

2. List Decoding of Generalized Reed-Solomon Codes

Gadiel Seroussi

October 14, 2022

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List Decoding of Linear Codes

Given

- an $[n, k, d]$ linear code \mathcal{C} over a field F ,
- a channel $S = (F, F, P)$ (assuming for simplicity channel output alphabet = input alphabet),
- a positive integer ℓ .

Definition

A *list- ℓ decoder* is a mapping $\mathcal{D} : F^n \rightarrow 2^{\mathcal{C}}$ (subsets of \mathcal{C}), where $|\mathcal{D}(\mathbf{y})| \leq \ell$ for every $\mathbf{y} \in F^n$.

Given a received word \mathbf{y} , the decoder returns a *list* of *at most* ℓ codewords.

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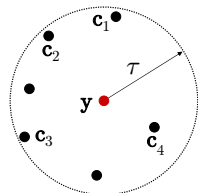
We declare success if *the list includes the transmitted codeword*.

List Decoding of Linear Codes (ii)

Definition

An integer τ is a *decoding radius* of a list- ℓ decoder \mathcal{D} if

$$d(\mathbf{y}, \mathbf{c}) \leq \tau \implies \mathbf{c} \in \mathcal{D}(\mathbf{y}) \quad \forall \mathbf{y} \in F^n, \mathbf{c} \in \mathcal{C}.$$



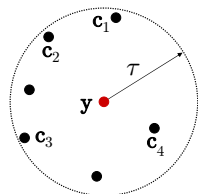
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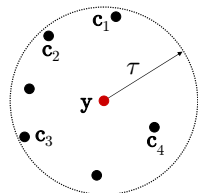
- If the number of errors that actually occurred is τ or less, then the returned list is guaranteed to contain the transmitted codeword.
- A nearest-codeword decoder for an $[n, k, d]$ linear code \mathcal{C} is a list-1 decoder with decoding radius $\lfloor (d-1)/2 \rfloor$.

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But, what good is a list of words if what we want is the *unique* codeword that was sent?

List Decoding of Linear Codes (iii)

How do we pick the right codeword from $\mathcal{D}(\mathbf{y})$?

- Maximizing likelihood: $P(\mathbf{y} \text{ received} | \mathbf{c} \text{ transmitted})$.
Reduces *maximum likelihood decoding* for errors of weight up to τ to a search among ℓ codewords, with ties resolved according to some (deterministic or randomized) policy.
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- Using side information on codewords, such as *a priori* probabilities (maybe derived from the context).
- *The list may contain a single codeword even when $\tau > \lfloor (d-1)/2 \rfloor$!*
(We'll get back to this later.)

Bivariate polynomials

- ▶ $F[x, z]$ = set of all bivariate polynomials in x, z over a field F :

$$F[x, z] = \left\{ f(x, z) = \sum_{i,j=0}^m f_{i,j} x^i z^j : m \in \mathbb{Z}_{\geq 0}, f_{i,j} \in F \right\}.$$

- ▶ We will also use the equivalent representation

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- ▶ $F[x, y]$ is a *ring*. Addition and multiplication are well defined, additive inverses exist, multiplicative ones do not in general (except for scalars).
- ▶ $F[x][z]$ is a ring of univariate polynomials with coefficients in $F[x]$, which is a ring of univariate polynomials with coefficients in F .

Definition

The (μ, ν) -*degree* of $f(x, z) \in F[x, z]$, $\mu, \nu \geq 0$:

$$\deg_{\mu, \nu} f(x, z) = \max_{i, j: f_{i, j} \neq 0} \{i\mu + j\nu\} .$$

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- $\deg_{1,1} f(x, z)$ is the ordinary degree of $f(x, z)$ in $F[x, z]$.
- $\deg_{0,1} f(x, z)$ is the ordinary degree of $f(x, z)$ when regarded as an element of $F[x][z]$ (degree in z).
- By convention, $\deg_{\mu, \nu}(0) = -\infty$.

Bivariate polynomials (ii)

Definition

Let $f(x, z), g(x, z) \in \mathbb{F}[x, z]$, $f(x, z) \neq 0$. We say that $f(x, z)$ *divides* (or is a *factor* of) $g(x, z)$ if $g(x, z) = f(x, z)h(x, z)$ for some $h \in \mathbb{F}[x, z]$.

- $\mathbb{F}[x, z]$ is *not a Euclidean ring*. However, $\mathbb{F}[x][z]$ is, and $\mathbb{F}[x, z]$ is a *unique factorization domain*.

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Definitions

- A (z -)*linear factor* of $Q(x, z)$ is a factor of the form $z - f(x)$, $f(x) \in F[x]$.
- $f(x)$ is a z -*root* of $Q(x, z)$ if $Q(x, f(x)) = 0$ (identically).

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Lemma

$f(x)$ is a z -root of $Q(x, z)$ if and only if $z - f(x)$ is a factor of $Q(x, z)$.

- Proof not totally trivial since $\mathbb{F}[x]$ is not a field—work over the *field of rational functions* $\mathbb{F}(x)$.

GRS decoding through bivariate polynomials

- \mathcal{C}_{GRS} : $[n, k, d]$ GRS code over a field F . For simplicity, we assume a generator matrix of the form

$$G_{\text{GRS}} = \begin{pmatrix} 1 & 1 & \dots & 1 \\ \alpha_1 & \alpha_2 & \dots & \alpha_n \\ \alpha_1^2 & \alpha_2^2 & \dots & \alpha_n^2 \\ \vdots & \vdots & \vdots & \vdots \\ \alpha_1^{k-1} & \alpha_2^{k-1} & \dots & \alpha_n^{k-1} \end{pmatrix}$$

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- ▶ Associate $\mathbf{u} = (u_0, u_1, \dots, u_{k-1}) \in F^k$ with $u(x) = \sum_{i=0}^{k-1} u_i x^i \in F_k[x]$.

$$\mathcal{C}_{\text{GRS}} = \{ \mathbf{u} G_{\text{GRS}} = (u(\alpha_1), u(\alpha_2), \dots, u(\alpha_n)) : u(x) \in F_k[x] \}$$

- ▶ Assume $\mathbf{c} = (c_1, c_2, \dots, c_n)$ was sent, and $\mathbf{y} = (y_1, y_2, \dots, y_n)$ was received, with $d(\mathbf{y}, \mathbf{c}) \leq \frac{1}{2}(d-1)$. Since $n \geq k$, reconstructing $\mathbf{c} = (u(\alpha_1), u(\alpha_2), \dots, u(\alpha_n))$ is the same as reconstructing $u(x)$.

