

# Lecture 17: Bivariate Polynomial Factoring

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March 17, 2021

# Overview

- Introduction: why multivariate factoring and main idea
- Hensel Lifting
- Main Algorithm
- Conclusion
- Acknowledgements

# Why Factor Multivariate Polynomials?

- One of the fundamental algebraic operations
- Widely used in algebraic computation:
  - Primary decomposition of ideals
  - Decoding certain algebraic codes
  - Hardness vs Randomness tradeoffs

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- Widely used in algebraic computation:
  - Primary decomposition of ideals
  - Decoding certain algebraic codes
  - Hardness vs Randomness tradeoffs
- Today: factoring *bivariate polynomials*



## Main Idea

- Given ring  $R[y]$ , where  $R$  is UFD, would like to reduce factoring in  $R[y]$  to factoring in  $R$   
“if we could factor in  $R$  then we can factor in  $R[y]$ ”

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For instance,  $R = \mathbb{Z}$ .

- Today: if  $R = S[x]$  then we can lift factoring over  $R$  to factoring over  $R[y](= S[x, y])$ !

If we can factor *univariate* polynomials, then we can also factor *bivariate* ones!

$S = \mathbb{F}$  field

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- Technical tool: Hensel lifting!

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$$f(x, y) = y^2 + (x - 1)x(x + 1)$$

$f(x, y)$  irreducible



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- No.  $\alpha = 0$  gives us a reducible univariate polynomial
- Will a random value work? Yes!
- Suppose we pick an  $\alpha$  (good or bad), now what?

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*mod (y)*

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- Using Hensel lifting, we can get

$$f(x, y) \equiv g(x, y)h(x, y) \pmod{y^2}$$

where  $g(x, y) \equiv x - 1 \pmod{y}$  and  $h(x, y) \equiv x^2 + x \pmod{y}$

consistent with factorization modulo  $(y)$



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- Suppose we picked  $\alpha = 0$ , can we still get some information?
- $f(x, 0) = (x - 1)x(x + 1)$
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$$f(x, y) \equiv -(x - 1)x(x + 1) \pmod{y}$$

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where  $g(x, y) \equiv x - 1 \pmod{y}$  and  $h(x, y) \equiv -x^2 - x \pmod{y}$

- Doing this many times will give us information whether our *base factorization* was good or not

# Strategy

- On input  $f(x, y) \in \mathbb{F}[x, y]$
- Do some preprocessing to know that we have a “nice polynomial”
  - 1 the restriction of  $f$  should be square free

$$f(x, \alpha) = p_1(x) p_2(x) \cdots p_b(x)$$

↑  
will be  
able to  
take  $\alpha$   
to be zero

irreducible  
distinct

$$f(x, y) \rightarrow \boxed{f_\alpha(x, y)} := \frac{f(x, y + \alpha)}{f(x, 0)}$$

↙ ↘

# Strategy

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- Factor

$$f(x, y) \equiv g(x, y) \cdot h(x, y) \pmod{y}$$

using the univariate factoring algorithm

$$f(x, 0) = g(x, 0) \cdot h(x, 0)$$

univariate polynomials

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- Lift factorization above to

$$f(x, y) \equiv g_k(x, y) \cdot h_k(x, y) \pmod{y^{2^k}}$$

for some value of  $k$  (large enough)

# Strategy

- On input  $f(x, y) \in \mathbb{F}[x, y]$
- Do some preprocessing to know that we have a “nice polynomial”
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for some value of  $k$

- From factorization above, extract factors of  $f(x, y)$

Just like in the univariate case!

- Introduction: why multivariate factoring and main idea
- Hensel Lifting
- Main Algorithm
- Conclusion
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## Hensel Lifting - General Setting

- Let  $R$  be a ring,  $I \subset R$  ideal, and we have

$$f \equiv gh \pmod{I}$$

where there are  $a, b \in R$  such that

$$ag + bh \equiv 1 \pmod{I}$$

“pseudo-GCD”

$$\text{“gcd}(g, h) \equiv 1 \pmod{I}\text{”}$$

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“pseudo-GCD”

- In our setting,  $R = \mathbb{F}[x, y]$ ,  $I = (y)$ ,  $f$  is our input polynomial and  $g, h \in \mathbb{F}[x, y]$  is the coprime factorization.

$$f(x, 0) \equiv g(x, 0)h(x, 0) \pmod{(y)}$$

$\downarrow \quad \downarrow$

coprime  $\Rightarrow \exists a, b$  s.t.

