

4. Properties of the fixed points. In conclusion we mention without proof some properties of the fixed points of π^2 .

If $r = \varrho(p^e) > 1$, where p is a prime and $p^e | \pi(p^e)$, then $p | D$, $\pi(r) = r$, and r is join irreducible in \mathcal{R} . Furthermore if p is an odd prime, then $\{\varrho(p^e): e > 0, p^e | \pi(p^e)\}$ is either the empty set, the singleton $\{\varrho(p)\}$, or the infinite set $\{\varrho(p)p^{e-1}: e > 0\}$. Also, the set $\{\varrho(2^e): e > 0, 2^e | \pi(2^e)\}$ is either empty, $\{2\}$, $\{4\}$, $\{2, 4\}$, or $\{2^e: e > 0\}$.

Each of the integers $\varrho(2)$, $\varrho(3)$, $\varrho(4)$, and $\varrho(8)$ divide 24. Finally, if there is a join irreducible fixed point of π^2 that is not a fixed point of π , then there is precisely one pair of such elements. In this case, this pair is either $\{2, 3\}$, $\{4, 3\}$, $\{8, 3\}$, or $\{8, 6\}$.

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On orthogonal systems and permutation polynomials in several variables

by

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1. Introduction. A polynomial $f(x)$ with coefficients in the Galois field $K = \text{GF}(q)$ with q elements, $q = p^e$, p prime, $e \geq 1$, determines a mapping $f: x \rightarrow f(x)$ of K into K . This mapping is a bijection if and only if the equation $f(x) = a$ has a solution in K for every $a \in K$. In this case, the polynomial $f(x)$ is called a *permutation polynomial* over K . Such polynomials have been studied extensively ([3], [4], [11]). Various papers have also been devoted to extending the notion of a permutation polynomial to polynomials in several variables ([1], [2], [6], [7], [9], [10]). The present paper is meant as a further contribution to this subject matter.

For $n \geq 1$, let K^n denote the cartesian product of n copies of K , and let $K[x_1, \dots, x_n]$ be the ring of polynomials in n variables over K .

DEFINITION 1 (Nöbauer [10]). A polynomial $f(x_1, \dots, x_n) \in K[x_1, \dots, x_n]$ is called a *permutation polynomial* (in n variables over K) if the equation $f(x_1, \dots, x_n) = a$ has q^{n-1} solutions in K^n for each $a \in K$.

DEFINITION 2 (Niederreiter [8]). A system of polynomials $f_1(x_1, \dots, x_n), \dots, f_n(x_1, \dots, x_n)$ from $K[x_1, \dots, x_n]$ is said to be *orthogonal* (in K) if the system of equations $f_i(x_1, \dots, x_n) = k_i$, $1 \leq i \leq n$, has exactly one solution in K^n for each $(k_1, \dots, k_n) \in K^n$.

Simple criteria for orthogonality in terms of character sums can be given ([8], Theorem 2). Let ζ denote a fixed primitive p th root of unity over the rationals, and let $\text{tr}(\cdot)$ be the trace function relative to the extension $K/\text{GF}(p)$. Then the system f_1, \dots, f_n is orthogonal if and only if, for all $(b_1, \dots, b_n) \in K^n$ with $(b_1, \dots, b_n) \neq (0, \dots, 0)$, we have

$$\sum_{(a_1, \dots, a_n) \in K^n} \zeta^{\text{tr}[b_1 f_1(a_1, \dots, a_n) + \dots + b_n f_n(a_1, \dots, a_n)]} = 0.$$

We shall now prove another criterion for orthogonality by elementary methods. The following lemma will be useful.

