8. Factoring polynomials over finite fields

CS-E4500 Advanced Course on Algorithms
Spring 2019

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Lecture schedule

Tue 15 Jan: 1. Polynomials and integers

Tue 22 Jan: 2. The fast Fourier transform and fast multiplication

Tue 29 Jan: 3. Quotient and remainder

Tue 5 Feb: 4. Batch evaluation and interpolation

Tue 12 Feb: 5. Extended Euclidean algorithm and interpolation from erroneous data

Tue 19 Feb: Exam week — no lecture

Tue 27 Feb: 6. Identity testing and probabilistically checkable proofs

Tue 5 Mar: Break — no lecture

Tue 12 Mar: 7. Finite fields

Tue 19 Mar: 8. Factoring polynomials over finite fields

Tue 26 Mar: 9. Factoring integers

CS-E4500 Advanced Course in Algorithms (5 ECTS, III-IV, Spring 2019)

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1 Ti Uudenvuodenpäivä	1 Pe 1 Pe	1 Ma Vk 14 7	1 Ke Vappu	1 La
2 Ke	2 La 2 La	2 Ti	2 To	2 Su
3 To	3 Su D3 3 Su	3 Ke	3 Pe	3 Ma Vk 23
4 Pe	4 Ma Vk 06 6 4 M Vk	4 To	4 La	4 Ti
5 La	5 Ti L4 5 Ti askiainen	5 Pe •	5 Su	5 Ke
6 Su Loppiainen	6 Ke Break	6 La	6 Ma Vk 19	6 To
7 Ma Vk 02	7 To Q4 7 Td	7 Su	7 Ti	7 Pe
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28 Ma Vk 05 7	28 To Q6 28 To Q9	28 Su	28 Ti	28 Pe
29 Ti L3	29 Pe	29 Ma Vk 18	29 Ke	29 La
30 Ke	30 La	30 Ti	30 To Helatorstai	30 Su
31 To Q3	31 Su Kesäaika alkaa 9		31 Pe	

L = Lecture; hall T5, Tue 12–14
Q = Q & A session; hall T5, Thu 12–14
D = Problem set deadline; Sun 20:00
T = Tutorial (model solutions); hall T6, Mon 16–18

Recap of last week

- ► Prime fields (the integers modulo a prime)
- ► Irreducible polynomial, existence of irreducible polynomials
- ► Fermat's Little Theorem and its generalization (exercise)
- ► **Finite fields** of **prime power order** via irreducible polynomials (exercise)
- ► The **characteristic** of a ring; fields have either zero or prime characteristic
- ► Extension field, subfield, degree of an extension
- ► Algebraic and transcendental elements of a field extension; the minimal polynomial of an algebraic element
- ► Multiplicative order of a nonzero element in a finite field; the multiplicative group of a finite field is cyclic
- ► **Formal derivative** of a polynomial with coefficients in a field (exercise)

Motivation for this and next week

- ► A tantalizing case where the connection between polynomials and integers apparently breaks down occurs with **factoring**
- ► Namely, it is known how to efficiently factor a given univariate polynomial over a finite field into its irreducible components, whereas no such algorithms are known for factoring a given integer into its prime factors
- ► This week we develop one efficient factoring algorithm for univariate polynomials over a finite field
- ► The best known algorithms for factoring integers run in time that scales moderately exponentially in the number of digits in the input; next week we study one such algorithm

Factoring polynomials over finite fields

(von zur Gathen and Gerhard [11], Sections 14.1–3, 14.6)



Finite fields

(Lidl and Niedderreiter [19])



Key content for Lecture 8

- ► Factoring a monic polynomial into monic irreducible polynomials over a finite field
- ► Square-and-multiply algorithm for modular exponentiation (exercise)
- ► The **squarefree part** of a polynomial
 - Computing the squarefree part using the formal derivative, greatest common divisors, and modular exponentiation (exercise)
- ► The **distinct-degree factorization** of a squarefree polynomial
 - ► Computing the distinct-degree factorization using **extended Fermat's little theorem**, modular exponentiation, and greatest common divisors
- ► The **equal-degree factorization** of a polynomial with known identical degrees for the irreducible factors
 - ► Cantor-Zassenhaus algorithm and random splitting polynomials (analysis: exercise)

