, y] \cap F_g[x]$  in  $F_g[x]$  is prime and if no two points of  $S_g = \{(\alpha, \beta) \in \bar{F}^2 : g_x(\alpha, \beta) = g_y(\alpha, \beta) = 0\}$  have the same  $x$ -coordinate then for each  $(a, b) \in S_g$ , the field degree  $[F_g(a) : F_g]$  equals*

$$\begin{cases} (n - 1)^2; & \text{if } n \not\equiv 0 \pmod{p}, \\ n^2 - 3n + 3; & \text{if } n \equiv 0 \pmod{p}. \end{cases}$$

*Proof.* Consider the case  $n \not\equiv 0 \pmod{p}$ . Let  $f(x)$  be the resultant with respect to  $x$  of  $g_x$  and  $g_y$ . Then  $f(x)$  is of degree  $(n - 1)^2$  and belongs to  $I$  ([15] page 186).  $I$  is a principal ideal generated by a polynomial of degree at least  $(n - 1)^2$ . Therefore  $I = (f(x))$ . If  $(a, b) \in S_g$  then  $f(a) = 0$  which implies that  $[F_g(a) : F_g] = (n - 1)^2$ . The  $n \equiv 0 \pmod{p}$  case is similar.

COROLLARY 2.5. *If  $m = (g_x, g_y)F_g[x, y]$  is a prime ideal in  $F_g[x, y]$  and if no two points of  $S_g$  have the same  $x$ -coordinate or the same  $y$ -coordinate, then  $F_g(a, b) = F_g(a) = F_g(b)$ , for all  $(a, b) \in S_g$ .*

*Proof.* By (2.4) both  $a$  and  $b$  are separable over  $F_g$  of degree equal to the number of elements in  $S_g$ . Then  $F_g(a, b)$  is separable over  $F_g$  of degree equal to the number of  $F_g$ -injections of  $F_g(a, b)$  into  $\bar{F}$  ([15], p. 65). Since each such injection must take an element of  $S_g$  into another element of  $S_g$  it follows that  $[F_g(a, b) : F_g(a)] = [F_g(a, b) : F_g(b)] = 1$ .

**COROLLARY 2.7.** *If no two points of  $S_g$  have the same  $x$  or  $y$  coordinate and both of the ideals  $(g_x, g_y)F_g[x, y] \cap F_g[x]$  and  $(g_x, g_y)F_g[x, y] \cap F_g[y]$  are prime then  $F_g(a) = F_g(b) = F_g(a, b)$ .*

**REMARK 2.8.** Let  $k$  be an algebraically closed field of characteristic  $p \neq 0$  and  $D: k[x, y] \rightarrow k[x, y]$  be defined by  $D = g_y(\partial/\partial x) - g_x(\partial/\partial y)$ . Let  $\mathcal{L}$  be the group of logarithmic derivatives of  $D$  in  $k[x, y]$ . By (1.4) an element  $t \in k[x, y]$  is in  $\mathcal{L}$  if and only if  $D^{p-1}t - ct = -t^p$  where  $D^p = cD$ . It follows that if  $(a, b) \in S_g$ , then  $c(a, b)t(a, b) = t(a, b)^p$ , which by (2.2) implies that  $(t(a, b))^p = (\sqrt{H(a, b)})^{p-1}t(a, b)$ . Since  $H(a, b) \neq 0$  by condition (2), the set of solutions in  $k$  to the polynomial equation  $z^p - (\sqrt{H(a, b)})^{p-1}z = 0$  is isomorphic to  $\mathbb{Z}/p\mathbb{Z}$ . Thus  $\theta: \mathcal{L} \rightarrow \mathbb{Z}/p\mathbb{Z}$  defined by  $\theta(t) = t(a, b)/\sqrt{H(a, b)}$  is a homomorphism of additive groups.

**THEOREM 2.9.** *Let  $g$  satisfy conditions (1) and (2). If  $0 \neq t \in \mathcal{L}$  then  $t(Q) \neq 0$  for at least*

$$\begin{cases} (n - 1)(n - 1 - \deg(t)), & \text{if } n \neq 0 \pmod{p} \\ (n - 1)(n - 2 - \deg(t)) + 1, & \text{if } n = 0 \pmod{p} \end{cases}$$

points  $Q \in S_g$ , where  $n = \deg(g)$ .

*Proof.* Let  $0 \neq t \in \mathcal{L}$ . By condition (1), each irreducible factor of  $t$  in  $k[x, y]$  is relatively prime to either  $g_x$  or  $g_y$ . Therefore  $t$  can be factored in  $k[x, y]$  as  $t = uv$  where  $u$  is relatively prime to  $g_x$  and  $v$  is relatively prime to  $g_y$  (If  $t$  is already prime to  $g_x$  then let  $u = t$  and  $v = 1$ .) Then  $u$  meets  $g_x$  in at most  $(n - 1) \deg(u)$  points and  $v$  meets  $g_y$  in at most  $(n - 1) \deg(v)$  points. Thus  $u$  (resp.  $v$ ) is 0 at most  $(n - 1) \deg(u)$  (resp.  $(n - 1) \deg(v)$ ) points of  $S_g$ . This implies that  $t$  is not 0 for at least

$$\begin{cases} (n - 1)^2 - ((n - 1) \deg(u) + (n - 1) \deg(v)), & \text{if } n \neq 0 \pmod{p} \\ n^2 - n + 3 - ((n - 1) \deg(u) + (n - 1) \deg(v)), & \text{if } n = 0 \pmod{p} \end{cases}$$

points of  $S$ . Since  $\deg(u) + \deg(v) = \deg(t)$  the desired result is obtained.

**COROLLARY 2.10** *Let  $g$  satisfy (1) and (2). If  $0 \neq t \in \mathcal{L}$  then  $t(Q) \neq 0$  for at least  $(n - 1)$  points of  $S_g$  if  $n \neq 0 \pmod{p}$  and for at least one point of  $S_g$  otherwise.*

*Proof.* By (1.8)  $\deg t \leq n - 2$ . The result is now an immediate consequence of (2.9).