LEMMA 1. Let a_0, a_1, \dots, a_{q-1} be q elements of K . Then the following two conditions are equivalent:

- (i) a_0, a_1, \dots, a_{q-1} are distinct;
- (ii) $\sum_{i=0}^{q-1} a_i^t = \begin{cases} 0 & \text{for } 0 \leq t \leq q-2, \\ -1 & \text{for } t = q-1. \end{cases}$

Proof. For fixed i with $0 \leq i \leq q-1$, consider the polynomial

$$f_i(x) = 1 - \sum_{j=0}^{q-1} a_i^{q-1-j} x^j.$$

We have $f_i(a_i) = 1$ and $f_i(c) = 0$ for all $c \neq a_i$. Therefore the polynomial

$$f(x) = \sum_{i=0}^{q-1} f_i(x) = - \sum_{j=0}^{q-1} \left(\sum_{i=0}^{q-1} a_i^{q-1-j} \right) x^j$$

maps each element of K into 1 if and only if $\{a_0, a_1, \dots, a_{q-1}\} = K$. Since the degree of f is less than q , the polynomial $f(x)$ maps each element of K into 1 if and only if $f(x) = 1$. The proof is complete.

THEOREM 1. The system $f_1(x_1, \dots, x_n), \dots, f_n(x_1, \dots, x_n)$ from $K[x_1, \dots, x_n]$ is orthogonal if and only if the following two conditions are satisfied:

- (1) $\sum_{(a_1, \dots, a_n) \in K^n} [f_1(a_1, \dots, a_n)]^{t_1} \dots [f_n(a_1, \dots, a_n)]^{t_n} = 0$
for $0 \leq t_i \leq q-1$ and not all $t_i = q-1$;
- (2) $\sum_{(a_1, \dots, a_n) \in K^n} [f_1(a_1, \dots, a_n)]^{q-1} \dots [f_n(a_1, \dots, a_n)]^{q-1} = (-1)^n.$

Proof. If f_1, \dots, f_n is an orthogonal system, then

$$\begin{aligned} \sum_{(a_1, \dots, a_n) \in K^n} [f_1(a_1, \dots, a_n)]^{t_1} \dots [f_n(a_1, \dots, a_n)]^{t_n} \\ = \sum_{(b_1, \dots, b_n) \in K^n} b_1^{t_1} \dots b_n^{t_n} = \left(\sum_{b_1 \in K} b_1^{t_1} \right) \dots \left(\sum_{b_n \in K} b_n^{t_n} \right) \end{aligned}$$

and the necessity of (1) and (2) follows from Lemma 1.

For $(k_1, \dots, k_n) \in K^n$, let $N(k_1, \dots, k_n)$ denote the number of solutions in K^n of the system of equations

$$f_i(x_1, \dots, x_n) = k_i \quad \text{for } 1 \leq i \leq n.$$

It suffices to show that $N(k_1, \dots, k_n) \neq 0$ for all $(k_1, \dots, k_n) \in K^n$. We shall show that $N(k_1, \dots, k_n)$, regarded as an integer mod p , is nonzero.

By (1) and (2), we have

$$\begin{aligned} N(k_1, \dots, k_n) &= \sum_{(a_1, \dots, a_n) \in K^n} \prod_{i=1}^n [1 - (f_i(a_1, \dots, a_n) - k_i)^{q-1}] \\ &= (-1)^n \sum_{(a_1, \dots, a_n) \in K^n} \prod_{i=1}^n [(f_i(a_1, \dots, a_n) - k_i)^{q-1} - 1] \\ &= (-1)^n \sum_{(a_1, \dots, a_n) \in K^n} \left(f_1^{q-1} \dots f_n^{q-1} + \sum_{\substack{t_1, \dots, t_n=0 \\ \text{not all } t_i=q-1}}^{q-1} a_{1, \dots, t_n} f_1^{t_1} \dots f_n^{t_n} \right) = 1. \end{aligned}$$

2. Generators for orthogonal systems. A correspondence between orthogonal systems of polynomials in n variables over $\text{GF}(q)$ and permutation polynomials in one variable over $\text{GF}(q^n)$ has been established by several authors in different ways ([1], [3], [8]). We want to use this correspondence to determine a generating system for all orthogonal systems in n variables over $K = \text{GF}(\bar{q})$. Since we are now only interested in polynomial mappings, and since $a^q = a$ for every $a \in K$, we may confine our attention to polynomials $f(x_1, \dots, x_n) \in K[x_1, \dots, x_n]$ with degree in each variable being less than q .

DEFINITION 3. The polynomial $f(x_1, \dots, x_n) \in K[x_1, \dots, x_n]$ is called *reduced* if the degree of f in each variable is less than q . The polynomial vector $(f_1(x_1, \dots, x_n), \dots, f_n(x_1, \dots, x_n))$ is called *reduced* if each of its components is reduced.