$$ag(x, 0) + bh(x, 0) = 1.$$

$\mathbb{F}[x]$  Euclidean  
Domain  
(PID)



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- In our setting,  $R = \mathbb{F}[x, y]$ ,  $I = (y)$ ,  $f$  is our input polynomial and  $g, h \in \mathbb{F}[x, y]$  is the coprime factorization.
- If  $f, g, h$  satisfy the conditions above, then there exist  $g^*, h^* \in R$  such that

$$f \equiv g^*h^* \pmod{I^2}$$

$$g^* \equiv g \pmod{I}$$

$$h^* \equiv h \pmod{I}$$

consistency  
“downward  
compatibility”

} lift of factorization

## Hensel Lifting - Full Statement

- Let  $R$  be a ring,  $I \subset R$  ideal, and we have  $f \equiv gh \pmod{I}$  where there are  $a, b \in R$  such that  $ag + bh \equiv 1 \pmod{I}$ .  
Then, there are  $g^*, h^*$  such that

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allows us  
to iterate  
the lift!

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*iterate*

- given  $a, b, g, h$ , one can easily compute  $a^*, b^*, g^*, h^*$

*computationally efficient!*

## Hensel Lifting - Full Statement

- Let  $R$  be a ring,  $I \subset R$  ideal, and we have  $f \equiv gh \pmod{I}$  where there are  $a, b \in R$  such that  $ag + bh \equiv 1 \pmod{I}$ .  
Then, there are  $g^*, h^*$  such that

$$\left. \begin{aligned} f &\equiv g^* h^* \pmod{I^2} \\ g^* &\equiv g \pmod{I} \\ h^* &\equiv h \pmod{I} \end{aligned} \right\} (i)$$

- There are  $a^*, b^*$  such that

$$a^* g^* + b^* h^* \equiv 1 \pmod{I^2}$$

- given  $a, b, g, h$ , one can easily compute  $a^*, b^*, g^*, h^*$
- solution  $g^*, h^*$  is unique. That is, any other solution  $g', h'$  is such that

"up to first order"  
terms

$$h^* \equiv h'(1 + u) \pmod{I^2}$$

$$g^* \equiv g'(1 - u) \pmod{I^2}$$

for some  $u \in I$ .

## Hensel Lifting - Proof

- Let  $m = f - gh$ . Thus,  $m \in I$

$$f \equiv g \cdot h \pmod{I}$$

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- Set

$$g^* = g + bm$$

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computing  $g^*$  and  $h^*$

$$ag + bh \equiv 1 \pmod{I}$$

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• Notice that:

$$\begin{aligned} f - g^*h^* &= f - gh - m(bh + ag) - \cancel{abm^2} \\ &\equiv f - gh - m \pmod{I^2} \\ &\equiv 0 \pmod{I^2} \end{aligned}$$

*Handwritten notes:*  $I \rightarrow \equiv \pmod{I}$  (under  $m$ ),  $0 \pmod{I^2}$  (next to  $\cancel{abm^2}$ )

$$g^*h^* = (g + bm)(h + am) = gh + m(ag + bh) + abm^2$$

$$m \cdot (bh + ag) \equiv m \pmod{I^2}$$

*Handwritten note:*  $\underbrace{\downarrow + \cancel{m^2}} = m + \cancel{m^2}$



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$$f \equiv g^* h^* \pmod{I^2}$$

$$f - g^* h^* = f - gh - m(bh + ag) + abm^2$$

$$\equiv f - gh - m \pmod{I^2}$$

$$\equiv 0 \pmod{I^2}$$

- Let  $q = ag^* + bh^* - 1$ .  $q \in I$

computing  $a^*$  and  $b^*$

First guess

$$a^* = a$$

$$b^* = b$$

$$a^* = a(1 - q)$$

$$b^* = b(1 - q)$$

$$q = ag^* + bh^* - 1 \equiv ag + bh - 1 \equiv 1 - 1 \equiv 0 \pmod{I}$$

## Hensel Lifting - Proof

- Let  $q = ag^* + bh^* - 1$ .  $q \in I$

computing  $a^*$  and  $b^*$

$$a^* = a(1 - q)$$

$$b^* = b(1 - q)$$

$$q \in I \Rightarrow q^2 \in I^2$$

$$ag^* + bh^* = 1 + q$$

$$(1 - q)(ag^* + bh^*) = (1 + q)(1 - q) = 1 - q^2 \equiv 1 \pmod{I^2}$$

$$a^*g^* + b^*h^*$$

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- Uniqueness of solution:

Let  $g', h'$  be another solution to the lifting problem.

$$\underline{g_1} = g' - g^* \quad \text{and} \quad \underline{h_1} = h' - h^*$$

both in  $I$ .

$$g' \equiv g^* \equiv g \pmod{I}$$

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$$\underline{g^*h^*} \equiv g'h' \pmod{I^2}$$

$$\equiv (g^* + g_1)(h^* + h_1) = g^*h^* + g^*h_1 + g_1h^* + g_1h_1$$

$$\equiv \underline{g^*h^* + g^*h_1 + g_1h^*} \pmod{I^2}$$

~~$eI^2$~~

$$g'h' = (g^* + g_1)(h^* + h_1) = g^*h^* + g^*h_1 + g_1h^* + g_1h_1$$

$$0 \equiv g^*h_1 + g_1h^* \pmod{I^2}$$

$$g^*h_1 \equiv -h^* \cdot g_1 \pmod{I^2} \Rightarrow g^2 b^* h_1 = (-b^* h^*) g_1$$

$$\underline{a^*g^* + b^*h^* \equiv 1}$$

mod  $I^2$

$$\begin{aligned}g^*(b^*h_1) &\equiv (-b^*h^*) \cdot g_1 \\ &\equiv (a^*g^* - 1) \cdot g_1\end{aligned}$$

$$\Rightarrow g'_1 - g^* = g_1 \equiv g^*(a^*g_1 - b^*h_1)$$

$$\Rightarrow g'_1 \equiv g^* \left( 1 + \underbrace{(a^*g_1 - b^*h_1)}_{\in I} \right)$$

$$u = a^*g_1 - b^*h_1 \quad \therefore u \in I$$

$$g'_1 \equiv g^*(1 + u)$$

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- Using  $a^*g^* + b^*h^* \equiv 1 \pmod{I^2}$

$$\begin{aligned}b^*g^*h_1 &\equiv -g_1b^*h^* \pmod{I^2} \\ &\equiv g_1(a^*g^* - 1) \pmod{I^2} \\ \Rightarrow g_1 &\equiv g^*(a^*g_1 - b^*h_1) \pmod{I^2} \\ \Rightarrow g' &\equiv g^*(1 + a^*g_1 - b^*h_1) \pmod{I^2}\end{aligned}$$



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- Set  $u = a^*g_1 - b^*h_1$ . Thus  $u \in I$ .

Analogous for  $h$

## Example

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- $f(x, y) \equiv (x - 1)x(x + 1) \pmod{y}$

$$g = x - 1 \quad \text{and} \quad h = x(x + 1)$$

$$\begin{array}{r} x^2 + x \\ x^2 - x \\ \hline 2x \end{array} \quad \begin{array}{r} x-1 \\ \hline x+2 \end{array}$$

2

$$(x^2 + x) - (x+2)(x-1) = 2$$

$$\boxed{3 \cdot (x^2 + x) - 3(x+2)(x-1) = 1}$$

$\underbrace{\hspace{1.5cm}}_b$

$\underbrace{\hspace{1.5cm}}_a$

## Example

- $f(x, y) = y^2 + (x - 1)x(x + 1)$  over  $\mathbb{Z}_5[x, y]$
- $f(x, y) \equiv (x - 1)x(x + 1) \pmod{y}$

$$g = x - 1 \quad \text{and} \quad h = x(x + 1)$$

- $a = 3(x + 2), b = 3$

## Example

- $f(x, y) = y^2 + (x - 1)x(x + 1)$  over  $\mathbb{Z}_5[x, y]$
- $f(x, y) \equiv (x - 1)x(x + 1) \pmod{y}$

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- $m = f - gh = y^2$

$$g^* = (x - 1) + by^2 \quad \text{and} \quad h^* = x(x + 1) + ay^2$$

$$(x-1) + 3y^2$$

$$x^2 + x + 3(x+2)y^2$$

$$g^* \cdot h^* = (x-1)x(x+1) + \underbrace{[3(x+2)(x-1) + 3(x+2)x]}_{1} y^2 + y^4(\dots)$$

$$\equiv f + y^4(\dots) \equiv f \pmod{y^2}$$

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- $q = ag^* + bh^* - 1$  and

$$a^* = a(1 - q) \quad \text{and} \quad b^* = b(1 - q)$$

# Example

- Introduction: why multivariate factoring and main idea
- Hensel Lifting
- **Main Algorithm**
- Conclusion
- Acknowledgements