**COROLLARY 2.11.** *Let  $g$  satisfy (1) and (2). Then the homomorphism  $\Phi: \mathcal{L} \rightarrow \bigoplus_{Q \in S_g} \mathbb{Z}/p\mathbb{Z} \cdot \sqrt{H(Q)}$  defined by  $\Phi(t) = (t(Q))_{Q \in S_g}$  is an injection.*

**COROLLARY 2.12.** *If  $(g_x, g_y)F_g[x, y] \cap F_g[x]$  is prime in  $F_g[x]$  and if no two points of  $S_g$  have the same  $x$ -coordinate then the restriction of  $\theta: \mathcal{L} \rightarrow \mathbb{Z}/p\mathbb{Z}$  to  $\mathcal{L}_g = \mathcal{L} \cap F_g[x, y]$  is an injection.*

*Proof.* For  $t \in \mathcal{L}_g$ ,  $\theta(t) = t(a, b)$  where  $(a, b) \in S_g$ . Suppose that  $\theta(t) = 0$ . Let  $(a', b') \in S_g$ . As in the proof of (2.5) there exists an  $F_g$ -isomorphism from  $F_g(a, b)$  onto  $F_g(a', b')$  such that  $\sigma(a) = a'$  and  $\sigma(b) = b'$ . Since  $t(a, b) = 0$ , then  $\sigma(t(a, b)) = t(a', b') = 0$ . Therefore  $\Phi$  as defined in (2.11) maps  $t$  to 0 in  $\bigoplus_{Q \in S_g} \mathbb{Z}/p\mathbb{Z} \cdot \sqrt{H(Q)}$ . By (2.11),  $t = 0$ .

**DEFINITION 2.13.** The conditions on  $g$  that no two points of  $S_g$  have the same  $x$ -coordinate and that  $(g_x, g_y)F_g[x, y] \cap F_g[x]$  is a prime ideal in  $F_g[x]$  will hereafter be referred to as conditions (3) and (4) respectively.

**THEOREM 2.14.** *Let  $g$  satisfy conditions (1)–(4). Let  $A_g = F_g[x^p, y^p, g]$ . If  $p = 2$ , then  $Cl(A_g) \cong \mathbb{Z}/2\mathbb{Z}$ . If  $p > 2$ , then  $Cl(A_g)$  is trivial or is isomorphic to  $\mathbb{Z}/p\mathbb{Z}$ .*

**PROOF** The  $p > 2$  case is an immediate consequence of (2.12). Assume then that  $p = 2$ . Then  $D(g_x)/g_x = (g_{xx}g_y - g_{xy}g_x)/g_x = g_{xy}$  is a nonzero element of  $\mathcal{L}_g$  by condition (2). By (2.12),  $Cl(A_g) \cong \mathbb{Z}/2\mathbb{Z}$ .

**EXAMPLE 2.15.** If  $p > 2$ ,  $g = x^2 - y^2$  and  $F = GF(p)$ , then  $g$  satisfies conditions (1)–(4). Since  $z^p = x^2 - y^2$  is clearly not factorial,  $Cl(A_g) \cong \mathbb{Z}/p\mathbb{Z}$ .

**EXAMPLE 2.16** Let  $k$  be an algebraically closed field of characteristic  $p \neq 0$ . Let  $n \geq 4$  be a positive integer. Let  $\{T_{ij}: 0 \leq i + j \leq n\}$  be a set of indeterminates over  $k$ . Let  $F = k(T_{ij})$  and  $g = \sum_{0 \leq i+j \leq n} T_{ij}x^i y^j$ .

Then  $g$  satisfies conditions (1)–(3). To see this let  $R(x)$  be the resultant with respect to  $x$  of  $g_x$  and  $g_y$ . Then  $R(x) \neq 0$ . This can be demonstrated by showing that for some specialization of the  $T_{ij}$ ,  $R(x) \neq 0$ . If  $n$  is not divisible by  $p$ , then  $g = xy + (1/n)(x^n - y^n)$  gives  $R(x) = x^{(n-1)^2} + x$ .

Furthermore, if  $D$  is the discriminant of  $R(x)$ , then  $D$  is a nonzero polynomial expression in the  $T_{ij}$ . Again this can be shown by demonstrating



that  $D \neq 0$  for some specialization of the  $T_{ij}$ . For example, if  $n \neq 0, 2 \pmod p$ , and  $g = xy + (1/n)(x^n - y^n)$ , then  $D = n(n - 2)$ . Similarly, it is easy to show that if  $\bar{R}(x)$  is the resultant of  $g_x$  and  $H$  and if  $\bar{D}$  is the resultant of  $R(x)$  and  $\bar{R}(x)$ , then  $\bar{D}$  is a nonzero polynomial in the  $T_{ij}$ . Again if we specialize and let  $g = xy + (1/n)(x^n - y^n)$  then  $\bar{D}$  becomes  $n^2 - 2n + 2$ . One concludes that

- (a)  $R(x)$  is a nonzero polynomial in the  $T_{ij}$  and  $x$  of degree in  $x$  equal to  $(n - 1)^2$  if  $n \neq 0 \pmod p$ , of degree  $n^2 - 3n + 3$  otherwise. Therefore  $g_x$  and  $g_y$  are relatively prime,
  - (b)  $D$  is a non-zero polynomial in the  $T_{ij}$  which implies that  $g_x$  and  $g_y$  intersect in the maximum possible number of points in  $\bar{F}^2$ .
  - (c)  $\bar{D}$  is also a nonzero polynomial in the  $T_{ij}$  which implies condition (2).
- (b) above also implies condition (3). (See [18] pages 23 to 31 for further discussion on the resultant.)

REMARK 2.17. Note that for any specialization of the  $T_{ij}$  for which  $R(x)$ ,  $D$ , and  $\bar{D}$  become nonzero, then for that choice of  $g$  conditions (1), (2) and (3) will be met. Thus conditions (1), (2) and (3) are generic conditions on  $g$ .