Irreducible polynomial

- ► Let *q* be a prime power
- ▶ Let \mathbb{F}_q be the finite field with q elements
- ▶ We say that a polynomial $f \in \mathbb{F}_q[x]$ is **irreducible** if $f \notin \mathbb{F}_q$ and for any $g, h \in \mathbb{F}_q[x]$ with f = gh we have $g \in \mathbb{F}_q$ or $h \in \mathbb{F}_q$

▶ Let us also recall that we say that $f \in \mathbb{F}_q[x]$ is **monic** if its leading coefficient is 1

Factorization into irreducible polynomials

- ▶ Let $f \in \mathbb{F}_q[x]$
- ► The **factorization** of f consists of distinct monic irreducible polynomials $f_1, f_2, \ldots, f_r \in \mathbb{F}_q[x]$ and integers $d_1, d_2, \ldots, d_r \in \mathbb{Z}_{\geq 1}$ such that

$$f = \operatorname{lc}(f) f_1^{d_1} f_2^{d_2} \cdots f_r^{d_r}$$

- ► The factorization of *f* is unique up to ordering of the irreducible factors
- ► The polynomial f is **squarefree** if $d_1 = d_2 = \cdots = d_r = 1$

Example: Factorization into irreducible polynomials

► The factorization of

is

$$f = 2 + 2x + x^2 + 2x^4 + 2x^5 + 2x^6 + 2x^8 + 2x^9 + x^{10} + x^{11} + x^{12} + x^{13} \in \mathbb{F}_3[x]$$

$$f = (1+x)^3(x^2+x+2)(x^2+1)(x^3+2x+2)^2$$

► Or what is the same,

$$f_1 = 1 + x$$
, $d_1 = 3$,
 $f_2 = x^2 + x + 2$, $d_2 = 1$,
 $f_3 = x^2 + 1$, $d_3 = 1$,
 $f_4 = x^3 + 2x + 2$, $d_4 = 2$

Preliminaries: Fast modular exponentiation

- ► Let $f, g \in \mathbb{F}_q[x]$ with $g \neq 0$, deg f, deg $g \leq d$ and $m \in \mathbb{Z}_{\geq 0}$
- ► Then, there exists an algorithm that computes f^m rem g in $O(M(d) \log m)$ operations in \mathbb{F}_q (exercise)

Preliminaries: Greatest common divisor

- ▶ Let $f, g \in \mathbb{F}_q[x]$ such that at least one of f, g is nonzero
- Let us write gcd(f, g) for the monic greatest common divisor of f and g
- ► That is, in what follows we assume that lc(gcd(f, g)) = 1

Squarefree part

- ► Let $f = lc(f)f_1^{d_1}f_2^{d_2}\cdots f_r^{d_r}$ be the factorization of $f \in \mathbb{F}_q[x]$
- ► The **squarefree part** of f is the (monic) polynomial $f_1f_2\cdots f_r$
- ► To factor *f*, it suffices to factor the squarefree part of *f* since *f* and its squarefree part have the same irreducible factors
- ► Indeed, given an irreducible factor f_j of f, it is easy to determine the maximum exponent $d_j \in \mathbb{Z}_{\geq 1}$ such that $f_i^{d_j}$ divides f

Example: Squarefree part

► The squarefree part of

is

$$2 + 2x + x^{2} + 2x^{4} + 2x^{5} + 2x^{6} + 2x^{8} + 2x^{9} + x^{10} + x^{11} + x^{12} + x^{13} \in \mathbb{F}_{3}[x]$$

$$1 + x + 2x^2 + x^5 + 2x^7 + x^8 \in \mathbb{F}_3[x]$$

The squarefree part and the formal derivative (1/2)