GRS decoding through bivariate polynomials (ii)

- Construct $Q(x, z) \in F[x, z]$ satisfying *degree constraints*

$$\deg_{0,1} Q(x, z) \leq 1 \quad \text{and} \quad \deg_{1,k-1} Q(x, z) < n - \frac{1}{2}(d-1)$$

and *interpolation constraints*

$$Q(\alpha_j, y_j) = 0, \quad j = 1, 2, \dots, n \quad (*)$$

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- ▶ This still allows $Q(x, z)$ to have

$$\lceil n - \frac{1}{2}(d-1) \rceil + \lceil \frac{1}{2}(d+1) \rceil \geq n + 1$$

significant (unknown) coefficients. On the other hand $(*)$ is a set of n homogeneous linear equations in these unknowns \implies *there is at least one nonzero solution $Q(x, z)$ satisfying the constraints.*

GRS decoding through bivariate polynomials (ii)

Let $n_0 = \deg(Q_0)$, $n_1 = \deg(Q_1)$. Then

$$Q(\alpha_j, y_j) = \sum_{s=0}^{n_0} Q_{s,0} \alpha_j^s + \sum_{t=0}^{n_1} Q_{t,1} \alpha_j^t y_j.$$

The equations (*) can be written as

$$\begin{array}{c}
 \begin{array}{c} \longleftarrow Q_0 \longrightarrow \\ \longleftarrow Q_1 \longrightarrow \end{array} \\
 \begin{array}{c} \uparrow \\ n \\ \downarrow \end{array} \left(\begin{array}{ccccc|ccccc}
 1 & \alpha_1 & \alpha_1^2 & \cdots & \alpha_1^{n_0} & y_1 & \alpha_1 y_1 & \alpha_1^2 y_1 & \cdots & \alpha_1^{n_1} y_1 \\
 1 & \alpha_2 & \alpha_2^2 & \cdots & \alpha_2^{n_0} & y_2 & \alpha_2 y_2 & \alpha_2^2 y_2 & \cdots & \alpha_2^{n_1} y_2 \\
 \vdots & \vdots & \ddots & \vdots & \vdots & \vdots & \vdots & \vdots & \ddots & \vdots \\
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 \end{array} \right) \begin{array}{c}
 Q_{0,0} \\
 Q_{1,0} \\
 Q_{2,0} \\
 \vdots \\
 Q_{n_0,0} \\
 \hline
 Q_{0,1} \\
 Q_{1,1} \\
 Q_{2,1} \\
 \vdots \\
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 \end{array} = \mathbf{0}.
 \end{array}$$

$\longleftarrow n_0 + n_1 + 2 \geq n + 1 \longrightarrow$

There is at least one nonzero solution $Q(x, z)$ satisfying the constraints.

GRS decoding through bivariate polynomials (iii)

There is at least one nonzero solution $Q(x, z)$ satisfying the constraints.

- ▶ Consider such a solution, and define

$$\varphi(x) = Q(x, u(x)) = Q_0(x) + u(x)Q_1(x) \quad (**)$$

- ▶ Denote the set of error locations $J = \{j : y_j \neq c_j\}$. For $j \notin J$ we have

$$\varphi(\alpha_j) = Q(\alpha_j, u(\alpha_j)) = Q(\alpha_j, c_j) = Q(\alpha_j, y_j) \stackrel{(*)}{=} 0$$

$\implies \varphi(x)$ has at least $n - |J|$ distinct roots in F . But

$$\deg \varphi(x) \leq \max\{\deg Q_0(x), \deg u(x) + \deg Q_1(x)\} < n - \frac{1}{2}(d-1) \leq n - |J|$$

$\implies \varphi(x)$ must be identically zero \implies we can solve for $u(x)$ in (**):

$$u(x) = -\frac{Q_0(x)}{Q_1(x)}$$

This recovers the transmitted codeword \mathbf{c} .

GRS decoding through bivariate polynomials (iv)

- ▶ Since $\varphi \equiv 0$, we also have, for $j \in J$

$$\begin{aligned} 0 = \varphi(\alpha_j) = Q(\alpha_j, c_j) &= Q_0(\alpha_j) + c_j Q_1(\alpha_j) \quad \text{and} \\ 0 &\stackrel{(*)}{=} Q(\alpha, y_j) = Q_0(\alpha_j) + y_j Q_1(\alpha_j) \\ &\implies \underbrace{(y_j - c_j)}_{\neq 0} Q_1(\alpha_j) = 0 \end{aligned}$$

- ▶ Therefore, $Q_1(\alpha_j) = 0$ for all $j \in J$
 $\implies Q_1(x)$ is divisible by $V(x) = \prod_{j \in J} (x - \alpha_j) = x^{|J|} \Lambda(x^{-1})$ where Λ is the *error locator polynomial* we defined for standard GRS decoding.
- ▶ In fact, $Q(x, z) = V(x)(z - u(x))$ is a solution to the degree and interpolation constraints and we have $V(x) = Q_1(x)$. This solution $Q(x, z)$ has the smallest possible $(1, k-1)$ -degree and is unique up to scalar multiples.
 - The GRS decoding scheme just described is closely related to the *Welch-Berlekamp* GRS decoding algorithm.

List- ℓ decoding for $\ell > 1$: Sudan's algorithm

- Consider an $[n, k, d]$ GRS code \mathcal{C}_{GRS} , and define

$$R' = \frac{k-1}{n}.$$

It will be convenient to use R' rather than R to represent code rate.

- \mathcal{C}_{GRS} is MDS, so $n = k+d-1$, or $R' = 1-\delta$, where $\delta = d/n$.
- Madhu Sudan (1997) introduced a list- ℓ decoder for GRS codes, with decoding radius Δ ,

$$\Delta = \lceil n \Theta_{\ell,1}(R') \rceil - 1,$$

where

$$\Theta_{\ell,1}(R') = \frac{\ell}{\ell+1} - \frac{\ell}{2}R'$$

(The second sub-index 1 of $\Theta_{\ell,1}$ will be justified later.)

Sudan's algorithm (ii)

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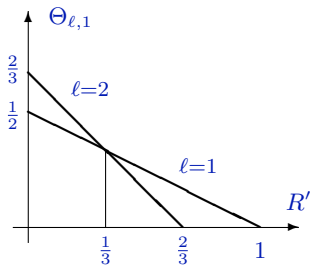
Example

$\ell = 1$: $\Theta_{1,1}(R') = (1 - R')/2 = \delta/2$
corresponding to $\Delta = \lfloor (d-1)/2 \rfloor$, as
expected.

Example

$\ell = 2$: $\Theta_{2,1}(R') = \frac{2}{3} - R'$,
corresponding to

$$\Delta = \lceil \frac{2}{3}n \rceil - k = \lfloor \frac{2}{3}(n+1) \rfloor - k.$$



When $R' > \frac{1}{3}$ there is no point in
selecting $\ell=2$ over $\ell=1$.

