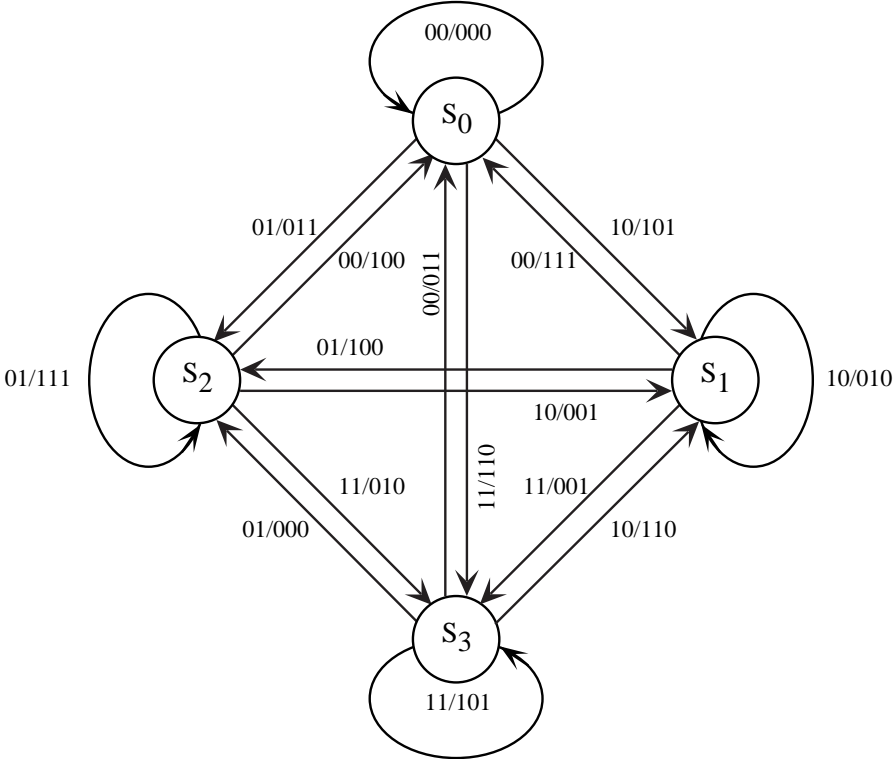


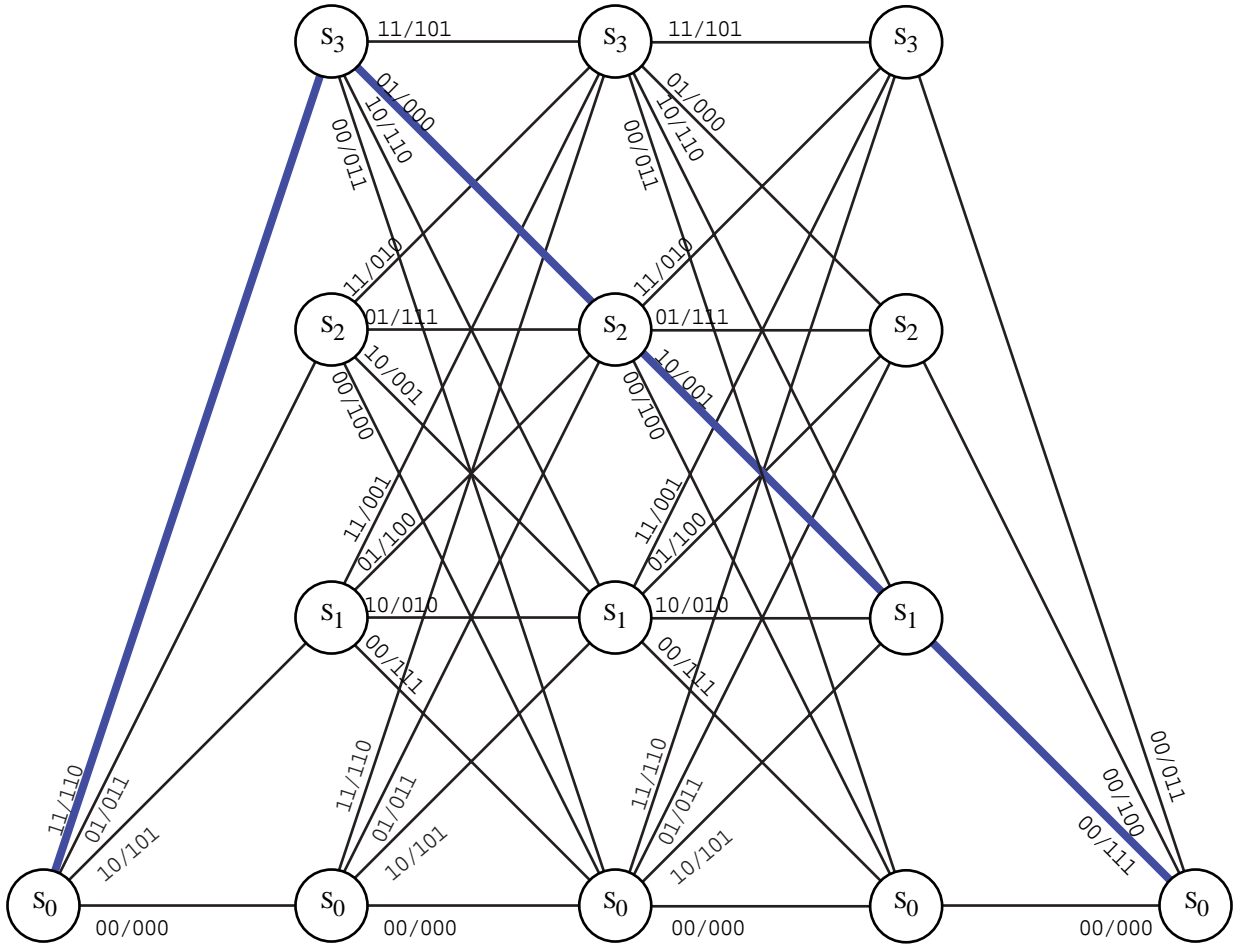
# Chapter 12

## Optimum Decoding of Convolutional Codes

12.1 (Note: The problem should read “ for the (3,2,2) encoder in Example 11.2 ” rather than “ for the (3,2,2) code in Table 12.1(d)” .) The state diagram of the encoder is given by:



From the state diagram, we can draw a trellis diagram containing  $h + m + 1 = 3 + 1 + 1 = 5$  levels as shown below:



Hence, for  $\mathbf{u} = (11, 01, 10)$ ,

$$\begin{aligned} \mathbf{v}^{(0)} &= (1001) \\ \mathbf{v}^{(1)} &= (1001) \\ \mathbf{v}^{(2)} &= (0011) \end{aligned}$$

and

$$\mathbf{v} = (110, 000, 001, 111),$$

agreeing with (11.16) in Example 11.2. The path through the trellis corresponding to this codeword is shown highlighted in the figure.