(2.16 continued . . .) Condition (4) is also met. First of all,  $g_x = t_{10} + 2t_{20}x + t_{11}y + \dots$  and  $g_y = t_{01} + 2t_{02}y + t_{11}x + \dots$ . Then  $k[T_{ij}][[x, y]]/(g_x, g_y) = k[t_{00}, t_{20}, t_{11}, t_{02}, \dots][x, y]$ . Therefore  $g_x$  and  $g_y$  generate a prime ideal in  $k[t_{ij}][x, y]$ . By condition (1), the ideal generated by  $g_x$  and  $g_y$  in  $k[t_{ij}][x, y]$  does not meet the multiplicatively closed set generated by the nonzero elements of  $k[T_{ij}]$ . Thus  $g_x$  and  $g_y$  generate a maximal ideal in  $k(T_{ij})[x, y]$ , implying condition (4). Therefore  $Cl(A_g) \cong \mathbb{Z}/2\mathbb{Z}$  if  $p = 2$  and  $Cl(A_g) \cong 0$  or  $\mathbb{Z}/p\mathbb{Z}$  if  $p > 2$ . (For  $p \geq 5$  see (2.34)).

Question 2.18. Is condition (4) a generic condition on  $g$ ?

THEOREM 2.19. *Let  $g$  satisfy conditions (1)–(3). Let  $(f(x)) = (g_x, g_y)F_g[x, y] \cap F_g[x]$ . Suppose that  $f(x)$  factors into a product of  $r$ -irreducible factors in  $F_g[x]$ . Then the order of  $CL(A_g) \leq p^r$ .*

*Proof.* Let  $f(x) = f_1(x) \dots f_r(x)$  be a factorization of  $f(x)$  in  $F_g[x]$  into prime factors. For each  $i = 1, \dots, r$ , let  $\alpha_i$  be a root of  $f_i(x)$  in  $\bar{F}$ . For each  $i$ , there is a  $\beta_i \in \bar{F}$  such that  $(\alpha_i, \beta_i) \in S_g$ . Let  $\bar{\theta}: \mathcal{L}_g \rightarrow \bigoplus_{i=0}^r \mathbb{Z}/p\mathbb{Z}$  be defined by  $\bar{\theta}(t) = (t(\alpha_i, \beta_i)/\sqrt{H(\alpha_i, \beta_i)})_{i=1}^r$ . Let  $t \in \ker \bar{\theta}$  and let  $(\alpha, \beta) \in S_g$ . Then  $f_i(\alpha) = 0$  for some  $i = 1, \dots, r$ . Therefore  $\alpha$  is conjugate to  $\alpha_i$  so that there exists an  $F_g$ -automorphism  $\sigma: \bar{F} \rightarrow \bar{F}$  such that  $\sigma(\alpha_i) = \alpha$ . Then  $\sigma(\alpha_i, \beta_i) = (\alpha, \beta)$ . Since  $t(\alpha_i, \beta_i) = 0$  this implies that  $t(\alpha, \beta) = \sigma t(\alpha_i, \beta_i) = 0$ . By (2.11)  $t$  is identically 0. Thus  $\bar{\theta}$  is an injection. By (1.8), the order of  $Cl(A_g) \leq p^r$ .

REMARK 2.20. The ideal generated by  $f(x)$  in (2.19) is identical to the ideal generated by the resultant,  $R(x)$ , of  $g_x$  and  $g_y$  with respect to  $x$ . This is because in this case,  $R(x)$  is of degree equal to the number of elements in  $S_g$ . Since  $R(x) \in (f(x))$  and  $f(\alpha) = 0$  for each  $(\alpha, \beta) \in S_g$ , then  $(R(x)) = (f(x))$ . (See [15] p. 185.).

EXAMPLE 2.21. Let  $F = GF(3)$  and  $g = -y + xy + x^4 + y^4$ . Then  $g$  satisfies conditions (1)–(3). Note that  $(g_x, g_y)F_g[x, y] \cap F_g[x] = (x^9 - x + 1)F_g[x]$ . It can be shown that the prime factorization of  $x^9 - x + 1$  over  $F_g = GF(3)$  is  $x^9 - x + 1 = (x^3 - x + 1)(x^6 + x^4 + x^3 + x^2 - x - 1)$ . Thus by (2.1) the class group of  $F_g[x^3, y^3, g]$  is  $0, \mathbb{Z}/3\mathbb{Z}$  or  $\mathbb{Z}/3\mathbb{Z} \oplus \mathbb{Z}/3\mathbb{Z}$ . Since  $D(g_x)/g_x = 1$  is in  $\mathcal{L}_g$ ,  $Cl(A_g)$  is either  $\mathbb{Z}/3\mathbb{Z}$  or  $\mathbb{Z}/3\mathbb{Z} \oplus \mathbb{Z}/3\mathbb{Z}$ .

This calculation can be verified as follows. (1.3)–(1.6) are used to calculate  $\mathcal{L}$ , the logarithmic derivatives of  $D$  in  $\bar{F}[x, y]$ . Then  $\mathcal{L}_g = \mathcal{L} \cap F_g[x, y]$ . Thus  $t \in \mathcal{L}$  if and only if  $t = \alpha_{00} + \alpha_{10}x + \alpha_{01}y + \alpha_{20}x^2 + \alpha_{02}y^2$  where

$$\begin{aligned} \alpha_{00} + \alpha_{10} + \alpha_{20} &= \alpha_{00}^3, \\ -\alpha_{10} + \alpha_{20} &= \alpha_{10}^3, \\ -\alpha_{01} &= \alpha_{01}^3, \\ \alpha_{02} &= \alpha_{20}^3, \\ \alpha_{20} &= \alpha_{02}^3. \end{aligned} \tag{2.22}$$

By eliminating variables we find that  $\alpha_{00}^{3^5} - \alpha_{00}^{3^4} + \alpha_{00}^{3^2} + \alpha_{00}^3 - \alpha_{00} = 0$  and that the rest of the  $\alpha_{ij}$  depend on  $\alpha_{00}$ . Therefore the order of  $\mathcal{L}$  is  $3^5$ . Also if  $\alpha_{00}^3 = \alpha_{00}$  then all other  $\alpha_{ij} = 0$ . Thus  $\mathcal{L}_g$  is of order 3 generated by  $t = 1$ .

2.23. For more details on how to explicitly calculate  $\mathcal{L}$  the reader is referred to [9], [10], [11] and [12].

This next result refines the upper bound in (2.19) slightly.