We put $L = \text{GF}(q^n)$. We agree to denote elements of L by Greek letters ξ, η, \dots , and variables ranging over L by capital letters X, Y, \dots . The set of reduced permutation polynomials $F(X)$ over L forms a group with operation being composition computed mod $(X^q - X)$. The set of reduced polynomial vectors $(f_1(x_1, \dots, x_n), \dots, f_n(x_1, \dots, x_n))$ over K , for which f_1, \dots, f_n are orthogonal, forms a group with operation being composition and subsequent reduction of each component mod $(\bar{\omega}_1^q - x_1, \dots, \bar{\omega}_n^q - x_n)$, where $(\bar{\omega}_1^q - x_1, \dots, \bar{\omega}_n^q - x_n)$ is the ideal in $K[x_1, \dots, x_n]$ generated by $\bar{\omega}_i^q - x_i, 1 \leq i \leq n$. By an abuse of language, we shall call this group the group of reduced orthogonal systems over K . There is a natural isomorphism from the former group onto the latter which we are going to describe now. Let ξ_1, \dots, ξ_n be a base of L over K . If $F(X)$ is a reduced permutation polynomial over L , we may write

$$F(\xi) = F(a_1 \xi_1 + \dots + a_n \xi_n) = f_1(a_1, \dots, a_n) \xi_1 + \dots + f_n(a_1, \dots, a_n) \xi_n$$

with uniquely determined reduced polynomials $f_i(x_1, \dots, x_n), 1 \leq i \leq n$, over K . The mapping $\Psi: F(X) \rightarrow (f_1(x_1, \dots, x_n), \dots, f_n(x_1, \dots, x_n))$ is compatible with the above mentioned group operations. The following theorem is an immediate consequence of [8], corollary of Theorem 7.

THEOREM 2. *The mapping $\Psi: F(X) \rightarrow (f_1(x_1, \dots, x_n), \dots, f_n(x_1, \dots, x_n))$ is an isomorphism of the group of reduced permutation polynomials over L onto the group of reduced orthogonal systems over K .*

COROLLARY. *The reduced polynomial $f_i(x_1, \dots, x_n) \in K[x_1, \dots, x_n]$ is a permutation polynomial if and only if there exists a reduced permutation polynomial $F(X) \in L[X]$ such that $\Psi(F(X)) = (f_1, f_2, \dots, f_n)$.*

Proof. This follows from Theorem 2 and [8], Theorem 1.

Theorem 2 enables us to find a generating system for the group of reduced orthogonal systems in K . By virtue of the above corollary, we have then simultaneously found a system which generates all permutation polynomials in n variables over K . The following result for permutation polynomials in one variable is mainly due to Carlitz [4]. For the remainder of this section, we suppose $n \geq 2$.

THEOREM 3. *The permutation polynomials X^{q^n-2} , $-a^2X$, and $X+a$ ($a \in L, a \neq 0$) form a generating system for the group of reduced permutation polynomials in one variable over $L = \text{GF}(q^n)$.*

Proof. The symmetric group S_{q^n} is generated by all transpositions $(0a), a \in L, a \neq 0$. It is easy to show that the transposition $(0a)$ is represented by the transposition polynomial

$$G(X) = (-a^2) \left(\left((X-a)^{q^n-2} + \frac{1}{a} \right)^{q^n-2} - a \right)^{q^n-2}.$$

Thus $G(X)$ is a finite composition of the polynomials listed in Theorem 3.

By Theorem 2 and Theorem 3, the orthogonal systems $\Psi(X^{q^n-2})$, $\Psi(-a^2X)$, and $\Psi(X+a)$ generate the group of reduced orthogonal systems over K . To determine the image of X^{q^n-2} under Ψ , we compute $(x_1\xi_1 + \dots + x_n\xi_n)^{q^n-2}$ by the binomial theorem, express the power products of the ξ_i by linear combinations of the ξ_i , reduce the coefficients of the $\xi_i \pmod{(x_1^q - x_1, \dots, x_n^q - x_n)}$, and thus get

$$\Psi(X^{q^n-2}) = (p_1(x_1, \dots, x_n), \dots, p_n(x_1, \dots, x_n)),$$

where the $p_i, 1 \leq i \leq n$, form an orthogonal system in K . The image of $-a^2X$ is an orthogonal system r_1, \dots, r_n in K consisting of linear polynomials, which can be effectively determined from the identity

$$\begin{aligned} -(a_1\xi_1 + \dots + a_n\xi_n)^2(x_1\xi_1 + \dots + x_n\xi_n) \\ = r_1(x_1, \dots, x_n)\xi_1 + \dots + r_n(x_1, \dots, x_n)\xi_n. \end{aligned}$$