12.2 Note that

$$\begin{aligned} \sum_{l=0}^{N-1} c_2 [\log P(r_l|v_l) + c_1] &= \sum_{l=0}^{N-1} [c_2 \log P(r_l|v_l) + c_2 c_1] \\ &= c_2 \sum_{l=0}^{N-1} \log P(r_l|v_l) + N c_2 c_1. \end{aligned}$$

Since

$$\max_{\mathbf{v}} \left\{ c_2 \sum_{l=0}^{N-1} \log P(r_l|v_l) + N c_2 c_1 \right\} = c_2 \max_{\mathbf{v}} \left\{ \sum_{l=0}^{N-1} \log P(r_l|v_l) \right\} + N c_2 c_1$$

if  $C_2$  is positive, any path that maximizes  $\sum_{l=0}^{N-1} \log P(r_l|v_l)$  also maximizes  $\sum_{l=0}^{N-1} c_2 [\log P(r_l|v_l) + c_1]$ .

12.3 The integer metric table becomes:

	0 <sub>1</sub>	0 <sub>2</sub>	1 <sub>2</sub>	1 <sub>1</sub>
0	6	5	3	0
1	0	3	5	6

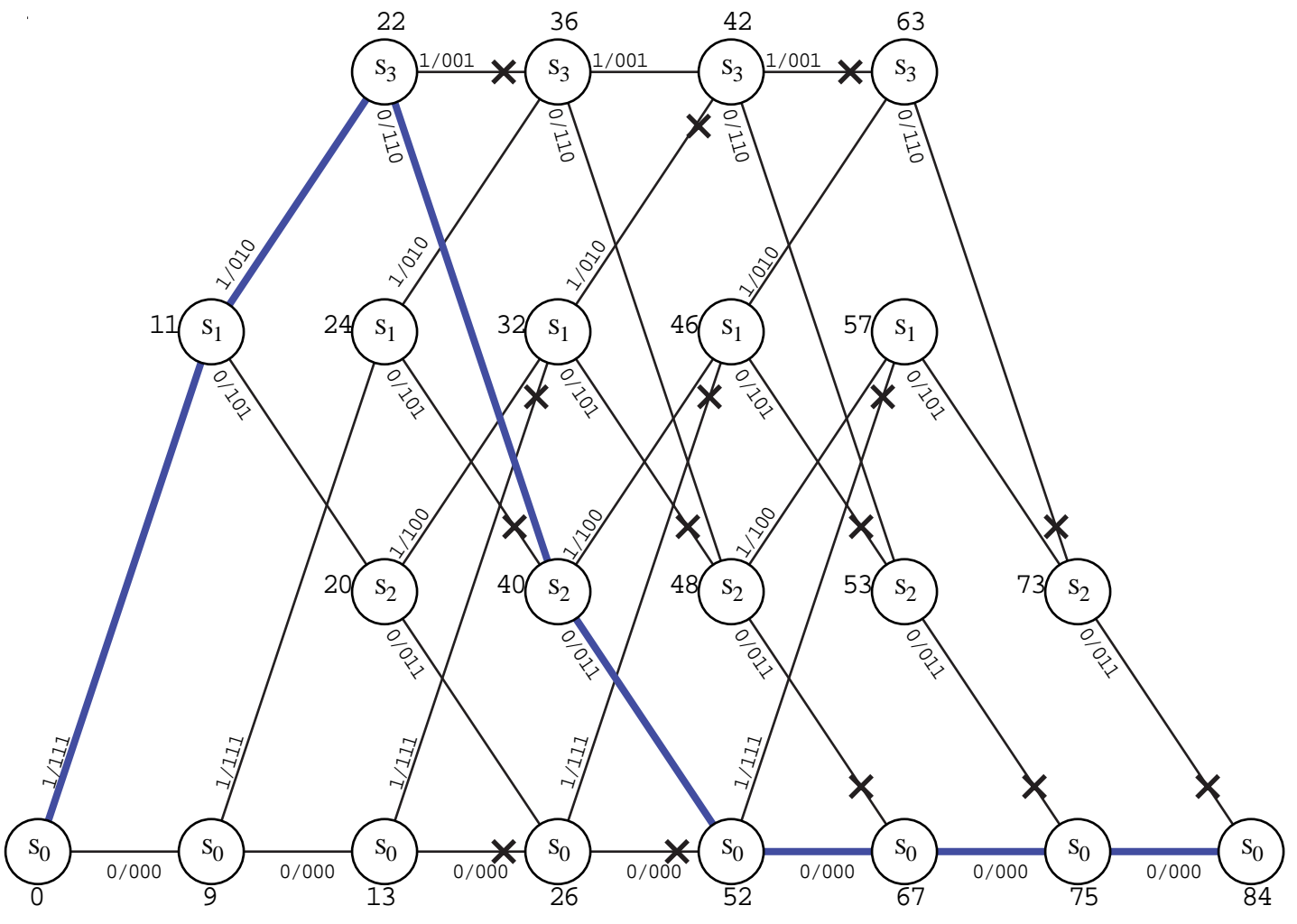
The received sequence is  $\mathbf{r} = (1_1 1_2 0_1, 1_1 1_1 0_2, 1_1 1_1 0_1, 1_1 1_1 1_1, 0_1 1_2 0_1, 1_2 0_2 1_1, 1_2 0_1 1_1)$ . The decoded sequence is shown in the figure below, and the final survivor is

$$\hat{\mathbf{v}} = (111, 010, 110, 011, 000, 000, 000),$$

which yields a decoded information sequence of

$$\hat{\mathbf{u}} = (11000).$$

This result agrees with Example 12.1.



12.4 For the given channel transition probabilities, the resulting metric table is:

	$0_1$	$0_2$	$0_3$	$0_4$	$1_4$	$1_3$	$1_2$	$1_1$
0	-0.363	-0.706	-0.777	-0.955	-1.237	-1.638	-2.097	-2.699
1	-2.699	-2.097	-1.638	-1.237	-0.955	-0.777	-0.706	-0.363

To construct an integer metric table, choose  $c_1 = 2.699$  and  $c_2 = 4.28$ . Then the integer metric table becomes:

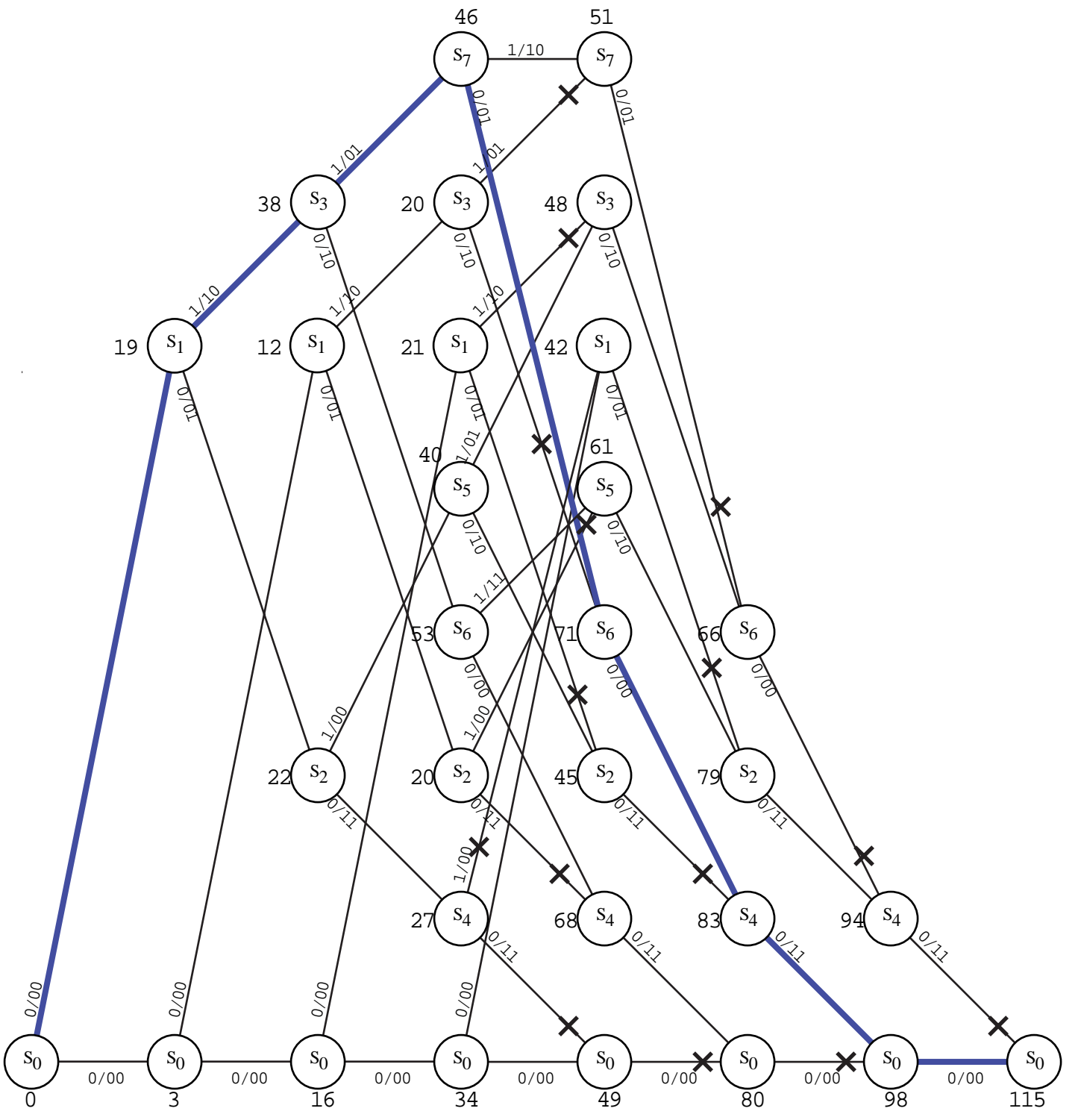
	$0_1$	$0_2$	$0_3$	$0_4$	$1_4$	$1_3$	$1_2$	$1_1$
0	10	9	8	7	6	5	3	0
1	0	3	5	6	7	8	9	10

- 12.5 (a) Referring to the state diagram of Figure 11.13(a), the trellis diagram for an information sequence of length  $h = 4$  is shown in the figure below.
- (b) After Viterbi decoding the final survivor is

$$\hat{\mathbf{v}} = (11, 10, 01, 00, 11, 00).$$

This corresponds to the information sequence

$$\hat{\mathbf{u}} = (1110).$$



12.6 Combining the soft decision outputs yields the following transition probabilities:

	0	1
0	0.909	0.091
1	0.091	0.909

For hard decision decoding, the metric is simply Hamming distance. For the received sequence

$$\mathbf{r} = (11, 10, 00, 01, 10, 01, 00),$$

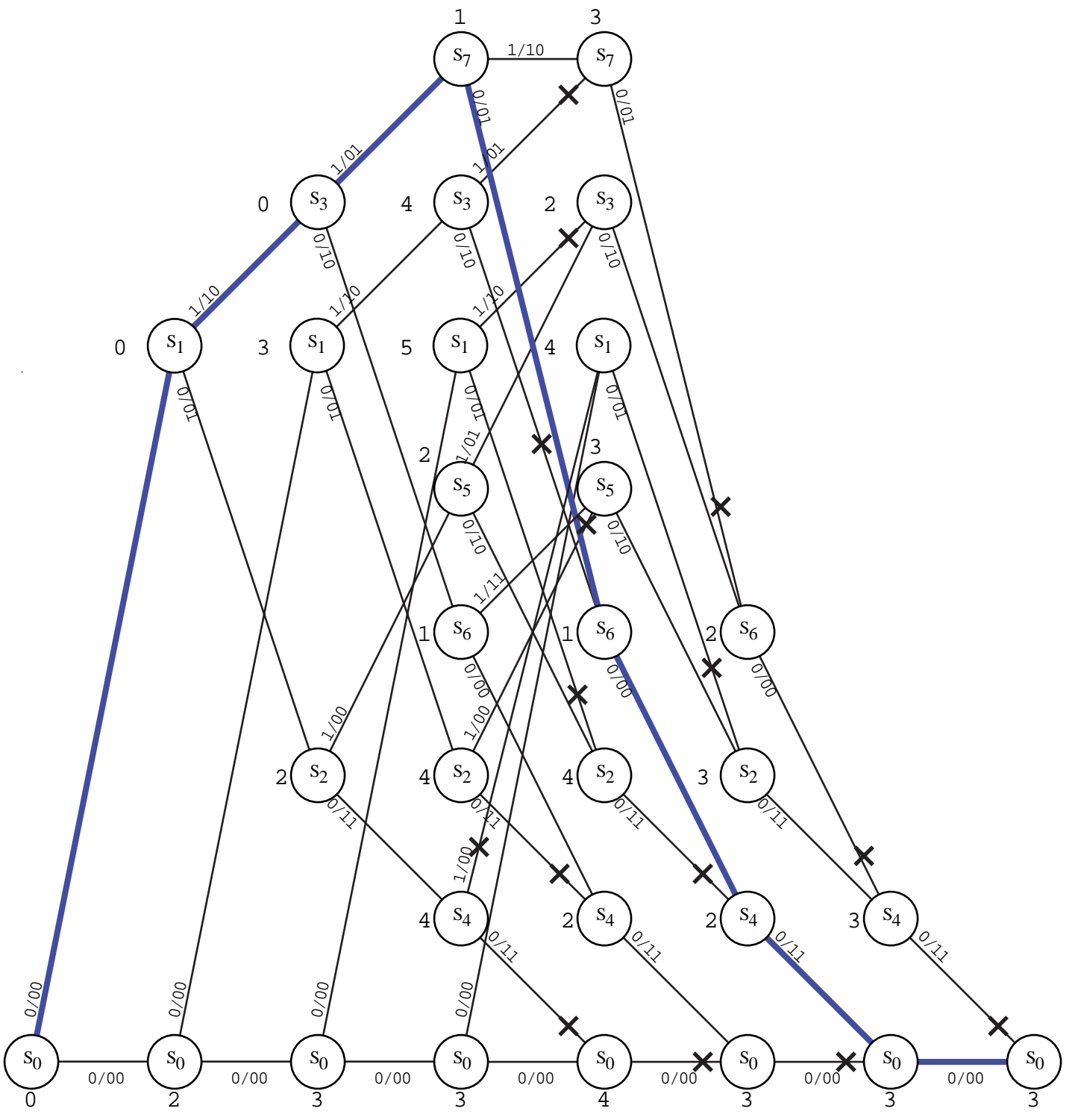
the decoding trellis is as shown in the figure below, and the final survivor is

$$\hat{\mathbf{v}} = (11, 10, 01, 01, 00, 11, 00),$$

which corresponds to the information sequence

$$\hat{\mathbf{u}} = (1110).$$

This result matches the result obtained using soft decisions in Problem 12.5.