COROLLARY 2.24. *Let  $g$  satisfy conditions (1)–(3). Let  $(f(x)) = (g_x, g_y)F_g[x, y] \cap F_g[x]$ . Let  $f(x) = f_1(x)f_2(x) \dots f_r(x)$  be a prime factorization of  $f(x)$  in  $F_g[x]$  such that for some  $s = 1, \dots, r$ ,  $\deg f_1 + \deg f_2 + \dots + \deg f_s > (n - 1)(n - 2)$  where  $n = \deg(g)$ . Then the order of  $Cl(Ag) \leq p^s$ .*

*Proof.* Uses the same type of argument used in (2.19) and the result of (2.9).

EXAMPLE 2.25. Let  $F = GF(3)$ ,  $g = xy + x^4 + y^4$ . Then  $g_x = y + x^3$ ,  $g_y = x + y^3$  and  $H = 1$ . Then  $g$  satisfies (1)–(3).  $f(x) = x^9 - x = (x^2 - x - 1)(x^2 + x - 1)(x^2 + 1)(x + 1)(x - 1)x$ . By (2.24) the order of  $Cl(A_g) \leq 3^4$ .

This can be verified by direct computation of  $\mathcal{L}_g$ . One finds that  $\mathcal{L}$  is of order  $3^5$  generated by  $1, x - y, ax - a^3y, x^2 + y^2, ax^2 + a^3y^2$  where  $a \in GF(9) - GF(3)$ . Thus, in fact,  $\mathcal{L}_g$  and therefore  $Cl(A_g)$  is of order  $3^3$ .

REMARK 2.26. If  $g$  satisfies conditions (1)–(4), then  $Cl(A_g) \cong \mathbb{Z}/2\mathbb{Z}$  if  $p = 2$  and  $Cl(A_g) = 0$  or  $\mathbb{Z}/p\mathbb{Z}$  if  $p > 2$ . Example (2.15) shows that these conditions are not enough to insure that  $Cl(A_g) = 0$  if  $p > 2$ . The next theorem adds one more condition, that appears to be not a generic one, that guarantees that  $Cl(A_g) = 0$ .

THEOREM 2.27. *Let  $g$  satisfy conditions (1) and (2). If for each  $(\alpha, \beta) \in S_g$ ,  $\sqrt{H(\alpha, \beta)} \notin F_g(\alpha, \beta)$ . Then  $Cl(A_g) = 0$ .*

*Proof.* If  $Cl(A_g) \neq 0$  then by (2.11) there exists  $(\alpha, \beta) \in S_g, t \in \mathcal{L}_g$  such that  $t(\alpha, \beta) = n\sqrt{H(\alpha, \beta)}$  for some  $n \neq 0$  in  $\mathbb{Z}/p\mathbb{Z}$ . Since  $t \in F_g[x, y]$ , this is a contradiction.

COROLLARY 2.28. *Let  $g$  satisfy conditions (1)–(4). Suppose also that no two elements of  $S_g$  have the same  $y$ -coordinate. If for some  $(\alpha, \beta) \in S_g, \sqrt{H(\alpha, \beta)} \notin F_g(\alpha)$  then  $Cl(A_g) = 0$ .*

*Proof.* Let  $(a, b) \in S_g$ . Then there is an  $F_g$ -automorphism of  $\bar{F}$  that maps  $(\alpha, \beta)$  to  $(a, b)$ . If  $\sqrt{H(a, b)} \in F_g(a) = F_g(a, b)$  by (2.5), then  $\sigma\sqrt{H(a, b)} \in F_g(\alpha)$ . But  $(\sigma\sqrt{H(a, b)})^2 = \sigma H(a, b) = H(\alpha, \beta)$ . This implies that  $\sigma\sqrt{H(a, b)} = \pm\sqrt{H(\alpha, \beta)} \in F_g(\alpha)$ . A contradiction.

REMARK 2.29. There are two reasons why the hypothesis of (2.27) appears to be not a generic one. The first is that in calculations I found that this condition appears to hold about half the time. The second, and this might explain the first, is that for any finite field,  $GF(p^m)$ ,  $(p^m + 1)/2$  elements of it have a square root in  $GF(p^m)$ .

EXAMPLE 2.30. Let  $p = 3$  and  $g = x^2 + y^2$ . Then  $g_x = 2x, g_y = 2y$  and  $H = 2$ . The conditions of (2.27) are easily seen to hold. Therefore  $Cl(A_g) = 0$ . This is verified by the fact that  $\mathcal{L}$  is of order three generated by  $\sqrt{2} \notin F_g = GF(3)$ .

REMARK 2.31. The next two results were proved by Blass [3]. Although in the introduction to his article Blass assumes that the degree of  $g$  is divisible by  $p$ , the proofs of these results are independent of this assumption.

LEMMA 2.32. *Let  $g$  be as in (2.16) and  $p \geq 5$ . Then the Galois group of  $\overline{k(T_{ij})}/k(T_{ij})$  acts as the full symmetric group on  $S_g$  (see [3] page 10).*

LEMMA 2.33. *Let  $g$  be as in (2.16) and  $p \leq 5$ . Let  $Q_1 \neq Q_2 \in S_g$ . Then there exists an automorphism  $\sigma \in \text{Gal}(\overline{k(T_{ij})}/k(T_{ij}))$  such that  $\sigma(\sqrt{H(Q_1)}) = -\sqrt{H(Q_1)}$ ,  $\sigma(\sqrt{H(Q_2)}) = -\sqrt{H(Q_2)}$ ,  $\sigma\sqrt{H(Q)} = \sqrt{H(Q)}$  for all  $Q \in S_g$  with  $Q \neq Q_1, Q_2$  and such that  $\sigma$  act as the identity of  $S_g$  (see [3] page 10).*

EXAMPLE 2.34. Let  $g = \sum T_{ij}x^i y^j$  be as in (2.16). Then the ring  $A_g = k(T_{ij})[x^p, y^p, g]$  is factorial where  $p \geq 5$ . This result follows immediately from (2.27) and (2.33).