- ► Let p be the characteristic of \mathbb{F}_q ; that is, q is a power of the prime p
- ► Let $f \in \mathbb{F}_q[x]$ be monic with factorization $f = f_1^{d_1} f_2^{d_2} \cdots f_r^{d_r}$
- ► Then, we have (exercise)

$$f' = \sum_{i=1}^{r} d_i f_i' \frac{f}{f_i} \tag{35}$$

- ► Furthermore, for all i, j = 1, 2, ..., r we have that $f_i^{d_i}$ divides $d_j f_j' \frac{f}{f_i}$ when $i \neq j$
- ▶ When i = j, clearly $f_j^{d_j-1}$ divides $d_j f_j' \frac{f}{f_j}$; furthermore, we have that $f_j^{d_j}$ divides $d_j f_j' \frac{f}{f_j}$ if and only if f_j divides $d_j f_j'$; since $\deg f_j' < \deg f_j$, we have that f_j divides $d_j f_j'$ if and only if p divides d_j

The squarefree part and the formal derivative (2/2)

- ▶ Set $u \leftarrow \gcd(f, f')$ and $v \leftarrow f/u$
- ► For j = 1, 2, ..., r, let

$$\delta_j = \begin{cases} 1 & \text{if } p \text{ does not divide } d_j; \\ 0 & \text{if } p \text{ divides } d_j \end{cases}$$

We have

$$u = f_1^{d_1 - \delta_1} f_2^{d_2 - \delta_2} \cdots f_r^{d_r - \delta_r}$$
$$v = f_1^{\delta_1} f_2^{\delta_2} \cdots f_r^{\delta_r}$$

- ▶ In particular, v is the squarefree part of f if $\delta_1 = \delta_2 = \cdots = \delta_r = 1$
- ▶ Otherwise, that is, when $\delta_j = 0$ for at least one j, we need to do some more work ...

Extracting a p^{th} power

Recall that we have

$$f = f_1^{d_1} f_2^{d_2} \cdots f_r^{d_r}$$
$$v = f_1^{\delta_1} f_2^{\delta_2} \cdots f_r^{\delta_r}$$

- ► Let $w \leftarrow f/\gcd(f, v^{\deg f})$ (exercise: how do you compute w fast given f and v as input?)
- ▶ We have

$$w = f_1^{(1-\delta_1)d_1} f_2^{(1-\delta_1)d_2} \cdots f_r^{(1-\delta_r)d_r} = \prod_{p \mid d_i} f_j^{d_j}$$

- ► That is, we have that w is the p^{th} power of the polynomial $\prod_{p|d_i} f_i^{d_j/p}$
- ► To access the squarefree part of w (which, when multiplied with v, forms the squarefree part of f), it suffices to recurse on a pth root of w
- ► Next we look at how to compute pth roots ...

The structure of a p^{th} power in characteristic p

- ▶ Let p be the characteristic of \mathbb{F}_q
- ► Let $g = \sum_{i=0}^{d} \psi_i x^i \in \mathbb{F}_q[x]$
- ▶ By the multinomial theorem, we have

$$g^{p} = \sum_{\substack{0 \leq j_{0}, j_{1}, \dots, j_{d} \leq p \\ j_{0} + j_{1} + \dots + j_{d} = p}} {p \choose j_{0}, j_{1}, \dots, j_{d}} \psi_{0}^{j_{0}} \psi_{1}^{j_{1}} \cdots \psi_{d}^{j_{d}} x^{\sum_{k=0}^{d} k j_{k}}$$