12.9 **Proof:** For  $d$  even,

$$\begin{aligned}
P_d &= \frac{1}{2} \binom{d}{d/2} p^{d/2} (1-p)^{d/2} + \sum_{e=(d/2)+1}^d \binom{d}{e} p^e (1-p)^{d-e} \\
&< \sum_{e=(d/2)}^d \binom{d}{e} p^e (1-p)^{d-e} \\
&< \sum_{e=(d/2)}^d \binom{d}{e} p^{d/2} (1-p)^{d/2} \\
&= p^{d/2} (1-p)^{d/2} \sum_{e=(d/2)}^d \binom{d}{e} \\
&< 2^d p^{d/2} (1-p)^{d/2}
\end{aligned}$$

and thus (12.21) is an upper bound on  $P_d$  for  $d$  even.

Q. E. D.

12.10 The event error probability is bounded by (12.25)

$$P(E) < \sum_{d=d_{free}}^{\infty} A_d P_d < A(X)|_{X=2\sqrt{p(1-p)}}.$$

From Example 11.12,

$$A(X) = \frac{X^6 + X^7 - X^8}{1 - 2X - X^3} = X^6 + 3X^7 + 5X^8 + 11X^9 + 25X^{10} + \dots,$$

which yields

- (a)  $P(E) < 1.2118 \times 10^{-4}$  for  $p = 0.01$ ,
- (b)  $P(E) < 7.7391 \times 10^{-8}$  for  $p = 0.001$ .

The bit error probability is bounded by (12.29)

$$P_b(E) < \sum_{d=d_{free}}^{\infty} B_d P_d < B(X)|_{X=2\sqrt{p(1-p)}} = \frac{1}{k} \left. \frac{\partial A(W, X)}{\partial W} \right|_{X=2\sqrt{p(1-p)}, W=1}.$$

From Example 11.12,

$$A(W, X) = \frac{WX^7 + W^2(X^6 - X^8)}{1 - W(2X + X^3)} = WX^7 + W^2(X^6 + X^8 + X^{10}) + W^3(2X^7 + 3X^9 + 3X^{11} + X^{13}) + \dots$$

Hence,

$$\frac{\partial A(W, X)}{\partial W} = \frac{X^7 + 2W(X^6 - 3X^8 - X^{10}) - 3W^2(2X^7 - X^9 - X^{11})}{(1 - 2WX - WX^3)^2} + \dots$$

and

$$\left. \frac{\partial A(W, X)}{\partial W} \right|_{W=1} = \frac{2X^6 - X^7 - 2X^8 + X^9 + X^{11}}{(1 - 2X - X^3)^2} = 2X^6 + 7X^7 + 18X^8 + \dots$$

This yields

(a)  $P_b(E) < 3.0435 \times 10^{-4}$  for  $p = 0.01$ ,

(b)  $P_b(E) < 1.6139 \times 10^{-7}$  for  $p = 0.001$ .

12.11 The event error probability is given by (12.26)

$$P(E) \approx A_{d_{free}} \left[ 2\sqrt{p(1-p)} \right]^{d_{free}} \approx A_{d_{free}} 2^{d_{free}} p^{d_{free}/2}$$

and the bit error probability (12.30) is given by

$$P_b(E) \approx B_{d_{free}} \left[ 2\sqrt{p(1-p)} \right]^{d_{free}} \approx B_{d_{free}} 2^{d_{free}} p^{d_{free}/2}.$$

From Problem 12.10,

$$d_{free} = 6, \quad A_{d_{free}} = 1, \quad B_{d_{free}} = 2.$$

(a) For  $p = 0.01$ ,

$$P(E) \approx 1 \cdot 2^6 \cdot (0.01)^{6/2} = 6.4 \times 10^{-5}$$

$$P_b(E) \approx 2 \cdot 2^6 \cdot (0.01)^{6/2} = 1.28 \times 10^{-4}.$$

(b) For  $p = 0.001$ ,

$$P(E) \approx 1 \cdot 2^6 \cdot (0.001)^{6/2} = 6.4 \times 10^{-8}$$

$$P_b(E) \approx 2 \cdot 2^6 \cdot (0.001)^{6/2} = 1.28 \times 10^{-7}.$$

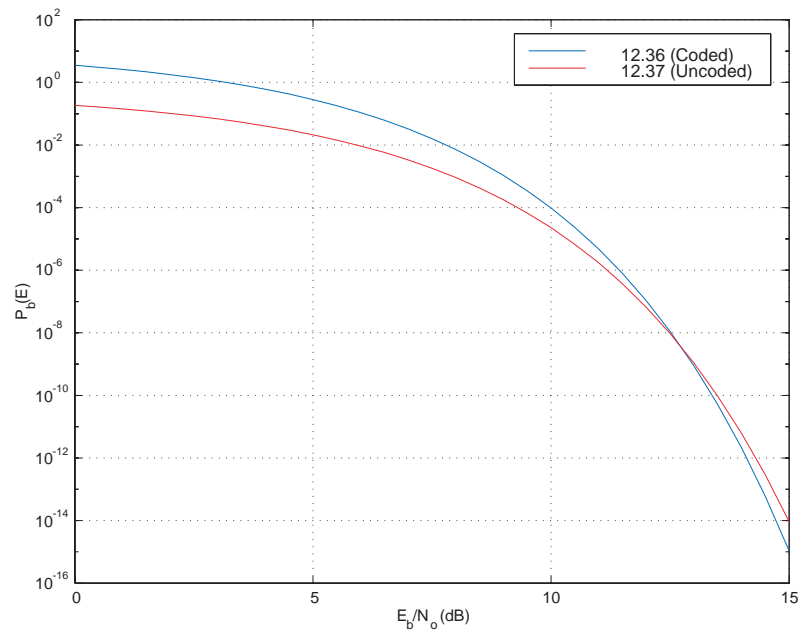
12.12 The (3, 1, 2) encoder of (12.1) has  $d_{free} = 7$  and  $B_{d_{free}} = 1$ . Thus, expression (12.36) becomes

$$P_b(E) \approx B_{d_{free}} 2^{d_{free}/2} e^{-(Rd_{free}/2) \cdot (E_b/N_o)} = 2^{(7/2)} e^{-(7/6) \cdot (E_b/N_o)}$$