### 3. Properties of $Cl(A_g)$

REMARK 3.1. Before moving on to the main section of this article, some general facts about  $Cl(A_g)$  should be mentioned. First of all, we have that if  $A = \overline{F}[x^p, y^p, g]$ , then  $Cl(A_g)$  injects into  $Cl(A)$ . The simplest way to see this, is to observe that  $Cl(A) \cong \mathcal{L}$ ,  $Cl(A_g) \cong \mathcal{L}_g$  and that  $\mathcal{L}_g \hookrightarrow \mathcal{L}$ . Then any general statements that can be made about  $Cl(A)$  concerning order, type, etc., can also be made about  $Cl(A_g)$ . In [11] the following results were proved for  $Cl(A)$  which therefore also apply for  $Cl(A_g)$ .

THEOREM 3.2. *Let  $g$  satisfy conditions (1) and (2). Then  $Cl(F_g)$  is a  $p$ -group of type  $(p, \dots, p)$  of order  $p^m$ , where  $m \leq \text{deg}(g)(\text{deg}(g) - 1)/2$  (see [11] page 397).*

THEOREM 3.3. *Let  $g$  satisfy conditions (1) and (2). For each positive integer  $n$ , let  $A_g^{(n)} = F_g[x^{p^n}, y^{p^n}, g]$ . Then,*

- (a) *for each  $n$ ,  $Cl(A_g^{(n)})$  injects into  $Cl(A_g^{(n+1)})$ ,*
- (b) *for each  $n$ ,  $Cl(A_g^{(n)})$  is a  $p$ -group of type  $(p^{i_1}, \dots, p^{i_r})$  where each  $i_j \leq n$ ,*
- (c) *the order of  $Cl(A_g^{(n)}) = p^f$ , where  $f \leq n(\text{deg}(g))(\text{deg}(g) - 1)/2$  ([11] page 406).*

### 4. The main theorem

This section begins by presenting a new algorithm (see [12] page 247) for computing the divisor class group of a Zariski ring  $A = k[x^p, y^p, g]$  defined over an algebraically closed field  $k$  of characteristic  $p \neq 0$ .

Then Theorem (4.14) proves that the ring  $\overline{k(T_{ij})}[x^p, y^p, g]$ , where  $g = \sum T_{ij}x^i y^j$  is as in example (2.16), is factorial. P. Blass proved this result for the case  $\deg(g) \equiv 0 \pmod p$  in [3].

The algorithm and Theorem (4.14) are then combined to prove that for a generic  $g$ , the ring  $A$  is factorial.

4.1. Let  $k$  be an algebraically closed field of characteristic  $p \neq 0$ . Let  $g \in k[x, y]$  satisfy condition (1). Then by (1.8),  $Cl(k[x^p, y^p, g])$  is isomorphic to  $\mathcal{L}$ , the additive group of logarithmic derivatives of  $D = g_y(\partial/\partial x) - g_x(\partial/\partial y)$  in  $k[x, y]$ . If  $t \in k[x, y]$  is in  $\mathcal{L}$  then by (1.8),  $\deg(t) \leq n - 2$  where  $n = \deg(g)$ . Furthermore,  $t$  is in  $\mathcal{L}$  if and only if  $D^{p-1}t - ct = -t^p$  where  $D^p = cD$ . By (1.6) it follows that  $t$  is in  $\mathcal{L}$  if and only if

$$(4.2) \quad \begin{aligned} (a) \quad & \nabla(G^r t) = 0 \text{ for } r = 0, 1, \dots, p - 2, \text{ and} \\ (b) \quad & \nabla(G^{p-1} t) = t^p, \text{ where } \nabla = \partial^{2p-2}/\partial x^{p-1} \partial y^{p-1}. \end{aligned}$$

Thus the elements of  $\mathcal{L}$  can be determined in the following way.

Let  $t = \sum_{0 \leq i+j \leq n-2} \alpha_{ij} x^i y^j$  be a polynomial in  $x$  and  $y$  with undetermined coefficients. Substitute  $t$  into (4.2a) and (4.2b) and compare coefficients.

When  $t$  is substituted into (4.2a) one obtains linear expressions in the  $\alpha_{ij}$  with coefficients in  $k$ , say  $l_s = 0, 0 \leq s \leq m$  with  $m$  a nonnegative integer. When  $t$  is substituted into (4.2b) one obtains  $p$ -linear equations of the form  $l_{ij}(\alpha) = \alpha_{ij}^p, 0 \leq i + j \leq n - 2$ , where  $l_{ij}(\alpha)$  is a linear expression in the  $\alpha_{ij}$  with coefficients in  $k$ .

Thus it is readily seen that  $\mathcal{L}$  is isomorphic to the additive group of solutions to the  $p$ -linear system of equations

$$l_s = 0, 0 \leq s \leq n \quad \text{and} \quad l_{ij}(\alpha) = \alpha_{ij}^p, 0 \leq i + j \leq n - 2. \tag{4.3}$$

In [12] an algorithm for computing the number of solutions to a system such as (4.3) was described.

What follows is a description of another algorithm which better suits the purposes of this article.

Let  $N = n(n - 1)/2$ . let  $C$  be the coefficient matrix of the linear expressions  $l_{ij}, 0 \leq i + j \leq n - 2$ . Then  $C$  is an  $N$  by  $N$  square matrix.

Assume first of all that  $\det C \neq 0$ . Then each linear expression  $l_s$  with  $0 \leq s \leq m$  can be expressed as a linear combination of the  $l_{ij}$  with coefficients in  $k$ . Thus beginning with  $l_1$  there exists  $a_{ij}, 0 \leq i + j \leq N$  such that  $\sum a_{ij} l_{ij} = l_1$ . Since  $l_1(\alpha) = 0$ , this leads to  $\sum a_{ij} \alpha_{ij}^p = 0$ , which results in the linear equation  $l'_1 : \sum a_{ij}^{(1/p)} \alpha_{ij} = 0$ . Thus for each  $s, 0 \leq s \leq m$ , another linear equation  $l'_s, 0 \leq s \leq m$ , is produced. From these  $2m$  linear equations, choose a basis  $l''_1, l''_2, \dots, l''_u$  where  $0 \leq u \leq 2m$ . Now repeat the first step of generating linear equations by writing each  $l''_s, 0 \leq s \leq u$ , as a linear

combination of the  $l_{ij}$ . From these  $2u$  linear equations, choose a basis and continue this process. One of two possibilities will take place. One, is that at some point  $N$  independent linear equations will be produced in  $N$  unknowns. If this is the case then each  $\alpha_{ij} = 0$  which implies that  $\mathcal{L} = 0$ .