In general, choose ℓ such that

$$\begin{aligned}\Theta_{\ell,1}(R') &\geq \Theta_{\ell-1,1}(R') \\ \Leftrightarrow R' &\leq 2/(\ell^2 + \ell).\end{aligned}$$

Sudan's algorithm (ii-cont.)

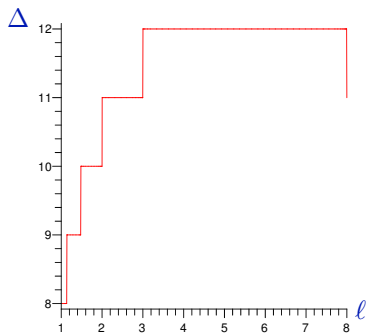
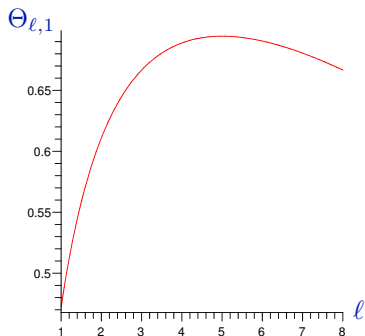
Example: GRS code with parameters $[18, 2, 17]$, $R' = 1/18$.

ℓ	$\Theta_{\ell,1}(R')$	Δ
1	$17/36$	8
2	$11/18$	10
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Sudan's algorithm (ii-cont.)

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Sudan's algorithm (iii)

Lemma (Interpolation lemma)

Let $\ell, \tau \in \mathbb{Z}_{>0}$ be such that $\tau < n\Theta_{\ell,1}(R')$. For every vector $(y_1, y_2, \dots, y_n) \in F^n$ there exists a nonzero bivariate polynomial $Q(x, z) \in F[x, z]$ that satisfies the constraints

$$\deg_{0,1} Q(x, z) \leq \ell \quad \text{and} \quad \deg_{1,k-1} Q(x, z) < n - \tau, \quad (*) \text{ (degree)}$$

$$Q(\alpha_j, y_j) = 0, \quad j = 1, 2, \dots, n. \quad (**) \text{ (interp.)}$$

Proof of Sudan's interpolation lemma

$$\deg_{0,1} Q(x, z) \leq \ell \quad \text{and} \quad \deg_{1,k-1} Q(x, z) < n - \tau \quad (*) \text{ (degree)}$$

Recall $\Theta_{\ell,1}(R') = \frac{\ell}{\ell+1} - \frac{\ell}{2}R'$ and $\tau < \Theta_{\ell,1}(R')$.

Proof.

$Q(x, z)$ is of degree at most ℓ in z , i.e.:

$$Q(x, z) = \sum_{t=0}^{\ell} Q_t(x)z^t.$$

Let $n_t = \deg Q_t$. Then, by the second degree constraint, we must have $t(k-1) + n_t < n - \tau$. Therefore, the number of significant coefficients allowed by (*) is:

$$\begin{aligned} \sum_{t=0}^{\ell} ((n-\tau) - t(k-1)) &= (\ell+1)(n-\tau) - \binom{\ell+1}{2}(k-1) = (\ell+1)(n-\tau) - \binom{\ell+1}{2}nR' \\ &= (\ell+1)\left(n - \tau - \frac{1}{2}\ell nR'\right) \end{aligned}$$

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$$\begin{aligned} \sum_{t=0}^{\ell} ((n-\tau) - t(k-1)) &= (\ell+1)(n-\tau) - \binom{\ell+1}{2}(k-1) = (\ell+1)(n-\tau) - \binom{\ell+1}{2}nR' \\ &= (\ell+1)\left(n - \tau - \frac{1}{2}\ell nR'\right) = (\ell+1)\left(n - \frac{n}{\ell+1} - \tau - \frac{1}{2}\ell nR'\right) + n \\ &= (\ell+1)\left(\frac{\ell}{\ell+1}n - \frac{1}{2}\ell nR' - \tau\right) + n = (\ell+1)\left(n\Theta_{\ell,1}(R') - \tau\right) + n > n. \end{aligned}$$

Hence, there must be at least one nontrivial solution to (**).

Sudan's algorithm (iv)

Lemma (Factorization lemma)

Let $Q(x, z) \in F[x, z] \setminus \{0\}$ satisfy (*)–(**) for some τ and \mathbf{y} . Suppose there exists $u(x) \in F_k[x]$ such that $\mathbf{c} = (u(\alpha_i))_{i=1}^n$ satisfies $d(\mathbf{y}, \mathbf{c}) \leq \tau$. Then $(z - u(x)) \mid Q(x, z)$.

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Proof.

Let $J = \{j : y_j \neq u(\alpha_j)\}$ and define $\varphi(x) = Q(x, u(x))$. We have

$$\deg \varphi(x) \leq \deg_{1, k-1} Q(x, z) \stackrel{(*)}{<} n - \tau \stackrel{d(\mathbf{y}, \mathbf{c}) \leq \tau}{\leq} n - |J|.$$

On the other hand, for all location indices $j \notin J$,

$$\varphi(\alpha_j) = Q(\alpha_j, u(\alpha_j)) \stackrel{(**)}{=} Q(\alpha_j, y_j) = 0.$$

As before, we conclude that $\varphi(x) \equiv 0$, and, thus, $u(x)$ is a z -root of $Q(x, z)$.

A list- ℓ decoder for \mathcal{C}_{GRS}

A list- ℓ decoder for \mathcal{C}_{GRS} derives immediately from the interpolation and factorization lemmas above.

Input: received word $\mathbf{y} = (y_1, y_2, \dots, y_n)$, $\ell =$ list size.
(Assume decoding radius $\tau = \lceil n\Theta_{\ell,1}(R') \rceil - 1$.)

Output: list of up to ℓ codewords $\mathbf{c} \in \mathcal{C}_{\text{GRS}}$.

① *Interpolation step:* find a nonzero $Q(x, z) \in F[x, z]$ satisfying

$$\deg_{0,1} Q(x, z) \leq \ell, \quad \deg_{1,k-1} Q(x, z) \leq n(1 - \Theta_{\ell,1}(R')),$$

$$\text{and} \quad Q(\alpha_j, y_j) = 0, \quad j = 1, 2, \dots, n.$$

② *Factorization step:* Compute the set U of all polynomials $u(x) \in F_{nR'+1}[x]$ such that $(z - u(x)) \mid Q(x, z)$.