and (12.37) remains

$$P_b(E) \approx \frac{1}{2} e^{-E_b/N_o}.$$

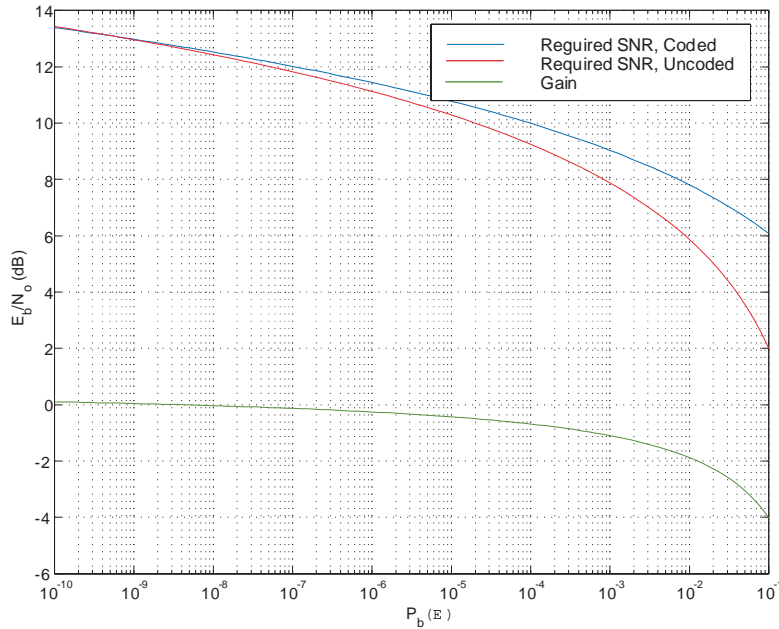
These expressions are plotted versus  $E_b/N_o$  in the figure below.



Equating the above expressions and solving for  $E_b/N_o$  yields

$$\begin{aligned} 2^{(7/2)} e^{-(7/6) \cdot (E_b/N_o)} &= \frac{1}{2} e^{-E_b/N_o} \\ 1 &= 2^{(9/2)} e^{-(1/6)(E_b/N_o)} \\ e^{(-1/6)(E_b/N_o)} &= 2^{-(9/2)} \\ (-1/6)(E_b/N_o) &= \ln(2^{-(9/2)}) \\ E_b/N_o &= -6 \ln(2^{-(9/2)}) = 18.71, \end{aligned}$$

which is  $E_b/N_o = 12.72\text{dB}$ , the coding threshold. The coding gain as a function of  $P_b(E)$  is plotted below.



Note that in this example, a short constraint length code ( $\nu = 2$ ) with hard decision decoding, the approximate expressions for  $P_b(E)$  indicate that a positive coding gain is only achieved at very small values of  $P_b(E)$ , and the asymptotic coding gain is only 0.7dB.

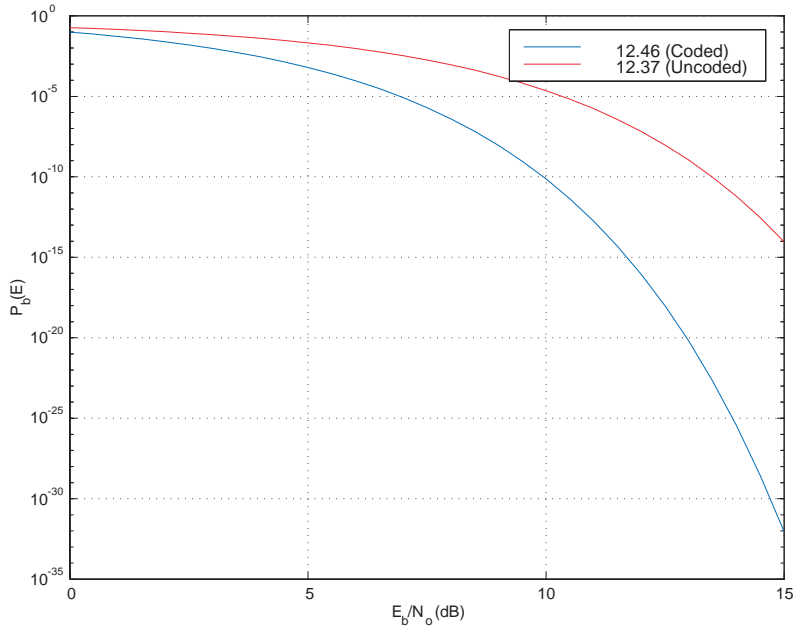
- 12.13 The  $(3, 1, 2)$  encoder of Problem 12.1 has  $d_{free} = 7$  and  $B_{d_{free}} = 1$ . Thus, expression (12.46) for the unquantized AWGN channel becomes

$$P_b(E) \approx B_{d_{free}} e^{-Rd_{free}E_b/N_o} = e^{-(7/3) \cdot (E_b/N_o)}$$

and (12.37) remains

$$P_b(E) \approx \frac{1}{2} e^{-E_b/N_o}.$$

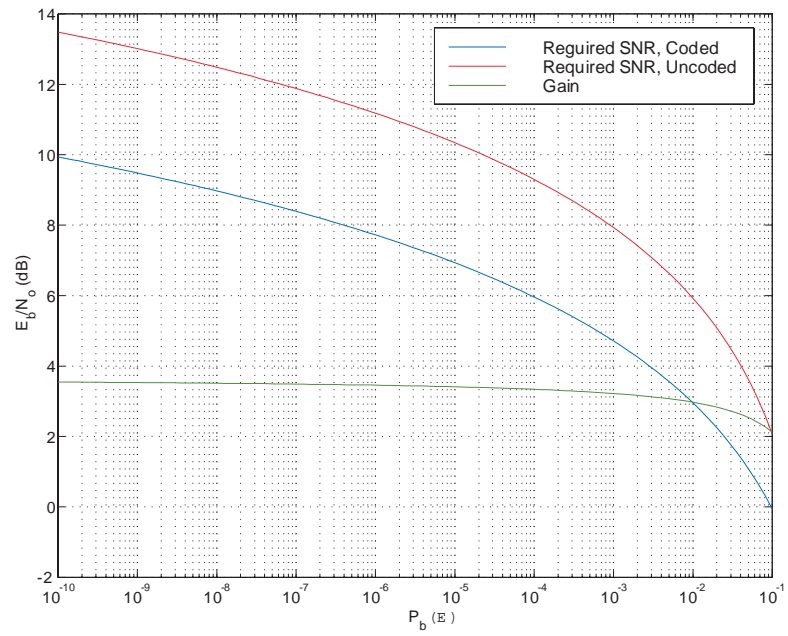
These expressions are plotted versus  $E_b/N_o$  in the figure below.