The alternative to this situation is that at some point  $R$  linearly independent equations will be produced and no more than that, with  $R < N$ . Any new equations produced will be a linear combination of these  $R$  independent equations. If this is the case then the number of solutions to the system (4.3) is  $p^{N-R}$ . To see this, choose  $N - R$   $p$ -linear expressions from the equations  $l_{ij} = \alpha_{ij}^p$  so that the linear part of these equations together with the  $R$  linear equations form a  $k$ -basis for the space of all linear expressions in the  $\alpha_{ij}$  with coefficients in  $k$ . This can be done since the  $l_{ij}$  are a basis for this space. It then follows that the system of equations consisting of these  $R$  linear and  $N - R$   $p$ -linear equations is equivalent to the original system (4.3). For if  $l_{cd} = \alpha_{cd}^p$  is one of the  $p$ -linear equations in (4.3) then  $l_{cd}$  is a linear combination of the linear expressions in the  $N - R$   $p$ -linear equations and the  $R$  constructed linear equations. It then follows that  $\alpha_{cd}^p$  is a linear combination of the  $\alpha_{ij}^p$  that appear in the  $N - R$   $p$ -linear equations. This of course leads to another linear equation after taking  $p$ -th roots which must by assumption be dependent on the  $P$  linear expressions. It then follows from Bezout's theorem that there are  $p^{N-R}$  solutions (see 4.4) below).

If it turns out that  $\det C = 0$ , where  $C$  is the coefficient matrix of the linear expressions  $l_{ij}$  in (4.3), then the rank of  $C = N - M$  for some  $M > 0$ . Therefore from the equations  $l_{ij} = \alpha_{ij}^p$ ,  $0 \leq i + j \leq n - 2$ , one can immediately generate  $M$  linear equations. These  $M$  linear equations are then combined with the  $m$  linear equations  $l_s = 0$ ,  $0 \leq s \leq m$ , and a basis for the linear equations is chosen. At this point there are  $N - M$   $p$ -linear equations whose linear parts are linearly independent and some linearly independent linear equations. If these linear expressions (from the  $N - M$   $p$ -linear equations and the linear equations) are dependent then some non-trivial linear combinations of these expressions are 0. As above, these combinations will produce nontrivial homogeneous linear equations. A basis for the linear equations is then chosen and combined with the  $p$ -linear equations to form a system that is equivalent to the original system (4.3). This process is repeated until one of two possibilities occurs. Either  $N$  independent linear equations will be produced in which case  $\mathcal{L} = 0$  or  $R$  linearly independent linear equations will be produced where  $R < N$  and where the linear expressions from the  $p$ -linear equations and the  $R$  linear equations cannot be used to produce any new linear equations that are independent from the existing linear homogeneous equations. If this is the

case then  $\mathcal{L}$  is of order  $p^{N-R}$ . To see this consider the  $k$ -vector space spanned by the linear expressions in these  $p$ -linear equations and in the  $R$  linearly independent homogeneous linear equations. Then a basis for this space can be constructed that includes the  $R$  linearly independent linear equations. Then arguing as above one sees that the system of equations consisting of the  $R$  linear equations and those  $p$ -linear equations used to construct the basis is equivalent to the system (4.3). This equivalent system must consist of a total of  $N$  equations otherwise there would be more unknowns than equations and hence an infinite number of solutions, which would imply that  $\mathcal{L}$  is infinite. This contradicts (3.1). Therefore an equivalent system of  $N - R$   $p$ -linear and  $R$  linear equations in  $N$  unknowns has been constructed with these properties that are easy to verify:

- (4.4) (a) There are no intersections at infinity, and
- (b) The multiplicity of each point of intersection is one.

Then by Bezout's theorem the total number of intersection points is  $p^{N-R}$ .

This then is the algorithm for determining the order of  $\mathcal{L}$ .

REMARK 4.5. Although this algorithm is much more clumsy than the algorithm in [12] for computing the divisor class group of  $A = k[x^p, y^p, g]$ , it proves very useful in determining  $Cl(A)$  for a generic  $g$ .

EXAMPLE 4.6. Let  $k$  be an algebraically closed field of characteristic 3 and  $g = x + y + x^5 + y^5$ . Applying this algorithm one finds that  $Cl(A)$  is isomorphic to the additive group of solutions to the system

$$\begin{aligned}
 -\alpha_{20} + \alpha_{11} - \alpha_{02} &= -\alpha_{00}^3, & (4.7) \\
 \alpha_{01} &= -\alpha_{10}^3 \\
 \alpha_{10} &= -\alpha_{01}^3 \\
 \alpha_{00} &= -\alpha_{11}^3 \\
 -\alpha_{12} &= -\alpha_{30}^3 \\
 \alpha_{30} &= -\alpha_{21}^3 \\
 \alpha_{03} &= -\alpha_{12}^3 \\
 -\alpha_{21} &= -\alpha_{03}^3
 \end{aligned}$$

$$l_1 : \alpha_{12} + \alpha_{21} = 0$$

$$l_2 : \alpha_{02} = 0$$

$$l_3 : \alpha_{20} = 0.$$

This system is easily seen to be equivalent to the system

$$\begin{aligned} \alpha_{11} &= \alpha_{00}^3, & \alpha_{12} &= \alpha_{30}^3 \\ \alpha_{01} &= -\alpha_{10}^3, & \alpha_{30} &= -\alpha_{21}^3 \\ \alpha_{10} &= -\alpha_{01}^3, & \alpha_{21} &= -\alpha_{03}^3 \end{aligned} \tag{4.8}$$

$$l_1 : \alpha_{12} + \alpha_{21} = 0$$

In the first step of the algorithm (with  $\det C \neq 0$ ) one obtains the linear equations

$$l_1 : \alpha_{12} + \alpha_{21} = 0 \quad \text{and} \quad l_2 : \alpha_{30} + \alpha_{03} = 0 \tag{4.9}$$

In the next step no new independent equations are produced. Thus the order of  $Cl(A)$  is  $p^{8-2} = 3^6$ .