- ► Since p is prime, we have that p divides $\binom{p}{j_0,j_1,\ldots,j_d} = \frac{p!}{j_0!j_1!\cdots j_d!}$ unless there exists a $k=0,1,\ldots,d$ with $j_k=p$, in which case $\binom{p}{j_0,j_1,\ldots,j_d} = 1$
- ► Thus, we have

$$g^p = \sum_{i=0}^d \psi_i^p x^{pi}$$

Computing a p^{th} root of a p^{th} power in characteristic p

- ▶ Let p be the characteristic of \mathbb{F}_q
- ▶ Let $g = \sum_{i=0}^{d} \psi_i x^i \in \mathbb{F}_q[x]$
- From the previous slide, we have $g^p = \sum_{i=0}^d \psi_i^p x^{pi}$
- ► Suppose we are given $h = \sum_{i=0}^{d} \eta_i x^{pi}$ as input and we want to compute a p^{th} root of h
- ▶ By Fermat's little theorem, for $\eta = \psi^p$ with $\psi \in \mathbb{F}_q$ we have $\eta^{q/p} = (\psi^p)^{q/p} = \psi^q = \psi$
- ► Thus, we have $h = g^p$ for

$$g = \sum_{i=0}^{d} \eta_i^{q/p} x^i$$

(exercise: how do you compute $\eta^{q/p}$ fast, given $\eta \in \mathbb{F}_q$ together with q and p as input?)

Example: Computing the squarefree part

► Let us compute the squarefree part of $f = 2 + 2x + x^2 + 2x^4 + 2x^5 + 2x^6 + 2x^8 + 2x^9 + x^{10} + x^{11} + x^{12} + x^{13} \in \mathbb{F}_3[x]$

► We have

$$f' = 2 + 2x + 2x^3 + x^4 + x^7 + x^9 + 2x^{10} + x^{12}$$

► And thus

$$u = \gcd(f, f') = 2 + 2x + 2x^4 + x^6$$

$$v = f/u = 1 + 2x^2 + x^3 + 2x^4 + 2x^5 + x^6 + x^7$$

$$w = 1 + x^3$$

- ► Since $w \ne 1$ we proceed to take the p^{th} root for p = 3, and obtain $w^{1/3} = 1 + x$
- ► The squarefree part of $w^{1/3}$ is trivially 1 + x, so we obtain that

$$(1+x)v = 1 + x + 2x^2 + x^5 + 2x^7 + x^8$$

is the squarefree part of f

Distinct-degree decomposition of a squarefree polynomial

- ► Let $g \in \mathbb{F}_q[x]$ be monic and squarefree of degree at least 1
- ► The **distinct-degree decomposition** of g is the sequence $g_1, g_2, \ldots, g_s \in \mathbb{F}_q[x]$ such that $g_s \neq 1$ and for all $i = 1, 2, \ldots, s$ we have that g_i is the product of all monic irreducible polynomials of degree i that divide g
- ightharpoonup The distinct-degree decomposition of g is unique
- ► We also have $g = g_1g_2 \cdots g_s$
- ► To factor g it suffices to factor each of g_1, g_2, \ldots, g_s

Example: Distinct-degree decomposition

► The polynomial

$$g = 1 + x + 2x^2 + x^5 + 2x^7 + x^8 \in \mathbb{F}_q[x]$$

is monic and squarefree of degree at least 1

 \blacktriangleright The distinct-degree decomposition of g is

$$g_1 = 1 + x$$

 $g_2 = 2 + x + x^3 + x^4$
 $g_3 = x^3 + 2x + 2$

Extended Fermat's little theorem

Theorem 18 (Extended Fermat's little theorem)

Let q be a prime power and let $d \in \mathbb{Z}_{\geq 1}$. Then, $x^{q^d} - x \in \mathbb{F}_q[x]$ is the product of all monic irreducible polynomials in $\mathbb{F}_q[x]$ whose degree divides d

Proof.

(Exercise in last week's problem set)

Computing the distinct-degree decomposition

- ▶ Let $g \in \mathbb{F}_q[x]$ be monic and squarefree of degree at least 1 given as input
- 1. Set $f \leftarrow g$, $h \leftarrow x$, and $i \leftarrow 1$
- 2. while $f \neq 1$ do
 - a. Set $h \leftarrow h^q \operatorname{rem} f$ using fast modular exponentiation
 - b. Set $g_i \leftarrow \gcd(h-x,f)$ [here we have the invariants that $h-x \equiv x^{q^i}-x \pmod{f}$ and f has no irreducible factors of degree less than i]
 - c. Set $f \leftarrow f/g_i$
 - d. Set $i \leftarrow i + 1$
- 3. Set $s \leftarrow i 1$
- 4. Output g_1, g_2, \ldots, g_s as the distinct-degree decomposition of g and stop