③ Output all the codewords $\mathbf{c} = (u(\alpha_1), u(\alpha_2), \dots, u(\alpha_n))$ corresponding to $u(x) \in U$ such that $\mathbf{d}(\mathbf{y}, \mathbf{c}) < n\Theta_{\ell,1}(R')$.

- $\deg_{0,1} Q(x, z) \leq \ell$ and $\deg_{1,k-1} Q(x, z) < n - \tau$

Degree constraints, through interpolation/factorization lemmas, ensure we can catch up to ℓ codewords at distance τ or less from received word.

Reverse engineering

- $\deg_{0,1} Q(x, z) \leq \ell$ and $\deg_{1,k-1} Q(x, z) < n - \tau$

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- Count free coefficients allowed by degree constraints.

$$Q(x, z) = \sum_{i=0}^{\ell} Q_i(x) z^i, \quad \deg Q_i < n - \tau - (k - 1)i$$

$$\begin{aligned} N_{\text{coeffs}} &= \sum_{i=0}^{\ell} (n - \tau - (k - 1)i) \\ &= (\ell + 1)(n - \tau) - (k - 1) \frac{\ell(\ell + 1)}{2} > n \quad (\text{we want}) \end{aligned}$$

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$$\iff \frac{\tau}{n} < \underbrace{\frac{\ell}{\ell + 1} - \frac{\ell}{2} R'}_{\Theta_{\ell,1}(R')}$$

Analysis of the computation

List- l decoding can be done in polynomial time.

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- 2 *Factorization step:* Compute the set U of all polynomials $u(x) \in F_{nR'+1}[x]$ such that $(z - u(x)) \mid Q(x, z).$

Nontrivial, because the roots sought are in $F(x)$. Efficient solutions exist [Gao-Shokrollahi 1999, Roth-Ruckenstein 2000].

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- 3 Output all the codewords $\mathbf{c} = (u(\alpha_1), u(\alpha_2), \dots, u(\alpha_n))$ corresponding to $u(x) \in U$ such that $d(\mathbf{y}, \mathbf{c}) < n\Theta_{\ell,1}(R')$.

Getting \mathbf{c} from $u(x)$ takes $O(nk)$ operations.

Doing it for all codewords in the list takes $O(\ell nk)$ operations.

Sudan's algorithm: small example

List-2 decoder for GRS $[7, 2, 6]$ over $F = \text{GF}(7)$ ($\ell=2, R'=1/7, \lfloor \frac{d-1}{2} \rfloor=2$)

- Code locators $\alpha_j = j, j = 0, 1, \dots, 6$.

$$G_{\text{GRS}} = \begin{pmatrix} 1 & 1 & 1 & 1 & 1 & 1 & 1 \\ 0 & 1 & 2 & 3 & 4 & 5 & 6 \end{pmatrix}.$$

- Decoding radius:

$$\tau = \lceil n\Theta_{\ell,1} \rceil - 1 = \left\lceil n \left(\frac{\ell}{\ell+1} - \frac{\ell}{2} R' \right) \right\rceil - 1 = \left\lceil 7 \left(\frac{2}{3} - \frac{1}{7} \right) \right\rceil - 1 = 3.$$

- Degree constraints on Q : $\deg_{0,1} Q \leq 2, \deg_{1,1} Q < n - \tau = 4$.

$$Q(x, z) = (q_{00} + q_{10}x + q_{20}x^2 + q_{30}x^3) \\ + (q_{01} + q_{11}x + q_{21}x^2)z + (q_{02} + q_{12}x)z^2 \quad \text{9 variables}$$

- Sent word: $[0000000]$ Received: $[1110000]$
- Interpolation constraints: $Q(\alpha_j, y_j) = 0, \quad 1 \leq j \leq 7$.

$$\begin{bmatrix} 1, \alpha_j, \alpha_j^2, \alpha_j^3, y_j, \alpha_j y_j, \alpha_j^2 y_j, y_j^2, \alpha_j y_j^2 \\ q_{00}, q_{10}, q_{20}, q_{30}, q_{01}, q_{11}, q_{21}, q_{02}, q_{12} \end{bmatrix}' = 0$$

Sudan's algorithm: small example

$$[1, \alpha_j, \alpha_j^2, \alpha_j^3, y_j, \alpha_j y_j, \alpha_j^2 y_j, y_j^2, \alpha_j y_j^2] \cdot \mathbf{q}' = 0$$

$$\mathbf{q} = [q_{00}, q_{10}, q_{20}, q_{30}, q_{01}, q_{11}, q_{21}, q_{02}, q_{12}]$$

$$\begin{array}{c}
 \leftarrow 9 \rightarrow \\
 \uparrow 7 \downarrow \\
 \begin{bmatrix}
 1 & 0 & 0 & 0 & 1 & 0 & 0 & 1 & 0 \\
 1 & 1 & 1 & 1 & 1 & 1 & 1 & 1 & 1 \\
 1 & 2 & 4 & 1 & 1 & 2 & 4 & 1 & 2 \\
 1 & 3 & 2 & 6 & 0 & 0 & 0 & 0 & 0 \\
 1 & 4 & 2 & 1 & 0 & 0 & 0 & 0 & 0 \\
 1 & 5 & 4 & 6 & 0 & 0 & 0 & 0 & 0 \\
 1 & 6 & 1 & 6 & 0 & 0 & 0 & 0 & 0
 \end{bmatrix} \cdot \mathbf{q}' = \begin{bmatrix} 0 \\ 0 \\ 0 \\ 0 \\ 0 \\ 0 \\ 0 \end{bmatrix}
 \end{array}$$

- Solutions: $r[0, 0, 0, 0, 6, 0, 0, 1, 0] + s[0, 0, 0, 0, 0, 6, 0, 0, 1]$, $r, s \in F$.
- Set $r = 1, s = 0$: $\mathbf{q} = [0, 0, 0, 0, 6, 0, 0, 1, 0]$
- $Q(x, z) = 6z + z^2 = z^2 - z = z(z - 1)$, roots $u(x) = 0, u(x) = 1$.
- $u(x) = 1$ corresponds to codeword $[1, 1, 1, 1, 1, 1, 1]$, at distance $4 > \tau$ from \mathbf{y} : *discarded*.
- Codeword list: $\{ [0, 0, 0, 0, 0, 0, 0] \}$