Equating the above expressions and solving for  $E_b/N_o$  yields

$$\begin{aligned}
 e^{-(7/3) \cdot (E_b/N_o)} &= \frac{1}{2} e^{-E_b/N_o} \\
 1 &= \frac{1}{2} e^{(4/3)(E_b/N_o)} \\
 e^{(4/3)(E_b/N_o)} &= 2 \\
 (4/3)(E_b/N_o) &= \ln(2) \\
 E_b/N_o &= (3/4) \ln(2) = 0.5199,
 \end{aligned}$$

which is  $E_b/N_o = -2.84dB$ , the coding threshold. (Note: If the slightly tighter bound on  $Q(x)$  from (1.5) is used to form the approximate expression for  $P_b(E)$ , the coding threshold actually moves to  $-\infty dB$ . But this is just an artifact of the bounds, which are not tight for small values of  $E_b/N_o$ .) The coding gain as a function of  $P_b(E)$  is plotted below. Note that in this example, a short constraint length code ( $\nu = 2$ ) with soft decision decoding, the approximate expressions for  $P_b(E)$  indicate that a coding gain above 3.0 dB is achieved at moderate values of  $P_b(E)$ , and the asymptotic coding gain is 3.7 dB.



12.14 The IOWEF function of the (3, 1, 2) encoder of (12.1) is

$$A(W, X) = \frac{WX^7}{1 - WX - WX^3}$$

and thus (12.39b) becomes

$$P_b(E) < B(X)|_{X=D_0} = \frac{1}{k} \left. \frac{\partial A(W, X)}{\partial W} \right|_{X=D_0, W=1} = \frac{X^7}{(1 - WX - WX^3)^2} \Big|_{X=D_0, W=1}.$$

For the DMC of Problem 12.4,  $D_0 = 0.42275$  and the above expression becomes

$$P_b(E) < 9.5874 \times 10^{-3}.$$

If the DMC is converted to a BSC, then the resulting crossover probability is  $p = 0.091$ . Using (12.29) yields

$$P_b(E) < B(X)|_{X=D_0} = \frac{1}{k} \left. \frac{\partial A(W, X)}{\partial W} \right|_{X=2\sqrt{p(1-p)}, W=1} = \frac{X^7}{(1 - WX - WX^3)^2} \Big|_{X=2\sqrt{p(1-p)}, W=1} = 3.7096 \times 10^{-1},$$

about a factor of 40 larger than the soft decision case.

12.16 For the optimum (2, 1, 7) encoder in Table 12.1(c),  $d_{free} = 10$ ,  $A_{d_{free}} = 1$ , and  $B_{d_{free}} = 2$ .

(a) From Table 12.1(c)

$$\gamma = 6.99dB.$$

(b) Using (12.26) yields

$$P(E) \approx A_{d_{free}} 2^{d_{free}} p^{d_{free}/2} = 1.02 \times 10^{-7}.$$

(c) Using (12.30) yields

$$P_b(E) \approx B_{d_{free}} 2^{d_{free}} p^{d_{free}/2} = 2.04 \times 10^{-7}.$$

(d) For this encoder

$$\mathbf{G}^{-1} = \begin{bmatrix} D^2 \\ 1 + D^+ D^2 \end{bmatrix}$$

and the amplification factor is  $A = 4$ .

For the quick-look-in (2, 1, 7) encoder in Table 12.2,  $d_{free} = 9$ ,  $A_{d_{free}} = 1$ , and  $B_{d_{free}} = 1$ .

(a) From Table 12.2

$$\gamma = 6.53dB.$$

(b) Using (12.26) yields

$$P(E) \approx A_{d_{free}} 2^{d_{free}} p^{d_{free}/2} = 5.12 \times 10^{-7}.$$

(c) Using (12.30) yields

$$P_b(E) \approx B_{d_{free}} 2^{d_{free}} p^{d_{free}/2} = 5.12 \times 10^{-7}.$$

(d) For this encoder

$$\mathbf{G}^{-1} = \begin{bmatrix} 1 \\ 1 \end{bmatrix}$$

and the amplification factor is  $A = 2$ .

12.17 The generator matrix of a rate  $R = 1/2$  systematic feedforward encoder is of the form

$$\mathbf{G} = \begin{bmatrix} 1 & \mathbf{g}^{(1)}(D) \end{bmatrix}.$$

Letting  $\mathbf{g}^{(1)}(D) = 1 + D + D^2 + D^5 + D^7$  achieves  $d_{free} = 6$  with  $B_{d_{free}} = 1$  and  $A_{d_{free}} = 1$ .

(a) The soft-decision asymptotic coding gain is

$$\gamma = 4.77dB.$$

(b) Using (12.26) yields

$$P(E) \approx A_{d_{free}} 2^{d_{free}} p^{d_{free}/2} = 6.4 \times 10^{-5}.$$

(c) Using (12.30) yields

$$P_b(E) \approx B_{d_{free}} 2^{d_{free}} p^{d_{free}/2} = 6.4 \times 10^{-5}.$$

(d) For this encoder (and all systematic encoders)

$$\mathbf{G}^{-1} = \begin{bmatrix} 1 \\ 0 \end{bmatrix}$$

and the amplification factor is  $A = 1$ .

12.18 The generator polynomial for the (15, 7) BCH code is

$$\mathbf{g}(X) = 1 + X^4 + X^6 + X^7 + X^8$$

and  $d_g = 5$ . The generator polynomial of the dual code is

$$\mathbf{h}(X) = \frac{X^{15} + 1}{X^8 + X^7 + X^6 + X^4 + 1} = X^7 + X^6 + X^4 + 1$$

and hence  $d_h \geq 4$ .

(a) The rate  $R = 1/2$  code with composite generator polynomial  $\mathbf{g}(D) = 1 + D^4 + D^6 + D^7 + D^8$  has generator matrix

$$\mathbf{G}(D) = [1 + D^2 + D^3 + D^4 \quad D^3]$$

and  $d_{free} \geq \min(5, 8) = 5$ .

(b) The rate  $R = 1/4$  code with composite generator polynomial  $\mathbf{g}(D) = \mathbf{g}(D^2) + D\mathbf{h}(D^2) = 1 + D + D^8 + D^9 + D^{12} + D^{13} + D^{14} + D^{15} + D^{16}$  has generator matrix

$$\mathbf{G}(D) = [1 + D^2 + D^3 + D^4 \quad 1 + D^2 + D^3 \quad D^3 \quad D^3]$$

and  $d_{free} \geq \min(d_g + d_h, 3d_g, 3d_h) = \min(9, 15, 12) = 9$ .



The generator polynomial for the (31, 16) BCH code is

$$\mathbf{g}(X) = 1 + X + X^2 + X^3 + X^5 + X^7 + X^8 + X^9 + X^{10} + X^{11} + X^{15}$$

and  $d_g = 7$ . The generator polynomial of the dual code is

$$\mathbf{h}(X) = \frac{X^{15} + 1}{\mathbf{g}(X)} = X^{16} + X^{12} + X^{11} + X^{10} + X^9 + X^4 + X + 1$$

and hence  $d_h \geq 6$ .