Equal-degree factorization

- ▶ Let $f \in \mathbb{F}_q[x]$ be monic and squarefree of degree $n \in \mathbb{Z}_{\geq 1}$ such that all irreducible factors of f have degree $d \in \mathbb{Z}_{\geq 1}$
- ▶ The equal-degree factorization task is to factor f given both f and d as input
- ► Clearly we must have that d divides n, and the task is trivial if d = n
- ► Let us next look at one possible algorithm for equal-degree factorization ...

The Cantor-Zassenhaus algorithm (1/2)

- ► Let *q* be an **odd** prime power
- ▶ Let $f \in \mathbb{F}_q[x]$ be monic of degree n = dr such that all $r \ge 2$ irreducible factors of f have degree d
- 1. Let $a \in \mathbb{F}_q[x]$ be a uniform random nonzero polynomial of degree at most n-1
- 2. Let $g \leftarrow \gcd(a, f)$. If $g \ne 1$, then output g and stop
- 3. Compute $s \leftarrow a^{(q^d-1)/2} \operatorname{rem} f$ using fast modular exponentiation
- 4. Let $g \leftarrow \gcd(s-1,f)$. If $g \neq 1$ and $g \neq f$, then output g and stop
- 5. Assert failure and stop

The Cantor-Zassenhaus algorithm (2/2)

- ► The Cantor–Zassenhaus algorithm outputs a proper divisor *g* of *f* (a **splitting polynomial** for *f*) with probability at least 1/2
- ► We can repeat the algorithm until a proper divisor *g* is found, and then recurse on *g* and *f*/*g* as appropriate to complete the equal-degree factorization of *f* into the *r* irreducible factors, each of degree *d*

Analysis of the Cantor-Zassenhaus algorithm I

- ▶ Let $f = f_1 f_2 \dots f_r$ be the factorization of the input f
- ▶ Let a be a uniform random nonzero polynomial of degree at most n-1
- ▶ If the algorithm stops in Step 2 we have that g splits f
- So suppose that we continue to Step 3; in this case a and f are coprime and thus a and f_i are coprime for each j = 1, 2, ..., r
- ▶ By the Chinese Remainder Theorem, we have the isomorphism

$$\chi: \mathbb{F}_q[x]/\langle f \rangle \to \mathbb{F}_q[x]/\langle f_1 \rangle \times \mathbb{F}_q[x]/\langle f_2 \rangle \times \cdots \times \mathbb{F}_q[x]/\langle f_r \rangle$$
 given for all $h \in \mathbb{F}_q/\langle f \rangle$ by $\chi(h) = (\chi_1(h), \chi_2(h), \dots, \chi_r(h))$ with $\chi_i(h) = h \operatorname{rem} f_i$ for all $i = 1, 2, \dots, r$

▶ Since each $f_i \in \mathbb{F}_q[x]$ is irreducible of degree d, we have that each $\mathbb{F}_q[x]/\langle f_i \rangle$ is isomorphic to \mathbb{F}_{q^d}