The most important application of this algorithm is the next result.

**THEOREM 4.10.** *Let  $k$  be an algebraically closed field of characteristic  $p \neq 0$ ,  $n \geq 4$  be a positive integer,  $\{T_{ij} : 0 \leq i + j \leq n\}$  be a set of indeterminates over  $k$ ,  $F = k(T_{ij})$  and  $g = \sum_{0 \leq i+j \leq n} T_{ij} x^i y^j$ . If  $Cl(\overline{k(T_{ij})}[x^p, y^p, h]) \cong 0$  then  $Cl(k[x^p, y^p, \tilde{g}]) \cong 0$  for a generic choice of coefficients  $a_{ij} \in k$  of  $\tilde{g} = \sum_{0 \leq i+j \leq n} a_{ij} x^i y^j$ .*

*Proof.* Assume that  $Cl(\overline{k(T_{ij})}[x^p, y^p, g])$  is 0. When the algorithm in (4.1) is applied to  $g$ , we arrive at the system of equations (4.3) consisting of  $p$ -linear and linear equations with coefficients in the polynomial ring  $GF(p)[T_{ij}]$ . In the next step of the algorithm additional linear equations are generated, this time with coefficients in  $[GF(p)(T_{ij})]^{(1/p)}$  where for a field  $L$  of characteristic  $p \neq 0$ ,  $L^{(1/p)}$  is the field of all elements  $\alpha \in L$  such that  $\alpha^{p^n} \in L$ . In the  $m$ -th step, more linear homogeneous equations are generated with coefficients in the field  $[GF(p)(T_{ij})]^{(1/p^m)}$ . The class group of  $\overline{k(T_{ij})}[x^p, y^p, g]$  is trivial if and only if eventually  $N$  linearly independent homogeneous linear equations in  $N$  unknowns are generated by this algorithm,  $N = (n - 1)n/2$ . That is, if and only if  $N$  homogeneous linear equations in  $N$  unknowns are generated with coefficient matrix  $B$  such that  $\det(B) \neq 0$ . Note that  $\det(B) \in [GF(p)$



$(T_{ij})^{(1/p^s)}$  for some positive integer  $s$ . Therefore  $(\det(B))^{p^s} \in GF(p)(T_{ij})$  and  $\det B \neq 0$  if and only if  $(\det(B))^{p^s} \neq 0$ .

Thus if the class group of  $\overline{k(T_{ij})}[x^p, y^p, g]$  is 0 and  $a_{ij} \in k$  is any specialization of  $g$  such that  $(\det(B))^{p^s}$  is defined and nonzero then the same sequence of steps that led to the construction of  $N$  linearly independent homogeneous linear equations in  $N$  unknowns will also do the same for  $\tilde{g} = \sum a_{ij}x^i y^j$ , which proves the theorem.

**REMARK 4.11.** Another proof of (4.10) was given by Blass and Lang in [4], but an error was discovered by the authors in that proof (see [4], pages 36–39).

**REMARK 4.12.** Although the next result may have application only to the  $p = 2$  or 3 case by virtue of (4.14), the proof of it easily follows the same line of argument used in (4.10).

**THEOREM 4.13.** *Let  $k, g$  and  $\tilde{g}$  be as in (4.10). If the order of  $Cl(k(T_{ij})[x^p, y^p, g])$  is  $p^r$  for some  $r$ , then the order of  $Cl(k[x^p, y^p, \tilde{g}])$  is  $p^r$  for a generic  $\tilde{g} \in k[x, y]$ .*

**THE MAIN THEOREM 4.14.** *Let  $k$  be an algebraically closed field of characteristic  $p \geq 5, n \geq 4$  a positive integer,  $\{T_{ij}: 0 \leq i + j \leq n\}$  be a set of indeterminates over  $k, F = k(T_{ij}), g = \sum T_{ij}x^i y^j$  and  $A = \overline{F}[x^p, y^p, g]$ . Then  $Cl(A) = 0$ .*

*Proof.* By (2.11) and (2.16) the map  $\Phi: \mathcal{L} \rightarrow \bigoplus_{Q \in S_g} \mathbb{Z}/p\mathbb{Z} \cdot \sqrt{H(Q)}$  defined by  $\Phi(t) = (t(Q))_{Q \in S_g}$  is an injection. From (2.33) it follows that the elements  $\sqrt{H(Q)}, Q \in S_g$ , are independent over the prime subfield of  $k$ . Therefore each element of  $t$  can be uniquely identified with a sum  $\sum_{Q \in S_g} n_Q \sqrt{H(Q)}$  where  $0 \leq n_Q < p$  for each  $Q$ .

Suppose that  $t \in \mathcal{L}$  and let  $t = \sum n_Q \sqrt{H(Q)}$ . Consider two cases.

*Case 1.*  $n = \deg(g) \neq 0 \pmod{p}$ .

Let  $Q', Q'' \in S_g$ . By (2.3) there exists  $\sigma \in \text{Gal}(\overline{F}/F)$  such that  $\sigma\sqrt{H(Q')} = -\sqrt{H(Q')}, \sigma\sqrt{H(Q'')} = -\sqrt{H(Q'')}, \sigma\sqrt{H(Q)} = \sqrt{H(Q)}$  if  $Q \neq Q', Q''$  and  $\sigma$  acts as the identity on the elements of  $S_g$ .

Since  $t \in \mathcal{L}$  it follows that  $\sigma(t) \in \mathcal{L}$ , which implies that  $t - \sigma(t) = 2(n_{Q'}\sqrt{H(Q')} + n_{Q''}\sqrt{H(Q'')}) \in \mathcal{L}$ . Thus  $(t + \sigma(t))(Q) = 0$  for all  $Q \neq Q', Q''$ . By (2.10) this implies that  $t - \sigma(t) \equiv 0$ . Thus  $n_{Q'} = n_{Q''} = 0$ . Since  $Q'$  and  $Q''$  are arbitrary it follows that  $t \equiv 0$ .