Sudan's algorithm: small example

$$[1, \alpha_j, \alpha_j^2, \alpha_j^3, y_j, \alpha_j y_j, \alpha_j^2 y_j, y_j^2, \alpha_j y_j^2] \cdot \mathbf{q}' = 0$$

$$\mathbf{q} = [q_{00}, q_{10}, q_{20}, q_{30}, q_{01}, q_{11}, q_{21}, q_{02}, q_{12}]$$

$$\begin{bmatrix} 1 & 0 & 0 & 0 & 1 & 0 & 0 & 1 & 0 \\ 1 & 1 & 1 & 1 & 1 & 1 & 1 & 1 & 1 \\ 1 & 2 & 4 & 1 & 1 & 2 & 4 & 1 & 2 \\ 1 & 3 & 2 & 6 & 0 & 0 & 0 & 0 & 0 \\ 1 & 4 & 2 & 1 & 0 & 0 & 0 & 0 & 0 \\ 1 & 5 & 4 & 6 & 0 & 0 & 0 & 0 & 0 \\ 1 & 6 & 1 & 6 & 0 & 0 & 0 & 0 & 0 \end{bmatrix} \cdot \mathbf{q}' = \begin{bmatrix} 0 \\ 0 \\ 0 \\ 0 \\ 0 \\ 0 \\ 0 \end{bmatrix}$$

- Solutions: $r[0, 0, 0, 0, 6, 0, 0, 1, 0] + s[0, 0, 0, 0, 0, 6, 0, 0, 1]$, $r, s \in F$.

$$Q(x, z) = 6rz + 6sxz + rz^2 + sxz^2 = (r + sx)(z^2 - z) = (r + sx)z(z - 1),$$

roots $u(x) = 0$, $u(x) = 1$.

- Codeword list: $\{ [0, 0, 0, 0, 0, 0, 0, 0, 0] \}$

Sudan's algorithm: bigger example

List-4 decoder for GRS [18, 2, 17] over $F = \text{GF}(19)$ ($\ell=4$, $R'=\frac{1}{18}$, $\lfloor \frac{d-1}{2} \rfloor=8$)

- Code locators $\alpha_j = j$, $j = 1, 2, \dots, 18$.

$$G_{\text{GRS}} = \begin{pmatrix} 1 & 1 & 1 & 1 & 1 & 1 & 1 & 1 & 1 & 1 & 1 & 1 & 1 & 1 & 1 & 1 & 1 & 1 \\ 1 & 2 & 3 & 4 & 5 & 6 & 7 & 8 & 9 & 10 & 11 & 12 & 13 & 14 & 15 & 16 & 17 & 18 \end{pmatrix}.$$

- Decoding radius:

$$\tau = \lceil n\Theta_{\ell,1} \rceil - 1 = \left\lceil n \left(\frac{\ell}{\ell+1} - \frac{\ell}{2} R' \right) \right\rceil - 1 = \lceil 18 \left(\frac{4}{5} - \frac{1}{9} \right) \rceil - 1 = 12.$$

- Degree constraints on Q : $\deg_{0,1} Q \leq 4$, $\deg_{1,1} Q < n - \tau = 6$.

$$Q(x, z) = \sum_{i=0}^4 \left(\sum_{j=0}^{5-i} f_{i,j} x^j \right) z^i \quad \text{20 indeterminates.}$$

- Assume the transmitted codeword \mathbf{c} corresponds to $u(x) = 18 + 14x$, i.e.,

$$\mathbf{c} = (13, 8, 3, 17, 12, 7, 2, 16, 11, 6, 1, 15, 10, 5, 0, 14, 9, 4),$$

and the received word is

$$\mathbf{y} = (5, 5, 1, 10, 10, 7, 2, 18, 6, 6, 1, 15, 13, 5, 14, 3, 1, 0).$$

The Guruswami-Sudan algorithm

- ▶ The decoding radius of Sudan's algorithm can be increased by considering also the *derivatives* of $Q(x, z)$
- ▶ The quantity $\Theta_{\ell,1}(R')$ will be generalized to

$$\Theta_{\ell,r}(R') = \frac{1}{(\ell+1)^r} \left(\binom{\ell+1}{2} (1 - R') - \binom{\ell+1-r}{2} \right)$$

or, equivalently,

$$\Theta_{\ell,r}(R') = 1 - \frac{r+1}{2(\ell+1)} - \frac{\ell}{2r} R', \quad r \leq \ell.$$

- ▶ As before, $R' \mapsto \Theta_{\ell,r}(R')$ represents a line in the real plane. When $r = 1$, the expression reduces to the previous definition of $\Theta_{\ell,1}(R')$.
- ▶ The additional parameter r will be optimized to obtain the largest possible decoding radius.

Hasse derivatives

- We saw finite field derivatives in the computation of error values in GRS decoding, e.g.: $e_j = -\frac{\alpha_j}{v_j} \cdot \frac{\Gamma(\alpha_j^{-1})}{\Lambda'(\alpha_j^{-1})}$
- Finite field derivatives have some familiar properties, e.g., β is a multiple root of $f(x)$ iff $f(\beta) = f'(\beta) = 0$.
 - But, in characteristic p , $f^{(p)}(x) \equiv 0$ for all f . E.g., $f''(x) \equiv 0$ in characteristic 2. **Not good for characterizing root multiplicity.**

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Definition (Hasse derivative)

Let $a(x) = \sum_{i=0}^n a_i x^i$ be a polynomial in $F[x]$. The ℓ th *Hasse derivative* of $a(x)$, denoted $a^{[\ell]}(x)$, is defined as

$$a^{[\ell]}(x) = \sum_{i=\ell}^n \binom{i}{\ell} a_i x^{i-\ell} .$$

$$\binom{i}{\ell} \triangleq 0 \text{ when } i < \ell$$

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Example: $f(x) = x^4 + x^3 + 1 \in \text{GF}(2)[x]$.

$$f^{[1]}(x) = \binom{4}{1}x^3 + \binom{3}{1}x^2 = x^2 = f^{(1)}(x), \quad f^{[2]}(x) = \binom{4}{2}x^2 + \binom{3}{2}x = x,$$

$$f^{[3]}(x) = \binom{4}{3}x + \binom{3}{3} = 1, \quad f^{[4]}(x) = 1$$

$$f^{[5]}(x) = 0$$

► Properties

- $a^{[1]}(x) = a^{(1)}(x)$.
- $(a(x)+b(x))^{[\ell]} = a^{[\ell]}(x)+b^{[\ell]}(x)$, $(c \cdot a(x))^{[\ell]} = c \cdot a^{[\ell]}(x)$ **linear**.
- $(a(x)b(x))^{[\ell]} = \sum_{m=0}^{\ell} a^{[m]}(x)b^{[\ell-m]}(x)$.

Hasse derivatives (ii)

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- $a^{[1]}(x) = a^{(1)}(x)$.
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- $(a(x)b(x))^{[\ell]} = \sum_{m=0}^{\ell} a^{[m]}(x)b^{[\ell-m]}(x)$.