Analysis of the Cantor-Zassenhaus algorithm II

- We have $\chi_i(h) = 0$ if and only if f_i divides h
- ▶ In particular, h is a splitting polynomial for f if and only if there exist $i_0, i_{\neq 0} \in \{1, 2, ..., r\}$ such that $\chi_{i_0}(h) = 0$ and $\chi_{i_{\neq 0}}(h) \neq 0$
- Since χ is an isomorphism and a is coprime to each of f_1, f_2, \ldots, f_r , we have that $\chi_1(a), \chi_2(a), \ldots, \chi_r(a)$ are mutually independent uniform random elements in the multiplicative groups of $\mathbb{F}_q[x]/\langle f_1 \rangle, \mathbb{F}_q[x]/\langle f_2 \rangle, \ldots, \mathbb{F}_q[x]/\langle f_r \rangle$, each of which is isomorphic to the multiplicative group $\mathbb{F}_{q^d}^{\times}$
- ► Since q is odd and the multiplicative group $\mathbb{F}_{q^d}^{\times}$ is cyclic (recall last week), for a uniform random $b \in \mathbb{F}_{q^d}^{\times}$ we have $\Pr(b^{(q^d-1)/2}=1) = \Pr(b^{(q^d-1)/2}=-1) = 1/2$ (exercise)
- ► Thus, we have that $\chi(a^{(q^d-1)/2})$ is a uniform random vector with entries in $\{-1,1\}$
- ► In particular, with probability at least $1 2^{1-r}$ the vector $\chi(a^{(q^d-1)/2})$ has at least one 1-entry and at least one (-1)-entry

Analysis of the Cantor-Zassenhaus algorithm III

- ► Thus, since χ is an isomorphism, with probability at least $1 2^{1-r}$ the vector $\chi(a^{(q^d-1)/2} 1)$ has at least one zero entry and at least one nonzero entry
- ► The algorithm thus outputs a splitting polynomial and stops in Step 4 with probability at least $1 2^{1-r} \ge 1/2$ since $r \ge 2$

Summary: Factoring a polynomial over a finite field (1/2)

- ▶ Let a monic $f \in \mathbb{F}_q[x]$ be given as input
- 1. Compute the squarefree part $g \in \mathbb{F}_q[x]$ of f
- 2. Compute the distinct-degree decomposition $g_1, g_2, \dots, g_s \in \mathbb{F}_q[x]$ of g
- 3. For each i = 1, 2, ..., s, run an equal-degree factorization algorithm to factor g_i (e.g., for odd q, run Cantor–Zassenhaus algorithm)
- 4. Assemble all the monic irreducible factors $f_1, f_2, \dots, f_r \in \mathbb{F}_q[x]$ obtained in Step 3
- 5. For each j = 1, 2, ..., r, compute the maximum exponent $d_j \in \mathbb{Z}_{\geq 1}$ such that $f_j^{d_j}$ divides f
- 6. Return the factorization $f = f_1^{d_1} f_2^{d_2} \cdots f_r^{d_r}$

Summary: Factoring a polynomial over a finite field (2/2)

- ▶ We have presented one possible algorithm for efficiently factoring a given polynomial $f \in \mathbb{F}_q[x]$ into its irreducible factors
- ► Here by efficient we mean that the number of operations in \mathbb{F}_q executed by the algorithm is bounded by a polynomial in deg f and log q
- More efficient algorithms are known
 (cf. von zur Gathen and Gerhard [11] and Kedlaya and Umans [16])

Three applications

- Find all roots of a polynomial
 - ► The irreducible factors of degree 1 correspond to the distinct roots
- Testing for irreducibility
 - ► Test that the squarefree part agrees with the polynomial and then compute a distinct-degree decomposition to decide irreducibility
- ► Constructing an irreducible monic polynomial of degree *n*
 - ► Draw a uniform random monic polynomial of degree *n*, and test for irreducibility using the test above; repeat until an irreducible polynomial is found
 - Recalling the counting lemma for irreducible polynomials from the previous lecture, in expectation O(n) repeats are required

Recap of Lecture 8

- ► Factoring a monic polynomial into monic irreducible polynomials over a finite field
- ► Square-and-multiply algorithm for modular exponentiation (exercise)
- ► The squarefree part of a polynomial
 - Computing the squarefree part using the formal derivative, greatest common divisors, and modular exponentiation (exercise)
- ► The distinct-degree factorization of a squarefree polynomial
 - ► Computing the distinct-degree factorization using **extended Fermat's little theorem**, modular exponentiation, and greatest common divisors
- The equal-degree factorization of a polynomial with known identical degrees for the irreducible factors
 - ► Cantor-Zassenhaus algorithm and random splitting polynomials (analysis: exercise)