- (a) The rate  $R = 1/2$  code with composite generator polynomial  $\mathbf{g}(D) = 1 + D + D^2 + D^3 + D^5 + D^7 + D^8 + D^9 + D^{10} + D^{11} + D^{15}$  has generator matrix

$$\mathbf{G}(D) = [1 + D + D^4 + D^5 \quad 1 + D + D^2 + D^3 + D^4 + D^5 + D^7]$$

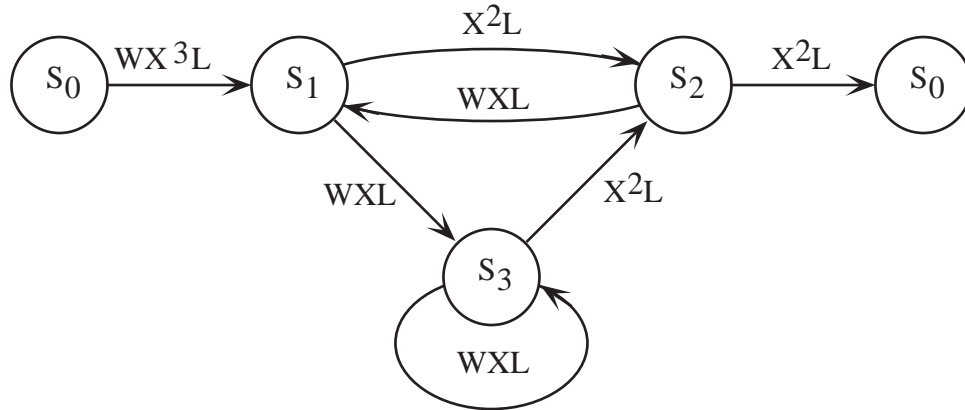
and  $d_{free} \geq \min(7, 12) = 7$ .

- (b) The rate  $R = 1/4$  code with composite generator polynomial  $\mathbf{g}(D) = \mathbf{g}(D^2) + D\mathbf{h}(D^2) = 1 + D + D^2 + D^3 + D^4 + D^6 + D^9 + D^{10} + D^{14} + D^{16} + D^{18} + D^{19} + D^{20} + D^{21} + D^{22} + D^{23}$  has generator matrix

$$\mathbf{G}(D) = [1 + D + D^4 + D^5 \quad 1 + D^2 + D^5 + D^6 + D^8 \quad 1 + D + D^2 + D^3 + D^4 + D^5 + D^7 \quad 1 + D^5]$$

and  $d_{free} \geq \min(d_g + d_h, 3d_g, 3d_h) = \min(13, 21, 18) = 13$ .

12.20 (a) The augmented state diagram is shown below.



The generating function is given by

$$A(W, X, L) = \frac{\sum_i F_i \Delta_i}{\Delta}.$$

There are 3 cycles in the graph:

$$\begin{aligned}
\text{Cycle 1: } & S_1 S_2 S_1 & C_1 &= W X^3 L^2 \\
\text{Cycle 2: } & S_1 S_3 S_2 S_1 & C_2 &= W^2 X^4 L^3 \\
\text{Cycle 3: } & S_3 S_3 & C_3 &= W X L.
\end{aligned}$$

There is one pair of nontouching cycles:

$$\text{Cycle pair 1: (loop 1, loop 3) } C_1 C_3 = W^2 X^4 L^3.$$

There are no more sets of nontouching cycles. Therefore,

$$\begin{aligned}
\Delta &= 1 - \sum_i C_i + \sum_{i',j'} C_{i'} C_{j'} \\
&= 1 - (W X^3 L^2 + W^2 X^4 L^3 + W X L) + W^2 X^4 L^3.
\end{aligned}$$

There are 2 forward paths:

$$\begin{aligned}
\text{Forward path 1: } & S_0 S_1 S_2 S_0 & F_1 &= W X^7 L^3 \\
\text{Forward path 2: } & S_0 S_1 S_3 S_2 S_0 & F_2 &= W^2 X^8 L^4.
\end{aligned}$$

Only cycle 3 does not touch forward path 1, and hence

$$\Delta_1 = 1 - W X L.$$

Forward path 2 touches all the cycles, and hence

$$\Delta_2 = 1.$$

Finally, the WEF  $A(W, X, L)$  is given by

$$A(W, X, L) = \frac{W X^7 L^3 (1 - W X L) + W^2 X^8 L^4}{1 - (W X^3 L^2 + W^2 X^4 L^3 + W X L) + W^2 X^4 L^3} = \frac{W X^7 L^3}{1 - W X L - W X^3 L^2}$$

and the generating WEF's  $A_i(W, X, L)$  are given by:

$$\begin{aligned}
A_1(W, X, L) &= \frac{W X^3 L (1 - W X L)}{\Delta} = \frac{W X^3 L (1 - W X L)}{1 - W X L - W X^3 L^2} \\
&= W X^3 L + W^2 X^6 L^3 + W^3 X^7 L^4 + (W^3 X^9 + W^4 X^8) L^5 + (2 W^4 X^{10} + W^5 X^9) L^6 + \dots \\
A_2(W, X, L) &= \frac{W X^5 L^2 (1 - W X L) + W^2 X^6 L^3}{\Delta} = \frac{W X^5 L^2}{1 - W X L - W X^3 L^2} \\
&= W X^5 L^2 + W^2 X^6 L^3 + (W^2 X^8 + W^3 X^7) L^4 + (2 W^3 X^9 + W^4 X^8) L^5 \\
&\quad + (W^3 X^{11} + 3 W^4 X^{10} + W^5 X^9) L^6 + \dots \\
A_3(W, X, L) &= \frac{W^2 X^4 L^2}{\Delta} = \frac{W^2 X^4 L^2}{1 - W X L - W X^3 L^2} \\
&= W^2 X^4 L^2 + W^3 X^5 L^3 + (W^3 X^7 + W^4 X^6) L^4 + (2 W^4 X^8 + W^5 X^7) L^5 \\
&\quad + (W^4 X^{10} + 3 W^5 X^9 + W^6 X^8) L^6 \dots
\end{aligned}$$

- (b) This code has  $d_{free} = 7$ , so  $\tau_{min}$  is the minimum value of  $\tau$  for which  $d(\tau) = d_{free} + 1 = 8$ . Examining the series expansions of  $A_1(W, X, L)$ ,  $A_2(W, X, L)$ , and  $A_3(W, X, L)$  above yields  $\tau_{min} = 5$ .