Proposition

Let β be a root of $f(x) \in F[x]$ in some extension of F . The multiplicity of β as a root of f is exactly m iff

$$f^{[\ell]}(x) \Big|_{x=\beta} = 0, \ell = 0, 1, \dots, m-1, \text{ and } f^{[m]}(x) \Big|_{x=\beta} \neq 0.$$

• Example:

$f(x) = x^4 + 1 = (x+1)^4 \in GF(2)[x]$ vanishes at $x = 1$

$f^{[1]}(x) = 0$ vanishes at $x = 1$

$f^{[2]}(x) = 0$ vanishes at $x = 1$

$f^{[3]}(x) = 0$ vanishes at $x = 1$

$f^{[4]}(x) = 1$ does not vanish at $x = 1$

Hasse derivatives for bivariate polynomials

Definition (Hasse derivative for bivariate polynomials)

The (s, t) th Hasse derivative of $a(x, z) \in F[x, z]$ is defined as

$$a^{[s,t]}(x, z) = \sum_{i,j} \binom{i}{s} \binom{j}{t} a_{i,j} x^{i-s} z^{j-t} .$$

$$\binom{h}{m} \triangleq 0 \text{ when } h < m$$

Guruswami-Sudan algorithm: auxiliary lemma

- ▶ Define $T(r) = \{(s, t) : s, t \in \mathbb{Z}_{\geq 0}, s + t < r\}$ **notice:** $|T(r)| = \binom{r+1}{2}$.

Guruswami-Sudan algorithm: auxiliary lemma

- Define $T(r) = \{(s, t) : s, t \in \mathbb{Z}_{\geq 0}, s + t < r\}$ **notice:** $|T(r)| = \binom{r+1}{2}$.

Lemma (auxiliary)

Given $u(x) \in F[x]$ and $a(x, z) \in F[x, z]$, let β and γ be elements of F such that $u(\beta) = \gamma$ and

$$a^{[s,t]}(x, z)|_{(x,z)=(\beta,\gamma)} = 0 \quad \text{for all } (s, t) \in T(r).$$

Then $(x - \beta)^r \mid a(x, u(x))$.

Guruswami-Sudan algorithm: auxiliary lemma

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Lemma (auxiliary)

Given $u(x) \in F[x]$ and $a(x, z) \in F[x, z]$, let β and γ be elements of F such that $u(\beta) = \gamma$ and

$$a^{[s,t]}(x, z)|_{(x,z)=(\beta,\gamma)} = 0 \quad \text{for all } (s, t) \in T(r).$$

Then $(x - \beta)^r \mid a(x, u(x))$.

Proof.

Define $b(v, w) = a(v + \beta, w + \gamma) \triangleq \sum_{s,t} b_{s,t} v^s w^t$. We have

$$a(v + \beta, w + \gamma) = \sum_{i,j} a_{i,j} (v + \beta)^i (w + \gamma)^j = \sum_{i,j} a_{i,j} \sum_{s=0}^i \sum_{t=0}^j \binom{i}{s} \binom{j}{t} \beta^{i-s} \gamma^{j-t} v^s w^t$$

Equating coefficients, we get

$$b_{s,t} = \sum_{i,j} \binom{i}{s} \binom{j}{t} a_{i,j} \beta^{i-s} \gamma^{j-t} = a^{[s,t]}(x, z)|_{x=\beta, z=\gamma}$$

and, so, $b_{s,t} = 0$ for every $(s, t) \in T(r)$. Hence,

$$a(x, u(x)) = b(x - \beta, u(x) - \gamma) = \sum_{s,t : s+t \geq r} b_{s,t} (x - \beta)^s (u(x) - \gamma)^t.$$

The result follows by observing that $(x - \beta) \mid (u(x) - \gamma)$.

Guruswami-Sudan interpolation lemma

Lemma (Guruswami-Sudan interpolation lemma)

Let $\ell, r, n, k = nR' + 1$, and τ be positive integers such that $r \leq \ell$, $k \leq n$, and $\tau < n \Theta_{\ell,r}(R')$. For every vector $\mathbf{y} \in F^n$ there exists a nonzero $Q(x, z) \in F[x, z]$ satisfying

$$\deg_{0,1} Q(x, z) \leq \ell, \quad \deg_{1,k-1} Q(x, z) < r(n - \tau), \quad (\star)$$

and

$$Q^{[s,t]}(x, z)|_{(x,z)=(\alpha_j, y_j)} = 0, \quad j = 1, 2, \dots, n, (s, t) \in T(r). \quad (\star\star)$$

Guruswami-Sudan interpolation lemma (proof)

$$\deg_{0,1} Q(x, z) \leq \ell, \quad \deg_{1,k-1} Q(x, z) < r(n - \tau), \quad (\star)$$

$$\Theta_{\ell,r}(R') = \frac{1}{(\ell+1)r} \left(\binom{\ell+1}{2} (1 - R') - \binom{\ell+1-r}{2} \right)$$

Proof.

Similar to the proof for Sudan's algorithm. The number of free coefficients allowed by the degree constraints is

$$\begin{aligned} \sum_{t=0}^{\ell} (r(n - \tau) - t(k - 1)) &= (\ell + 1)r(n - \tau) - \binom{\ell+1}{2}(k - 1) \\ &= (\ell + 1)r(n - \tau) - \binom{\ell+1}{2}nR' \\ &= \binom{\ell+1}{2}n(1 - R') + ((\ell+1)r - \binom{\ell+1}{2})n - (\ell+1)r\tau \end{aligned}$$

Guruswami-Sudan interpolation lemma (proof)

$$\deg_{0,1} Q(x, z) \leq \ell, \quad \deg_{1,k-1} Q(x, z) < r(n - \tau), \quad (\star)$$

$$\Theta_{\ell,r}(R') = \frac{1}{(\ell+1)r} \left(\binom{\ell+1}{2} (1 - R') - \binom{\ell+1-r}{2} \right)$$

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$$\begin{aligned} \sum_{t=0}^{\ell} (r(n - \tau) - t(k - 1)) &= (\ell + 1)r(n - \tau) - \binom{\ell+1}{2}(k - 1) \\ &= (\ell + 1)r(n - \tau) - \binom{\ell+1}{2}nR' \\ &= \binom{\ell+1}{2}n(1 - R') + ((\ell+1)r - \binom{\ell+1}{2})n - (\ell+1)r\tau \\ &= \binom{\ell+1}{2}n(1 - R') - \left(\binom{\ell+1-r}{2} - \binom{r+1}{2} \right)n - (\ell+1)r\tau \end{aligned}$$

Guruswami-Sudan interpolation lemma (proof)

$$\deg_{0,1} Q(x, z) \leq \ell, \quad \deg_{1,k-1} Q(x, z) < r(n - \tau), \quad (\star)$$

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Proof.