Case 2.  $n = \deg(g) = 0 \pmod{p}$ .

Let  $t, Q', Q''$ , be as in case 1. Then  $t' = n_{Q'}\sqrt{H(Q')} + n_{Q''}\sqrt{H(Q'')} \in \mathcal{L}$ . Let  $Q \neq Q', Q''$  belong to  $S_g$ . By (2.33) there exists  $\bar{\sigma} \in \text{Gal}(\bar{F}/F)$  such that  $\bar{\sigma}\sqrt{H(Q')} = -\sqrt{H(Q')}$ ,  $\bar{\sigma}\sqrt{H(Q)} = -\sqrt{H(Q)}$ ,  $\bar{\sigma}\sqrt{H(Q'')} = \sqrt{H(Q'')}$  and  $\bar{\sigma}$  is the identity on  $S_g$ . Then  $t' - \bar{\sigma}t' = 2n_{Q'}\sqrt{H(Q')} \in \mathcal{L}$ . If  $n_{Q'} \neq 0$ , then by (2.32) there exists for each  $Q \in S_g$  a  $t_Q \in \mathcal{L}$  such that  $t_Q(Q) \neq 0$  and  $t_Q$  is 0 at every other element of  $S_g$ . The  $t_Q$ 's would necessarily be independent over  $\mathbb{Z}/p\mathbb{Z}$ , contradicting (3.2). Therefore  $n_{Q'} = 0$ . Since  $Q'$  is arbitrary,  $t \equiv 0$ .

Thus  $\mathcal{L} = 0$ .

The main result of this article now follows as a corollary to (4.10) and (4.14).

**THE MAIN RESULT (4.15).** *Let  $k$  be a field of characteristic  $p \geq 5$ ,  $g \in k[x, y]$  be of degree at least 4 and  $A = k[x^p, y^p, g]$ . Then for a generic  $g$  the ring  $A$  is factorial.*

**REMARK 4.16.** For an alternate proof of case 2 of Theorem (4.14) see [3].

### 5. On finding $\mathcal{L}$

5.1. In [1] an algorithm and computer program was given for calculating the order and type of  $\mathcal{L}$ , the group of logarithmic derivatives of  $D = g_y(\partial/\partial x) - g_x(\partial/\partial y)$  in  $k[x, y]$ , where the coefficients of  $g$  are in  $GF(p^m)$  for some  $m$ . An algorithm for calculating the actual elements of  $\mathcal{L}$  was not given, partly because it could not be found in what finite field are the coefficients of the elements of  $\mathcal{L}$ . The next result answers this question.

**THEOREM 5.2.** *Let  $g \in GF(p^m)$  for some  $m$  and  $k$  be an algebraic closure of  $GF(p^m)$ . If  $t \in \mathcal{L}$ , then  $t \in F_g(\{\alpha, \beta, \sqrt{H(\alpha, \beta)} : (\alpha, \beta) \in S_g\})$ , the field extension of  $F_g$  obtained by adjoining all  $\alpha, \beta, \sqrt{H(\alpha, \beta)}$  for  $(\alpha, \beta) \in S_g$  to  $F_g$ .*

*Proof.* Let  $K = F_g(\{\alpha, \beta, \sqrt{H(\alpha, \beta)} : (\alpha, \beta) \in S_g\})$ . Let  $E$  be the field extension of  $K$  obtained by adjoining the coefficients of the elements of  $\mathcal{L}$  to  $K$ . Then  $K$  and  $E$  are finite fields with  $E$  algebraic over  $K$ , hence separable over  $K$  (see [14] pages 63 and 64). Let  $\sigma$  be a  $K$ -injection of  $E$  into  $k$ . Then  $\sigma$  can be extended to form a  $K[x, y]$ -injection of  $E[x, y]$  into  $k[x, y]$  by letting  $\sigma(\sum a_{ij}x^i y^j) = \sum \sigma(a_{ij})x^i y^j$ .

If  $t \in \mathcal{L}$  then by (1.4),  $D^{p-1}t - ct = -t^p$ . It follows that  $D^{p-1}(\sigma t) - c\sigma(t) = -(\sigma(t))^p$ . Thus  $\sigma(t) \in \mathcal{L}$ . By (2.8), for all  $(\alpha, \beta) \in S_g$  and  $t \in \mathcal{L}$ , there exists  $r \in \mathbb{Z}/p\mathbb{Z}$  such that  $t(\alpha, \beta) = r\sqrt{H(\alpha, \beta)}$ . Therefore for all such  $(\alpha, \beta) \in S_g$ ,  $\sigma(t)(\alpha, \beta) = \sigma(t(\alpha, \beta)) = \sigma(r\sqrt{H(\alpha, \beta)}) = r\sqrt{H(\alpha, \beta)} = t(\alpha, \beta)$ .

Then  $\sigma(t) - t \in \mathcal{L}$  and  $(\sigma(t) - t)(\alpha, \beta) = 0$  for all  $(\alpha, \beta) \in S_g$ . By (2.10)  $\sigma(t) - t \equiv 0$ . Hence there is but one  $K$ -injection of  $E$  into  $k$  which implies that  $[E:K] = 1$  ([14] page 65).

The reader is left with some open problems. Among them are:

- (5.3) What is  $Cl(k[x^p, y^p, g])$  for a generic choice of  $g$  if  $p = 2$  or  $3$ ?
- (5.4) Is condition (4) of (2.13) a generic condition?
- (5.5) How does the order of  $Cl(k[x^p, y^p, g])$  stratify the coefficient space of  $g$ ? For example, for  $p > 3$ , we saw that on a subset of the coefficient space of  $g$  of codimension 0 this order is  $p^0$ . What then is the relationship between  $p^s$  for  $s = 0, 1, 2, \dots$  and the codimension of the subset of the coefficient space of  $g$  consisting of those  $g \in k[x, y]$  such that the order of  $Cl(k[x^p, y^p, g])$  is  $p^s$ ?
- (5.6) Is  $k[x^{p^n}, y^{p^n}, g]$  factorial for a generic  $g$ ?
- (5.7) The author gratefully acknowledges the many insightful conversations with Professors Piotr Blass, Michael Fried and William Heinzer.

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