Combining the above results, we get the following set of generators for the group of reduced orthogonal systems over K : $(p_1(x_1, \dots, x_n), \dots, p_n(x_1, \dots, x_n))$, and the systems $(r_1(x_1, \dots, x_n), \dots, r_n(x_1, \dots, x_n))$ and $(x_1+a_1, \dots, x_n+a_n)$ for all $(a_1, \dots, a_n) \in K^n$ with $(a_1, \dots, a_n) \neq (0, \dots, 0)$. Let us now look at a special case, namely $n = 2$ and q odd.

THEOREM 4. *The following orthogonal systems of polynomials in two variables over $K = \text{GF}(q), q$ odd, form a generating system for all orthogonal systems of polynomials in two variables over K (and thus for all permutation polynomials in two variables over K). The element d is a fixed nonsquare in K .*

(i) *The reduced form of*

$$\begin{aligned} p_1(x, y) &= \sum_{i=0}^{\frac{q^2-3}{2}} \binom{q^2-2}{2i} d^{\frac{q^2-3-2i}{2}} x^{q^2-2-2i} y^{2i}, \\ p_2(x, y) &= \sum_{i=0}^{\frac{q^2-3}{2}} \binom{q^2-2}{2i+1} d^{\frac{q^2-3-2i}{2}} x^{q^2-3-2i} y^{2i+1}; \end{aligned}$$

(ii) $r_1(x, y) = (-a^2d - b^2)x - 2aby, r_2(x, y) = -2abdx + (-a^2d - b^2)y$ with $a, b \in K$ and $(a, b) \neq (0, 0)$.

(iii) $(x+a, y+b)$ with $a, b \in K$ and $(a, b) \neq (0, 0)$.

Proof. The polynomial $\varphi(x) = x^2 - d$ is irreducible over K . Let $\varphi(\xi) = 0$; then 1 and ξ form a base of $L = \text{GF}(q^2)$ over K . We have

$$(x\xi + y)^{q^2-2} = \sum_{j=0}^{q^2-2} \binom{q^2-2}{j} \xi^{q^2-2-j} x^{q^2-2-j} y^j = p_1(x, y)\xi + p_2(x, y),$$

and

$$-(a\xi + b)^2(x\xi + y) = -(a^2d + 2ab\xi + b^2)(x\xi + y) = r_1(x, y)\xi + r_2(x, y),$$

and the result follows from the general discussion preceding Theorem 4.

Remark. If $q \equiv 3 \pmod{4}$, then we may take $d = -1$. If q is even, an explicit result similar to Theorem 4 can be given. Instead of working with $x^2 - d$, we have to use an irreducible polynomial over K of the form $x^2 + x + c$ with $c \in K$. Since each of those polynomials is separable over K , there exist irreducible polynomials of this type.

3. Sums of polynomials as permutation polynomials. We shall first consider polynomials of the form $h(x_1, \dots, x_n) = f(x_1, \dots, x_m) + g(x_{m+1}, \dots, x_n), 1 \leq m < n$, over $K = \text{GF}(q)$. It is easy to see that if one of f or g is a permutation polynomial over K , then h is one ([7], Lemma 1, [10]). We ask now for conditions under which the converse of this statement holds true. In a sense to be specified below, it will turn out that the converse holds if and only if q is prime.