Similar to the proof for Sudan's algorithm. The number of free coefficients allowed by the degree constraints is

$$\begin{aligned} \sum_{t=0}^{\ell} (r(n - \tau) - t(k - 1)) &= (\ell + 1)r(n - \tau) - \binom{\ell+1}{2}(k - 1) \\ &= (\ell + 1)r(n - \tau) - \binom{\ell+1}{2}nR' \\ &= \binom{\ell+1}{2}n(1 - R') + ((\ell+1)r - \binom{\ell+1}{2})n - (\ell+1)r\tau \\ &= \binom{\ell+1}{2}n(1 - R') - \left(\binom{\ell+1-r}{2} - \binom{r+1}{2} \right)n - (\ell+1)r\tau \\ &= (\ell+1)r \left(n\Theta_{\ell,r}(R') - \tau \right) + \binom{r+1}{2}n > \binom{r+1}{2}n = |T(r)|n. \end{aligned}$$

Thus, the interpolation constraints have at least one nontrivial solution.

Guruswami-Sudan factorization lemma

Lemma (Guruswami-Sudan factorization lemma)

Let a nonzero $Q(x, z) \in F[x, z]$ satisfy the degree and interpolation constraints of the previous lemma for $r, \tau \in \mathbb{Z}_{>0}$, and a word $\mathbf{y} \in F^n$. Suppose there exists $u(x) \in F_k[x]$ such that the respective codeword, $\mathbf{c} = (u(\alpha_i))_{i=1}^n$ satisfies $d(\mathbf{y}, \mathbf{c}) \leq \tau$. Then $(z - u(x)) \mid Q(x, z)$.

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Proof.

Let \bar{J} be the set of indexes j for which $u(\alpha_j) = y_j$. By $(\star\star)$ and the auxiliary lemma we obtain

$$\begin{aligned} & (x - \alpha_j)^r \mid Q(x, u(x)), \quad j \in \bar{J} \\ \Rightarrow & \left(\prod_{j \in \bar{J}} (x - \alpha_j)^r \right) \mid Q(x, u(x)). \quad (\star\star\star) \end{aligned}$$

On the other hand, by (\star)

$$\deg Q(x, u(x)) \leq \deg_{1, k-1} Q(x, z) < r(n - \tau) \leq r|\bar{J}|.$$

Combining this with $(\star\star\star)$ we conclude that $Q(x, u(x))$ is identically zero.

The result now follows from the lemma on z -roots.

The Guruswami-Sudan (GS) decoder

Input: received word $\mathbf{y} = (y_1, y_2, \dots, y_n)$, $\ell =$ list size.
(Assume decoding radius $\tau = \lceil n\Theta_{\ell,r}(R') \rceil - 1$.)

Output: list of up to ℓ codewords $\mathbf{c} \in \mathcal{C}_{\text{GRS}}$.

- ① *Interpolation step:* find a nonzero $Q(x, z) \in F[x, z]$ satisfying

$$\deg_{0,1} Q(x, z) \leq \ell, \quad \deg_{1,k-1} Q(x, z) \leq n(1 - \Theta_{\ell,r}(R')),$$

$$\text{and } Q^{[s,t]}(x, z)|_{(x,z)=(\alpha_j, y_j)} = 0, \quad j = 1, 2, \dots, n, \quad (s, t) \in T(r)$$

- ② *Factorization step:* Compute the set U of all polynomials $u(x) \in F_{nR'+1}[x]$ such that $z - u(x) | Q(x, z)$.
- ③ Output all the codewords $\mathbf{c} = (u(\alpha_1), u(\alpha_2), \dots, u(\alpha_n))$ corresponding to $u(x) \in U$ such that $d(\mathbf{y}, \mathbf{c}) < n\Theta_{\ell,r}(R')$.

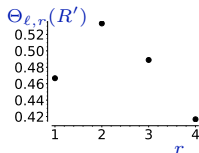
The algorithm is parametrized in $r \leq \ell$. What is the best value?

The Guruswami-Sudan algorithm: example

List-4 decoder for GRS [18, 4, 15] over $F = \text{GF}(19)$

- Parameters: $R' = (k-1)/n = 1/6$, $\ell = 4$. The function

$$\Theta_{\ell,r}(R') = 1 - \frac{r+1}{2(\ell+1)} - \frac{\ell}{2r} R', \quad r \leq \ell$$



is maximized at $r = 2$, yielding $\Theta = 8/15$ and a decoding radius

$$\tau = \lceil n\Theta(\ell, r) \rceil - 1 = 9$$

(compare with $(d-1)/2 = 7$).

- Degree constraints on Q : $\deg_{0,1} Q \leq 4$, $\deg_{1,3} Q < r(n-\tau) = 18$.

$$Q(x, z) = \sum_{j=0}^4 \left(\sum_{i=0}^{17-3*j} f_{i,j} x^i \right) z^j \quad \text{60 indeterminates.}$$

- Assume the transmitted codeword \mathbf{c} corresponds to $u(x) = 18 + 14x + 3x^2 + x^3$, i.e.,

$$\mathbf{c} = (17, 9, 0, 15, 3, 8, 17, 17, 14, 14, 4, 9, 16, 12, 3, 14, 13, 6).$$

error vector

$$\mathbf{e} = (15, 9, 0, 0, 9, 17, 0, 8, 4, 0, 0, 0, 0, 4, 0, 7, 0, 12) \quad (\text{weight } 9)$$

Optimizing the decoding radius

- ▶ We can optimize over r to obtain the best possible decoding radius for the GS decoder. Define

$$\Theta_\ell(R') = \max_{1 \leq r \leq \ell} \Theta_{\ell,r}(R').$$

- ▶ Define $\Upsilon_{\ell,r} = \frac{r(r-1)}{\ell(\ell+1)}$. It can be shown that

$$\Theta_{\ell,r}(R') \geq \Theta_{\ell,r-1}(R') \iff R' \geq \Upsilon_{\ell,r}.$$

\implies Optimal r is the unique integer satisfying

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$$\Theta_\ell(R') = \begin{cases} \Theta_{\ell,1}(R') & \Upsilon_{\ell,1} \leq R' < \Upsilon_{\ell,2} \\ \Theta_{\ell,2}(R') & \Upsilon_{\ell,2} \leq R' < \Upsilon_{\ell,3} \\ \vdots & \vdots \\ \Theta_{\ell,\ell}(R') & \Upsilon_{\ell,\ell} \leq R' < \Upsilon_{\ell,\ell+1} \end{cases}$$