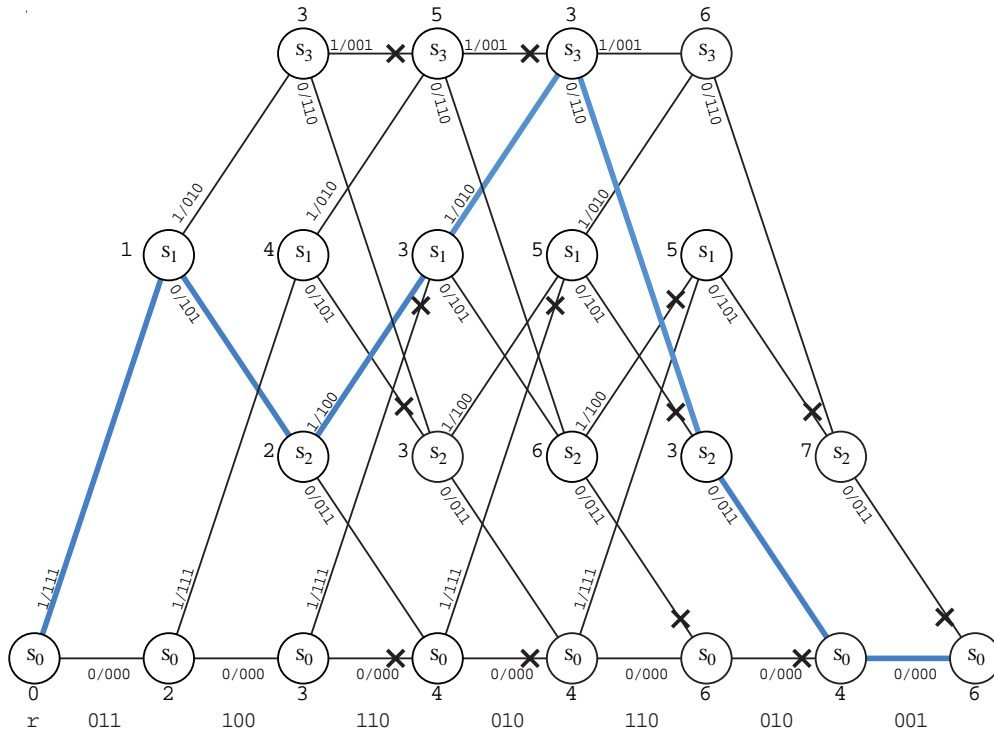
(c) A table of  $d(\tau)$  and  $A_d(\tau)$  is given below.

$\tau$	$d(\tau)$	$A_d(\tau)$
0	3	1
1	4	1
2	5	1
3	6	1
4	7	1
5	8	1

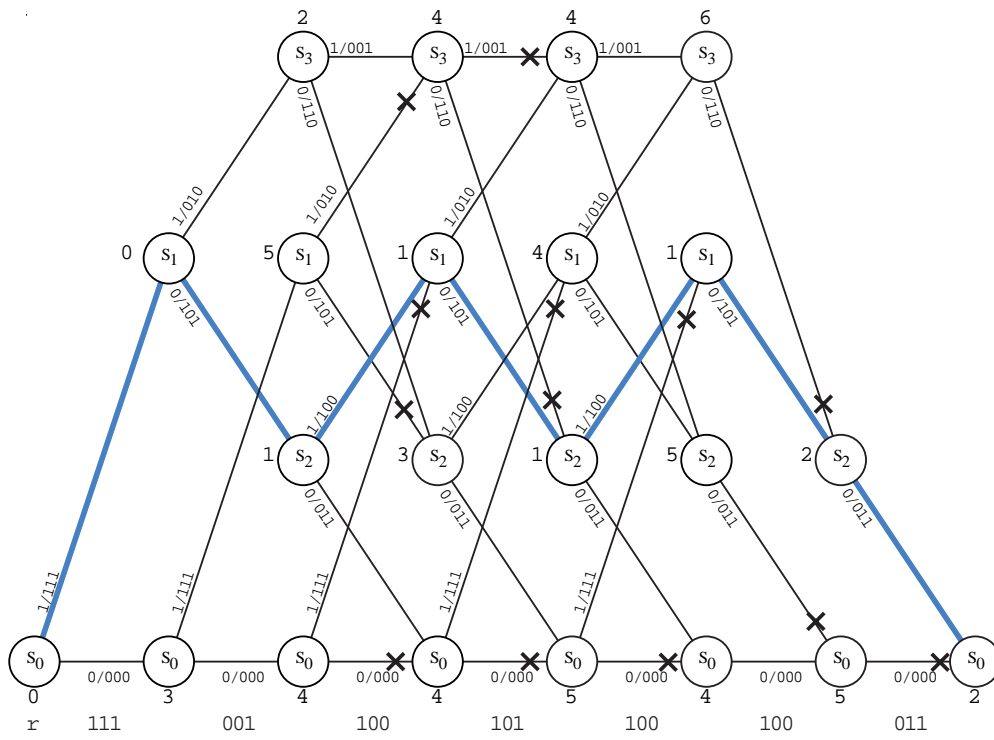
(d) From part (c) and by looking at the series expansion of  $A_3(W, X, L)$ , it can be seen that

$$\lim_{\tau \rightarrow \infty} d(\tau) = \tau + 3.$$

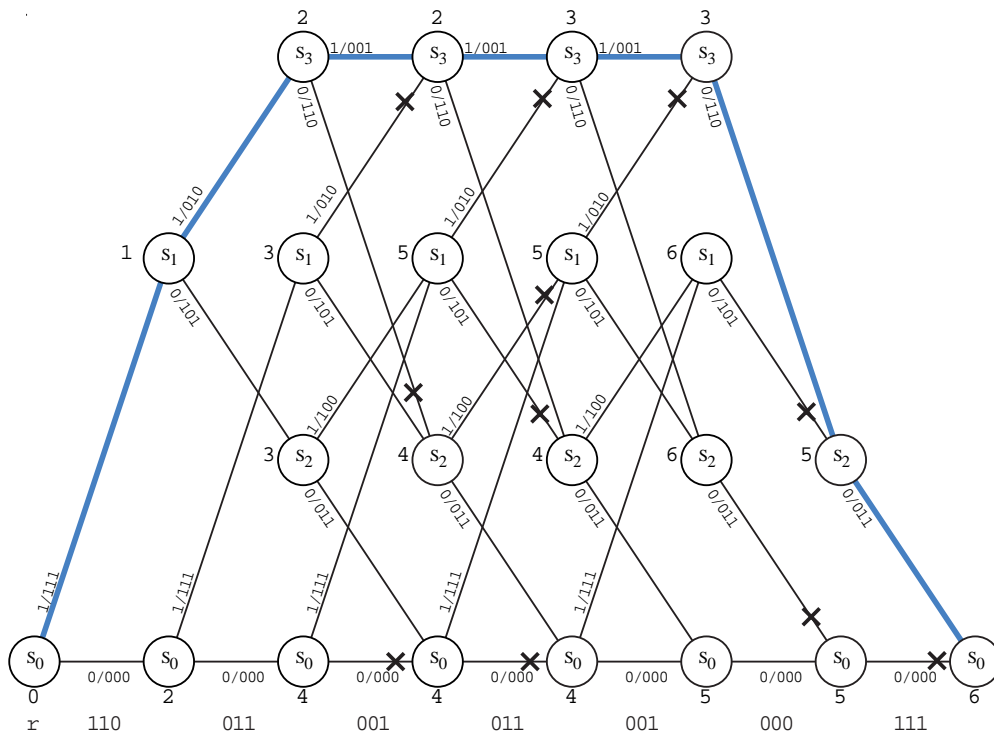
12.21 For a BSC, the trellis diagram of Figure 12.6 in the book may be used to decode the three possible 21-bit subsequences using the Hamming metric. The results are shown in the three figures below. Since the  $\mathbf{r}$  used in the middle figure (b) below has the smallest Hamming distance (2) of the three subsequences, it is the most likely to be correctly synchronized.



(a)



(b)



(c)