## Main Algorithm

- **Input:**  $f \in \mathbb{F}[x, y]$ , where  $\mathbb{F}$  is a field, where  $\deg_x(f), \deg_y(f) \leq d$
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$$f(x, y) \leftarrow f(x, y + \alpha)$$

makes  $\text{disc}_x(f)(0) \neq 0$

**Q:** what if  $\nexists \alpha \in \mathbb{F}$  s.t.  $\text{disc}_x(f)(\alpha) \neq 0$

$\Rightarrow \text{disc}_x(f) = 0 \Rightarrow \text{gcd}(f, \partial_x f)$  nontrivial

$\Rightarrow$  return factorization

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①  $g_0$  is irreducible

②  $g_0$  and  $h_0$  do not have a common factor.

$a_0 g_0 + b_0 h_0 = 1$   
( $\mathbb{F}[x]$  is PID)

go over this later

intuition:

$$f = g(x, y) h(x, y)$$

$$f(x, 0) = \prod_{i=1}^t p_i(x) \cdot \prod_{i=1}^k q_i(x)$$

don't know which grouping of the factors work

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$$f(x, y) \equiv \underline{g_k(x, y)} \cdot \underline{h_k(x, y)} \pmod{y^{2^k}}$$

large enough

$$2^k \geq 2^{2 \log d + 2} \geq 4 \cdot d^2$$

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- Output  $\text{gcd}(G, f)$

## Intuition about $G$

$$f = \underbrace{p(x,y)}_{\leq \deg_x(f)-1} \cdot \underbrace{q(x,y)}_{\geq 1}$$

$$f(x,0) = \underbrace{\prod p_i(x)}_{p_1(x) = g_0(x)} \cdot \prod q_j(x)$$

$$p_1(x) = g_0(x)$$

$G$

$$p(x,y) \equiv g_k(x,y) \cdot d_k(x,y) \pmod{y^{2^k}}$$

one of the factors of  $f$  is multiple of  $g_k(x,y)$   
modulo  $(y^{2^k})$   $\therefore G$  is multiple of  $p(x,y)$

$$p \mid \gcd(G, f)$$

$$\begin{aligned} \deg_x(p) &< \deg_x(f) \\ \deg_y(p) &= \deg_y(f) \end{aligned}$$

# Analysis

- Pick  $\alpha \in \mathbb{F}$  at random and set

$$f(x, y) \leftarrow f(x, y + \alpha)$$

- Why would a random shift work with high probability?



# Analysis

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- Why would a random shift work with high probability?

- If

- 1  $|\mathbb{F}| > 4d^2$ ,

- 2  $f(x, y)$  is *square-free*,

then there is  $\alpha \in \mathbb{F}$  such that  $f(x, \alpha)$  *does not have repeated factors*



# Analysis

- Factor  $f_0(x) := f(x, 0)$  as  $f_0(x) = g_0(x) \cdot h_0(x)$  where
  - $g_0$  is irreducible
  - $g_0$  and  $h_0$  do not have a common factor.
- Why can we do this?

$\text{disc}_x(f)(0) \neq 0 \Rightarrow f_0(x)$  doesn't have repeated factors

$$f_0(x) = \underbrace{p_1(x)}_{g_0 \text{ irreducible}} \underbrace{p_2(x) \cdots p_n(x)}_{h_0}$$

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- Why can we do this?
- After we shifted  $y \leftarrow y + \alpha$ , we know that  $f(x, 0)$  does not have square factors
- Take any irreducible factor of  $f(x, 0)$
- Because  $\mathbb{F}[x]$  is an Euclidean Domain, we can also find  $a_0, b_0$  such that

$$a_0 g_0 + b_0 h_0 = 1$$

$\therefore$  satisfy Hensel lifting assumptions!