THEOREM 5. *The polynomial $h(x_1, \dots, x_n) = f(x_1, \dots, x_m) + g(x_{m+1}, \dots, x_n), 1 \leq m < n$, is a permutation polynomial over $K = \text{GF}(q), q$ prime, iff at least one of f and g is a permutation polynomial.*

Proof. Suppose h is a permutation polynomial and f is not a permutation polynomial over K . We want to show that necessarily g is a permu-

tation polynomial over K . For $a \in K$, let $N(a)$ be the number of solutions of $f(x_1, \dots, x_m) = a$ in K^m , and let $M(a)$ be the number of solutions of $g(x_{m+1}, \dots, x_n) = a$ in K^{n-m} . The number of solutions of $h(x_1, \dots, x_n) = a$ in K^n is equal to q^{n-1} for each $a \in K$. On the other hand, the number of solutions of the last equation can also be expressed as $\sum_{a_1+a_2=a} N(a_1) M(a_2)$.

Thus we arrive at a system of linear equations for $M(0), M(1), \dots, M(q-1)$, the determinant of which is the cyclic determinant $D = \det(a_{ij})$ with $a_{ij} = N(i+j-2), 1 \leq i \leq q, 1 \leq j \leq q$, where $i+j-2$ is taken mod q . If we can show $D \neq 0$, then the system has a unique solution, namely

$$M(0) = M(1) = \dots = M(q-1) = q^{n-m-1}.$$

Assume $D = 0$. We use the fact that D is also the resultant of the two polynomials $F(x) = x^q - 1$, $G(x) = N(0)x^{q-1} + N(1)x^{q-2} + \dots + N(q-1)$ over the rationals. Thus $F(x)$ and $G(x)$ have a common root in some extension field of the rationals. But $F(x) = (x-1)\Phi_q(x)$, where $\Phi_q(x)$ is the irreducible q th cyclotomic polynomial, and $G(1) = q^m \neq 0$. Therefore $\Phi_q(x)$ divides $G(x)$, and so $G(x) = N(0)\Phi_q(x)$. Equating coefficients yields $N(a) = N(0) = q^{m-1}$ for all $a \in K$, a contradiction to f not being a permutation polynomial over K .

THEOREM 6. In $K = \text{GF}(q)$, q not prime, there exist polynomials $f(x_1, \dots, x_m)$ and $g(x_{m+1}, \dots, x_n)$ such that $f+g$, but neither f nor g , are permutation polynomials.

Proof. We have $q = p^e$ with p prime and $e > 1$. For a moment, we consider $\text{GF}(p)$ and $\text{GF}(q)$ as additive abelian groups. The quotient group $\text{GF}(q)/\text{GF}(p)$ has order $r = p^{e-1}$. We construct a system a_1, \dots, a_r of elements in $\text{GF}(q)$ by choosing a representative from each coset. Let the counting functions M and N have the same meaning as in the proof of Theorem 5. By the Lagrange interpolation formula for finite fields as given in Dickson [5], there exists a polynomial $g(x_{m+1}, \dots, x_n)$ over K such that $M(a_j) = \frac{1}{r} q^{n-m}$ for $1 \leq j \leq r$ and $M(b) = 0$ for all other elements

$b \in K$. By the same interpolation formula, there exists a polynomial $f(x_1, \dots, x_m)$ over K such that

$$N(0) = N(1) = \dots = N(p-1) = \frac{1}{p} q^m \quad \text{and} \quad N(c) = 0$$

for all other elements $c \in K$. Neither f nor g is a permutation polynomial. But $f+g$ is a permutation polynomial over K . Since every $k \in K$ has a unique representation of the form $k = a + a_j$ with $a \in \text{GF}(p)$ and $1 \leq j \leq r$, the total number of solutions of the equation

$$f(x_1, \dots, x_m) + g(x_{m+1}, \dots, x_n) = k = a + a_j \quad \text{in } K^n$$

will be equal to

$$\left(\frac{1}{p} q^m\right) \left(\frac{1}{r} q^{n-m}\right), \quad \text{or} \quad q^{n-1}.$$

We used the fact that f only takes values in $\text{GF}(p)$ and g only takes values in the system a_1, \dots, a_r .

Let us now look at polynomials of the form

$$h(x_1, \dots, x_n) = p(x_1, \dots, x_m)f(x_1, \dots, x_m) + g(x_{m+1}, \dots, x_n) \quad \text{with } n \geq 2.$$

All polynomials considered have coefficients in $K = \text{GF}(q)$. We are interested in conditions on p and f which guarantee that h is not a permutation polynomial for any g . In a sense, the subsequent result is best possible (see Theorem 8).