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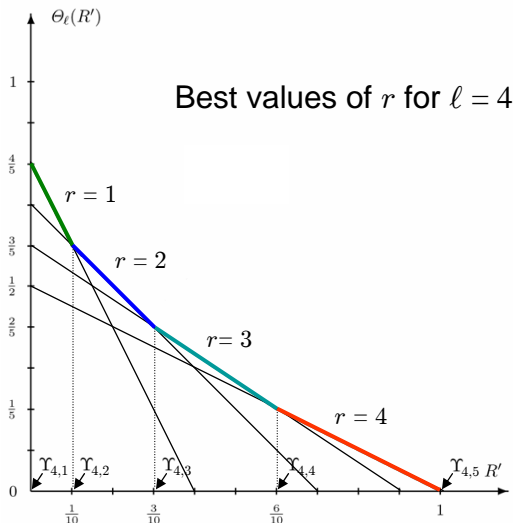
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Asymptotics

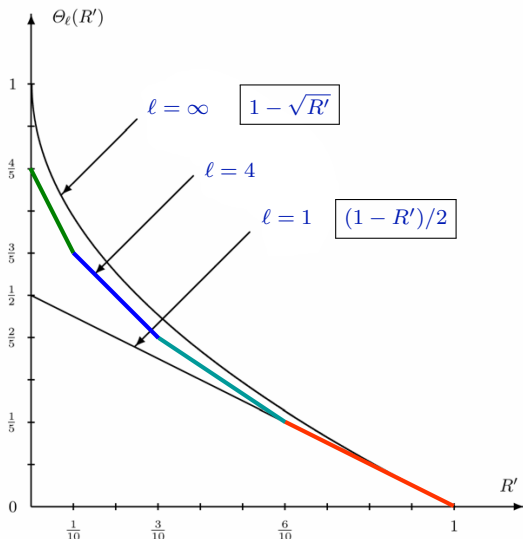
The value of $\Theta_\ell(R')$ is always non-decreasing with ℓ , and it can be shown that

$$\Theta_\infty(R') \triangleq \lim_{\ell \rightarrow \infty} \Theta_\ell(R') = 1 - \sqrt{R'}.$$

Best values of r for $\ell = 4$



Comparison with list-1 decoder and asymptotic behavior



The average number of incorrect codewords in the list

It turns out that in *most cases* the list produced by the GS decoder contains *just one codeword* (the closest codeword to the received word).

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$$\bar{L}(\tau) = q^{-(n-k)} \sum_{s=0}^{\tau} \binom{n}{s} (q-1)^s.$$

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- ▶ Ruckenstein (Ph.D. Thesis, 2001) gave the explicit estimate

$$\bar{L}_{\text{bad}} \leq q^{-\varepsilon n} \quad \text{whenever} \quad \sqrt{k/n} - k/n - 1/\log_2 q \geq \varepsilon.$$

Example

Consider a $[256, 179]$ GRS code. We have $R = k/n \approx 0.7$, and thus

$$\bar{L}_{\text{bad}} \approx 256^{-(\sqrt{0.7}-0.7-0.125) \cdot 256} \approx 6.5 \times 10^{-8},$$

with $\tau \approx 41$ (conventional list-1 decoder corrects 38 errors).

Finding z -roots of bi-variate polynomials

- ▶ The goal: given $Q(x, z) \in F[x, z]$, and an integer $k > 0$, find all factors of $Q(x, z)$ of the form $z - u(x)$, with $u(x) \in F[x]$ and $\deg u(x) < k$.

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$$(z - u_0 - u_1x - \cdots - u_{k-1}x^{k-1}) \mid Q(x, z) \text{ and } x \nmid Q(x, z)$$

then $(z - u_0) \mid Q(0, z) \implies u_0$ is a root of $Q(0, z) \in F[z]$.

- Find u_0 using a root-finding algorithm for univariate polynomials. For example, Chien search is $O(|F|)$, which is $O(n)$ when $n \approx |F|$ (e.g., primitive RS codes). More sophisticated methods exist.

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 - ▶ Let $z' = zx + u_0$. Then,
- $$z' - u(x) = zx - u_1x - u_2x^2 - \cdots - u_{k-1}x^{k-1} = x(z - u_1 - u_2x - \cdots - u_{k-1}x^{k-2})$$

and we get that

$$(z - u_1 - u_2x - \cdots - u_{k-1}x^{k-2}) \mid x^{-1}Q(x, xz + u_0).$$

We proceed recursively, recovering u_0, u_1, \dots, u_{k-1} .

Algorithm BiRoot (Roth-Ruckenstein 2000)

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BiRoot( $Q(x, z) \in F[x, y]$ ,  $k \in \mathbb{N}$ ,  $\lambda \in \mathbb{N}$ )
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// Input  $\lambda$  is the recursion depth.
// Global variables: set  $U \subseteq F_k[x]$ , polynomial  $g(x) = \sum_{s=0}^{k-1} g_s x^s \in F_k[x]$ .
// On output,  $U$  contains all  $z$ -linear factors of  $Q(x, z)$ .
// Call procedure initially with  $Q(x, z) \neq 0$ ,  $k > 0$ , and  $\lambda = 0$ .

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Algorithm BiRoot: correctness

Proposition

Let $Q(x, z)$ be a nonzero bivariate polynomial in $F[x, z]$ and let U be the set that is computed by the call $\text{BiRoot}(Q, k, 0)$. Then, every element of U is a z -root of $Q(x, z)$, and every z -root of $Q(x, z)$ is contained in U .

Proof: Roth & Ruckenstein (2000), Roth (2005).

Algorithm BiRoot: complexity

- ▶ The z -degree of $Q_i(x, z)$ and $T(x, z)$ does not change during execution
 - ⇒ $T(0, z)$ in Step //5// is nonzero and of finite, bounded degree
 - ⇒ Step //5// returns a finite set.
- ▶ Clearly, the recursion depth is limited to k in Step //8//
 - ⇒ BIROOT terminates.

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 - ⇒ Step //5// returns a finite set.
- ▶ Clearly, the recursion depth is limited to k in Step //8//
 - ⇒ BIROOT terminates.
- ▶ Roth (2005) shows that if the z -degree of $Q(x, z)$ is ℓ then the total number of recursive calls made to BIROOT is at most $\ell(k - 1)$
 - ⇒ BIROOT runs in polynomial time if the root finder of Step //5// does.

Algorithm BiRoot: complexity

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Detailed complexity analysis can be found in Roth (2005), and Roth & Ruckenstein (2000). Assuming complexity $O(\ell^2 \log^2 \ell \log |F|)$ for root-finding in $F[z]$, the total complexity of BIROOT is $O((\ell \log^2 \ell)k(n + \ell \log |F|))$.