# Analysis

- Apply Hensel lifting for  $k \geq 2 \log d + 2$  times and find

$$f(x, y) \equiv g_k(x, y) \cdot h_k(x, y) \pmod{y^{2^k}}$$

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- Can do this since we have

$$f(x, y) = g_0(x) \cdot h_0(x) \pmod{y}$$

and

$$a_0 g_0 + b_0 h_0 = 1$$



## Analysis

- Solve linear system and find  $G, L \in \mathbb{F}[x, y]$  with  $\deg_x(G) < \deg_x(f)$ ,  $\deg_y(G) \leq \deg_y(f)$  and

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  - 2  $g_0, l_0$  coprime

factors of  $f_0$

$$g \equiv g_0 l_0 \pmod{(y)} \Rightarrow g \equiv \hat{g}_k \cdot l_k \pmod{(y^{2^k})}$$

↓  
Hensel  
lifting

## Analysis

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$$g \equiv g_0 l_0 \pmod{(y)} \Rightarrow g \equiv \hat{g}_k \cdot l_k \pmod{(y^{2^k})}$$

- 3 Now we have two solutions:

$$f - \underline{g_k h_k} \equiv f - gh \equiv f - \underline{\hat{g}_k \cdot l_k h} \pmod{(y^{2^k})}$$

and we know  $\hat{g}_k \equiv g_0 \pmod{(y)}$  and  $l_k h \equiv h_0 \pmod{(y)}$

# Analysis

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$$g \equiv g_0 l_0 \pmod{y} \Rightarrow \underline{g \equiv \hat{g}_k \cdot l_k \pmod{y^{2^k}}}$$

- ② By induction and uniqueness of Hensel Lifting, can make

$$\hat{g}_k = g_k \pmod{y^{2^k}}$$

$$g_1 \equiv \hat{g}_1 \equiv g_0 \pmod{y}$$

$$f \equiv g_1 h_1 \equiv g h \pmod{y^2}$$
$$\equiv \hat{g}_1 \cdot l_{1,h}$$

$h_1, l_{1,h}$   
 $g_1, \hat{g}_1$  solutions  
to Hensel lifting  
problem for  $f$

uniqueness of Hensel lifting  $\Rightarrow g_1 \equiv \hat{g}_1(1+u) \pmod{y^2}$   
 $u \in (y)$

$$\boxed{g_i = \hat{g}_i (1-u)} \pmod{y^2} \quad u \in (y)$$

$$l_i h_i = h_i (1+u) \pmod{y^2}$$

$$\begin{aligned} g &\equiv \hat{g}_i \cdot l_i \pmod{y^2} \\ &\equiv \underbrace{\hat{g}_i (1-u)}_{\hat{g}_i} \cdot \underbrace{(1+u) \cdot l_i}_{\substack{\uparrow \\ \in (y^2)}} \equiv g_i \hat{l}_i \pmod{y^2} \end{aligned}$$

$g = g_i \cdot \hat{l}_i \pmod{y^2}$  is another solution to the Hensel lifting



# Analysis

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- ③ Thus, the system

$$G \equiv g_k \cdot L \pmod{y^{2^k}} \quad \text{and} \quad G \neq 0$$

will have a solution such that

*factor of f*

$$\deg_x(G) < \deg_x(f), \quad \deg_y(G) \leq \deg_y(f)$$

$G = \hat{g}$        $L = \hat{l}_k$  from Hensel lifting

# Analysis

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- 4 If it does not, then we can return that  $f$  is irreducible!

## Analysis

- Now we need to prove that  $\gcd(G, f)$  is non-trivial, where  $\deg_x(G) < \deg_x(f)$ ,  $\deg_y(G) \leq \deg_y(f)$  and

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- 1 Note that  $\text{Res}_x(f, G)$  is a polynomial in  $\mathbb{F}[y]$  of degree  $< 2d^2 \leq 2^k$ , by our choice of  $k$ .

$$\text{Res}_x(f, G) = u(x, y) \cdot f + v(x, y) \cdot G$$

$\in$   
 $\mathbb{F}[y]$

## Analysis

$$\text{Res}_x(f, G) = 0 \Leftrightarrow \gcd(f, G) \text{ nontrivial}$$

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$$\text{Res}_x(f, G) = u(x, y) \cdot f + v(x, y) \cdot G$$

$\text{mod}(y^{2^k})$

- Modulo  $y^{2^k}$ , we have

$$\deg_y(R) < \underline{2^k}$$

$$0 \neq \text{Res}_x(f, G) = \underline{R(y)} \equiv u f + v G \equiv u g_k h_k + v g_k L$$

$$\equiv g_k (u h_k + v L)$$

depends on  $x$

contradiction.

# Conclusion

- Today we learned to factor bivariate polynomials
- Widely used in practice
  - Decoding Reed-Solomon Codes (next lecture)

# Acknowledgement

- Lecture based largely on:
  - Madhu's notes - lectures 7 and 8  
<http://people.csail.mit.edu/madhu/FT98/>