THEOREM 7. Suppose $f(x_1, \dots, x_m)$ has k zeros in K^{m-1} with $q \nmid k$, let $g(x_{m+1}, \dots, x_n)$ be arbitrary, and let $p(x_1, \dots, x_m)$ be a polynomial such that $p(b_1, \dots, b_{m-1}, x_m)$ is a permutation polynomial in x_m for all $b_1, \dots, b_{m-1} \in K$. Then

$$h(x_1, \dots, x_n) = p(x_1, \dots, x_m)f(x_1, \dots, x_m) + g(x_{m+1}, \dots, x_n)$$

is not a permutation polynomial over K .

Proof. We consider systems of equations of the form

$$(3) \quad \begin{aligned} g(x_1, \dots, x_{n-1}) &= b \in K, \\ f(x_1, \dots, x_{n-1}) &= 0. \end{aligned}$$

There exists $b \in K$ such that the above system has at least $\left\lceil \frac{k}{q} \right\rceil + 1$ simultaneous solutions in K^{n-1} . For otherwise, the number of zeros of f would be at most $q \left\lceil \frac{k}{q} \right\rceil$, or less than k , a contradiction. For such a $b \in K$, we show that the equation

$$(4) \quad h(x_1, \dots, x_n) = b$$

has more than q^{n-1} solutions in K^n . If $(e_1, \dots, e_{n-1}) \in K^{n-1}$ is a solution of (3), then $h(e_1, \dots, e_{n-1}, x_n) = b$ independent of x_n , thus we get a contribution of at least $q \left(\left\lceil \frac{k}{q} \right\rceil + 1 \right)$ solutions of (4) from all those (e_1, \dots, e_{n-1}) together. Furthermore, there exist $q^{n-1} - k$ vectors $(b_1, \dots, b_{n-1}) \in K^{n-1}$ for which $f(b_1, \dots, b_{n-1}) \neq 0$. For such a vector, $h(b_1, \dots, b_{n-1}, x_n)$ is a permutation polynomial in x_n , thus there exists exactly one solution in x_n of the equation $h(b_1, \dots, b_{n-1}, x_n) = b$. We thereby get $q^{n-1} - k$ more solutions of (4). Hence, the total number of solutions of (4) is at least $q \left(\left\lceil \frac{k}{q} \right\rceil + 1 \right) + q^{n-1} - k$, which is greater than q^{n-1} .

Remark. The simplest way to satisfy the condition on $p(x_1, \dots, x_n)$ in Theorem 7 is to take a permutation polynomial in the single variable x_n .

THEOREM 8. Suppose $f(x_1, \dots, x_{n-1})$ has k zeros in K^{n-1} with $q|k$, and take $p(x_1, \dots, x_n)$ as in Theorem 7. Then there exists $g(x_1, \dots, x_{n-1})$ such that

$$h(x_1, \dots, x_n) = p(x_1, \dots, x_n)f(x_1, \dots, x_{n-1}) + g(x_1, \dots, x_{n-1})$$

is a permutation polynomial over K .

Proof. Let $k = qm$. We choose g in such a way that g , restricted to the set of zeros of f , attains each element of K equally often, hence m times, as a value. This choice of g is possible by virtue of the Lagrange interpolation formula for finite fields ([5]). We shall show that the corresponding h is a permutation polynomial. To this end, consider the equation

$$(5) \quad h(x_1, \dots, x_n) = b$$

for given $b \in K$. If $(c_1, \dots, c_{n-1}) \in K^{n-1}$ is a zero of f , then

$$h(c_1, \dots, c_{n-1}, x_n) = g(c_1, \dots, c_{n-1})$$

independent of x_n . By the construction of g , we get in this way $qm = k$ solutions of (5). If $f(b_1, \dots, b_{n-1}) \neq 0$, then we conclude as in the proof of Theorem 7 that all those $(b_1, \dots, b_{n-1}) \in K^{n-1}$ together yield $q^{n-1} - k$ more solutions of (5). In toto, we have then exactly q^{n-1} solutions of (5), and the proof is complete.

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